



Administrative Responsibilities Guide

A Guide for UC Santa Cruz employees with administrative or financial management responsibilities, including Principal Investigators and Academic and non-Academic Administrators

2023 Edition



UNIVERSITY OF CALIFORNIA
SANTA CRUZ



UC SANTA CRUZ

**OUR
VOICES**
WILL DEFINE
THE CENTURY

Campus Goals

- Advance **student success** by improving retention and graduation rates and closing equity gaps
- Increase UC Santa Cruz's **research** profile and impact
- Foster an **inclusive campus climate** that embraces and values diversity and equity
- Improve **efficiency, effectiveness, resilience and sustainability**.

Suggestions for revision may be submitted to Budget Analysis and Planning (budget@ucsc.edu) for consideration.

As of the date of this publication UC Santa Cruz is implementing a new web presence. It is expected some website URLs noted in this document may change in the coming year. Affected URLs will be updated in subsequent online versions of this publication on a periodic basis.

This guide is intended to be a non-cumulative summary of relevant policies. There are applicable policies not summarized in this guide and employees should refer to the official policies for detailed review. Should there be any conflict between this summary and applicable UC or UC Santa Cruz policies, the policies will govern.



Letter from the Chancellor and CP/EVC

Dear Colleagues —

This is an amazing moment in time for UC Santa Cruz. It has been 58 years since our founding in 1965 and we have grown and matured into a preeminent student-centered research university, an Asian American Native American Pacific Islander Serving Institution (AANAPISI), a Hispanic Serving Institution (HSI), and member of the Association of American Universities (AAU). Over nearly six decades, we have continued to proudly embrace and enlarge our founding values of social justice and environmental sustainability.

In order to fulfill our goals, we must be diligent in our efforts to effectively manage the university's resources, especially as higher education experiences rapid expansion of regulatory requirements and intense competition for funding from all sources.

This Administrative Responsibilities Guide provides guidance and support for individuals who have administrative and/or financial oversight responsibilities. It is your guide to the expertise and assistance available from central administrative support, and it is designed to define and clarify areas of accountability.

In the guide, you will find an overview of responsibilities in the following areas:

- Academic
- Conflict of Interest
- Environment, Health, & Safety
- Finance
- Human Resources
- Information Systems/Data Integrity
- Research

The guide is revised periodically to address ongoing concerns and changing conditions. Please send any feedback for consideration for future editions.

We are proud that all of us at UC Santa Cruz are committed to operating our departments effectively within existing resource constraints. Thank you for all that you do for our students, faculty, and staff here at UC Santa Cruz.

Sincerely,

Cynthia Larive
Chancellor

Lori Kletzer
Campus Provost and Executive Vice Chancellor

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Overview

Administrative officials are accountable for ensuring that the appropriate key controls are implemented, documented, and working as intended.



Overview

- UC Santa Cruz Accountability Structure
- Ethics Awareness Overview
- Statement of Ethical Values
- Standards of Ethical Conduct
- Internal Controls
- Informal Conflict Resolution Procedure
- Administrative Support Departments

Overview

UC Santa Cruz Accountability Structure

The chancellor has delegated various financial, administrative, and management responsibilities to *administrative officials* responsible for the operation of their departments or business units. (In this guide, the terms “division”, “department,” and “unit” are used interchangeably.) This delegation from the chancellor also passes through the dean, vice chancellor, or vice provost of each division and school to management personnel responsible for administrative operations.

In this guide, the term *administrative official* refers to any UCSC employee, including academic appointees, to whom financial, administrative, or management responsibility has been delegated.

Administrative officials are charged with the responsibility of implementing policies and procedures that ensure the university is well managed and in sound financial condition; complies with applicable laws and regulations; upholds the public trust; and promotes a campus climate that values diversity, equity and inclusion, and is free of bias and harassment.

Administrative officials may delegate certain administrative and financial duties to others to assist them in meeting their responsibilities. Delegations of authority (DA)¹ convey in writing clear, unambiguous statements of action that may be taken by the delegate(s) or assign administrative responsibility within specified parameters. DAs are made to individuals in the capacity of their current positions. The delegation remains with the position and not the individual when, for example, the individual assumes a new and different

position. Delegations should always state whether or not the subject authority may be further redelegated. Delegations remain in effect until such time as they are superseded or rescinded.

“While administrative officials may delegate many of their responsibilities, they cannot delegate accountability.”

Whenever administrative and financial duties are delegated, written goals and objectives, which define accountability and responsibility, should

be established so that there are clear expectations and standards against which performance can be evaluated. Employees should receive timely feedback on their performance as measured against the established expectations and standards.

While *administrative officials* may delegate many of their responsibilities, they cannot delegate accountability. They retain accountability for the following activities in their areas of responsibility:

- A. compliance with all applicable laws and regulations, university policies, collective bargaining agreements, and with the terms and conditions of gifts, contracts, and grants;
- B. maintenance of a sound financial condition and good business practices for the department or business unit;
- C. establishment of an effective system of internal controls that adhere to campus guidelines² and are consistent with the UCSC principles of accountability and regulatory compliance;
- D. adherence to ethical business standards;
- E. administration of academic/staff personnel and human resource activities in a manner that fosters

¹ Delegations of Authority are documented on the UCSC Administrative Policy website [ucscpolicy.ellucid.com/manuals/binder/1]; a master list of academic personnel delegations are maintained by the UCSC Academic Personnel Office [apo.ucsc.edu/delegation-of-authority-chart]

² The Campus Controller’s Office provides guidelines — as well as advice and guidance to administrative officials — for establishing internal control procedures [financial.ucsc.edu/Pages/Financial_Management.aspx] and develops, implements, and maintains a comprehensive and cost-effect system of internal controls for the UCSC campus.

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diversity and inclusion in the workforce and ensures due process;

- F. ensuring appropriate training for, access to, and use of, university information and systems, including the integrity of data and transactions that are input and/or modified by staff in their area of responsibility;
- G. protecting university assets and institutional information, including the proper use and disposition of confidential or sensitive information.

Administrative officials may assign duties to assist in carrying out administrative and financial responsibilities. Central administrative support departments³ are available to assist administrative officials with questions or issues requiring in-depth knowledge of laws, regulations, policies, and procedures. These support units act as a resource by providing expertise and guidance in establishing the appropriate systems and procedures to help carry out administrative and financial responsibilities. In addition, they are available to advise administrative officials relating to matters of protecting the integrity and legal interests of the university.

Administrative officials may have several reporting relationships. Each reporting relationship is important because it improves the information flow between various critical areas of campus and departmental administrators. Understanding these relationships is a factor in promoting open lines of communication.

Please note: Responsibilities listed for the *administrative officials* throughout this guide are not all-inclusive, nor do they replace a formal and comprehensive job description.

Ethics Awareness Overview

The university is a place where diverse viewpoints and intellectual exploration form the foundation for learning. For over a century, participants in the daily life of the University of California have pondered ethical issues in lectures, faculty forums, staff assemblies, student conferences, and spur-of-the-moment hallway conversations. There is a strong University of California tradition of wide-ranging discourse on ethical decision-making.

To encourage the widespread adoption of common goals, the president introduced, and the Regents formally accepted at their May 2005 meeting, the UC Statement of Ethical Values and Standards of Ethical Conduct.⁴

Our mission of teaching, research, and public service requires a shared commitment to the core values of the university as well as a commitment to the ethical conduct of all university activities. In that spirit, the Statement of Ethical Values and the Standards of Ethical Conduct are statements of our belief in ethical, legal, and professional behavior in all of our dealings inside and outside the university.

Statement of Ethical Values⁵

Members of the University of California community are committed to the highest ethical standards in furtherance of our mission of teaching, research, and public service. We recognize that we hold the university in trust for the people of the State of California. Our policies, procedures, and standards provide guidance for application of the ethical values stated below in our

³ Such as Financial Affairs [financial.ucsc.edu] and Audit & Management Advisory Services [audit.ucsc.edu]; other support departments and resources are listed at the end of each Guide section.

⁴ Statement of Ethical Values and Standards of Ethical Conduct [ucop.edu/ethics-compliance-audit-services/_files/stmt-stds-ethics.pdf] adopted by The Regents, May 2005.

⁵ University of California Statement of Ethical Values [regents.universityofcalifornia.edu/minutes/2005/mayjattach.pdf]

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daily life and work as members of this community. We are committed to:

Integrity

We will conduct ourselves with integrity in our dealings with and on behalf of the university.

Excellence

We will conscientiously strive for excellence in our work.

Accountability

We will be accountable as individuals and as members of this community for our ethical conduct and for compliance with applicable laws and university policies and directives.

Respect

We will respect the rights and dignity of others.

Standards of Ethical Conduct⁶

Purpose

Pursuit of the University of California mission of teaching, research and public service requires a shared commitment to the core values of the University as well as a commitment to the ethical conduct of all University activities. In that spirit, the Standards of Ethical Conduct are a statement of our belief in ethical, legal, and professional behavior in all of our dealings inside and outside the University.

Applicability

The Standards of Ethical Conduct apply to all members of the University community, including the Regents, Principal Officers of the Regents, senior leadership, faculty and other academic personnel, staff, students, and volunteers, contractors, and agents associated with the University. Organizationally, the Standards apply to campuses, the National Laboratories, the Office of the

President, the Division of Agriculture and Natural Resources, campus organizations, foundations, alumni associations, and support groups.

1. *Fair Dealing*

Members of the University community are expected to conduct themselves ethically, honestly, and with integrity in all dealings. This means principles of fairness, good faith, and respect consistent with laws, regulations, and University policies govern our conduct with others both inside and outside the community. Each situation needs to be examined in accordance with the Standards of Ethical Conduct. No unlawful practice or a practice at odds with these standards can be justified on the basis of customary practice, expediency, or achieving a “higher” purpose.

2. *Individual Responsibility and Accountability*

Members of the University community are expected to exercise responsibility appropriate to their position and delegated authorities. They are responsible to each other, the University, and the University’s stakeholders both for their actions and their decisions not to act. Each individual is expected to conduct the business of the University in accordance with the Core Values and the Standards of Ethical Conduct, exercising sound judgment and serving the best interests of the institution and the community.

3. *Respect for Others*

The University is committed to the principle of treating each community member with respect and dignity. The University prohibits discrimination and harassment and provides equal opportunities for all community members and applicants regardless of race, color, national origin, religion, sex, gender identity, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or status as a covered veteran. Further, romantic or sexual relationships between faculty responsible for academic

⁶ Regents Policy 1111: Policy on Statement of Ethical Values and Standards of Ethical Conduct
[regents.universityofcalifornia.edu/governance/policies/1111.html]

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supervision, evaluation, or instruction and their students are prohibited. The University is committed to creating a safe and drug free workplace. Following is a list of the principal policies and reference materials available in support of this standard:⁷

- The Faculty Code of Conduct
- Academic Personnel Manual
- Personnel Policies for Staff Members
- Collective Bargaining Agreements
- Policies Applying to Campus Activities, Organizations and Students
- Policy on Sexual Violence and Sexual Harassment
- University policies on nondiscrimination and affirmative action
- Abusive Conduct in the Workplace Policy
- Campus, laboratory and Office of the President Principles of Community⁸

The University's health sciences enterprises are committed to the ethical and compassionate treatment of patients and have established policies and statements of patient rights in support of this principle.

4. Compliance with Applicable Laws and Regulations

Institutions of higher education are subject to many of the same laws and regulations as other enterprises, as well as those particular to public entities. There are also additional requirements unique to higher education. Members of the University community are expected to become familiar with the laws and regulations bearing on their areas of responsibility. Many, but not all, legal requirements are embodied in University policies. Failure to comply can have serious adverse consequences both for individuals and for the University, in terms of reputation, finances, and the health and safety of the community. University business is to be conducted in conformance with legal

requirements, including contractual commitments undertaken by individuals authorized to bind the University to such commitments.

The UC Legal — Office of the General Counsel has responsibility for interpretation of legal requirements.

5. Compliance with Applicable University Policies, Procedures, and Other Forms of Guidance

University policies and procedures⁹ are designed to inform our everyday responsibilities, to set minimum standards, and to give University community members notice of expectations. Members of the University community are expected to transact all University business in conformance with policies and procedures and accordingly have an obligation to become familiar with those that bear on their areas of responsibility. Each member is expected to seek clarification on a policy or other University directive that they find to be unclear, outdated, or at odds with University objectives. It is not acceptable to ignore or disobey policies if one is not in agreement with them, or to avoid compliance by deliberately seeking loopholes.

In some cases, University employees are also governed by ethical codes or standards of their professions or disciplines — some examples are attorneys, auditors, physicians, and counseling staff. It is expected that those employees will comply with applicable professional standards in addition to laws and regulations.

6. Conflicts of Interest or Commitment

Employee members of the University community are expected to devote primary professional allegiance to the University and to the mission of teaching, research, and public service. Outside employment must not interfere with University duties. Outside professional activities, personal financial interests, or acceptance of

⁷ Links to each of these documents are in the *Quick Reference Listings* section of this guide.

⁸ UC Santa Cruz expects that every campus member will practice its *Principles of Community*; please see page 32 for resources to help administrative officials promote and protect a campus environment aligned with these *Principles*.

⁹ Campus and UC-wide policy manuals (including searchable indices) can be found at [policy.ucsc.edu]

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benefits from third parties can create actual or perceived conflicts between the University's mission and an individual's private interests. University community members who have certain professional or financial interests are expected to disclose them in compliance with applicable conflict of interest/conflict of commitment policies. In all matters, community members are expected to take appropriate steps, including consultation if issues are unclear, to avoid both conflicts of interest and the appearance of such conflicts.

7. Ethical Conduct of Research

All members of the University community engaged in research are expected to conduct their research with integrity and intellectual honesty at all times and with appropriate regard for human and animal subjects. To protect the rights of human subjects, all research involving human subjects is to be reviewed by institutional review boards. Similarly, to protect the welfare of animal subjects, all research involving animal subjects is to be reviewed by institutional animal care and use committees. The University prohibits research misconduct. Members of the University community engaged in research are not to:

- fabricate data or results;
- change or knowingly omit data or results to misrepresent results in the research record; or
- intentionally misappropriate the ideas, writings, research, or findings of others.

All those engaged in research are expected to pursue the advancement of knowledge while meeting the highest standards of honesty, accuracy, and objectivity. They are also expected to demonstrate accountability for sponsors' funds and to comply with specific terms and conditions of contracts and grants.

8. Records:¹⁰ Confidentiality/Privacy and Access

The University is the custodian of many types of information, including that which is confidential, proprietary, and private. Individuals who have access to such information are expected to be familiar and to comply with applicable laws, University policies, directives and agreements pertaining to access, use, protection, and disclosure of such information. Computer security and privacy are also subject to law and University policy.

Information on the University's principles of privacy or on specific privacy laws may be obtained from the respective campus or laboratory information privacy office.

The public right to information access and the individual's right to privacy are both governed by state and federal law, as well as by University policies and procedures. The legal provisions and the policies are based upon the principle that access to information concerning the conduct of the people's business is a fundamental and necessary right of every person, as is the right of individuals to privacy.

9. Student Records and FERPA

Employees are required by law to protect the privacy of student records in accordance with the Family Educational Rights and Privacy Act (FERPA) of 1974, As Amended.¹¹

The security of student records, whether physical documents or electronic data, is of the utmost importance. The unauthorized removal or disclosure of this information is prohibited. Providing access to student record information to unauthorized persons is contrary to the standards

¹⁰ The university creates, gathers, and maintains operational and historic records of its activities in compliance with federal and state laws and regulations as well as university policy. The UC Records Management Program [ucop.edu/information-technology-services/initiatives/records-management] establishes policy and provides guidelines for best practice lifecycle management of university records. UCSC's Records & Information Management [rim.ucsc.edu/retention/UCRS.html] provides guidance, training, and tools to comply with the UC records retention schedule. Additional guidance is provided in the next section of this Guide.

¹¹ For guidelines, please review "Privacy of Student Records" on the Registrar's website [registrar.ucsc.edu/records/privacy]

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of privacy. Any alteration, defacement, or mishandling of student records, whether the physical document or the electronic data, is also prohibited.

Any actions by the employee that are contrary to University of California, Santa Cruz standards of privacy of student records are subject to corrective action and possible dismissal.

10. Internal Controls

Internal controls are the processes employed to help ensure that the University's business is carried out in accordance with these Standards, University policies and procedures, applicable laws and regulations, and sound business practices. They help to promote efficient operations, accurate financial reporting, protection of assets, and responsible fiscal management. All members of the University community are responsible for internal controls. Each business unit or department head (i.e., administrative official) is specifically responsible for ensuring that internal controls that adhere to campus guidelines are in place, properly documented, and maintained for activities within their jurisdiction. Any individual entrusted with funds, including principal investigators, is responsible for ensuring that adequate internal controls exist over the use and accountability of such funds. The University has adopted the principles of internal controls published by the Committee of Sponsoring Organizations (COSO) of the Treadway Commission.¹²

11. Use of University Resources

University resources may only be used for activities on behalf of the University. They may not be used for private gain or personal purposes except in limited circumstances permitted by existing policy where incidental personal use does not conflict with and is reasonable in relation to University duties. Members of the University community are expected to treat University property with care and to adhere to laws,

policies, and procedures for the acquisition, use, maintenance, record keeping, and disposal of University property. For purposes of applying this policy, University resources is defined to include but not be limited to the following, whether owned by or under the management of the University (for example, property of the federal government at the National Laboratories):

- Cash, and other assets whether tangible or intangible; real or personal property;
- Receivables and other rights or claims against third parties;
- Intellectual property rights;
- Effort of University personnel and of any non-University entity billing the University for effort;
- Facilities and the rights to use of University facilities;
- The University's name;
- University records, including student and patient records; and
- The University information technology infrastructure.

12. Financial Reporting

All University accounting and financial records, tax reports, expense reports, time sheets and effort reports, and other documents including those submitted to government agencies must be accurate, clear, timely, and complete. All published financial reports will make full, fair, accurate, timely, and understandable disclosures as required under generally accepted accounting principles for government entities, bond covenant agreements, and other requirements. Certain individuals with responsibility for the preparation of financial statements and disclosures, or elements thereof, may be required to make attestations in support of the Standards.

¹² COSO Internal Control Guidance — Integrated Framework [coso.org/sitepages/internal-control.aspx]

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13. Reporting Violations and Protection from Retaliation

Members of the University community are strongly encouraged to report all known or suspected improper governmental activities (IGAs) under the provisions of the Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy).¹³ Managers and persons in supervisory roles are required to report allegations presented to them and to report suspected IGAs that come to their attention in the ordinary course of performing their supervisory duties. Reporting parties, including managers and supervisors, will be protected from retaliation for making such a report under the Policy for Protection of Whistleblowers from Retaliation and Guidelines for Reviewing Retaliation Complaints (Whistleblower Retaliation Policy).^{14,15}

Internal Controls

The university has adopted an internal control methodology as defined by the Committee of Sponsoring Organizations (COSO). According to COSO, internal control is defined as a process implemented by management that provides reasonable assurance that:

- A. Operations are effective and efficient;
- B. Financial and operational reports are reliable; and
- C. Compliance with applicable laws, regulations, and internal policies and procedures has been achieved.

This methodology defines five interrelated components of internal control, listed in order of their importance and effectiveness:

Control Environment

The control environment sets the tone for the organization. Factors such as integrity, ethical values, competency, management philosophy, and operating style form the foundation for other components of internal control, and for providing discipline and structure.

Risk Assessment

Risk assessment represents the identification of circumstances that may impede the organization's ability to achieve its business objectives, and the procedures in place that mitigate the risks that have been identified.

Control Activities

Activities performed by the organization to ensure compliance with sound business practices, including the development of policies and procedures, the review and approval of transactions, the segregation of duties, and account reconciliation. Control activities should be documented and record follow-up activities.

Information and Communication

The transmittal of quality data to the right people at the appropriate time ensures that employees have adequate information to effectively discharge their responsibilities. Effective communication must also occur in a broader sense throughout the organization.

Monitoring

Effective monitoring activities assure that processes are working as intended and actions are taken to address problems with the quality of performance. This includes monitoring activities, and regular management and supervisory activities.

¹³ Procedures for reporting IGAs (along with other UC Whistleblower resources) are summarized in a poster [ucop.edu/uc-whistleblower/files/wbposter.pdf] and on the UC Whistleblower hotline [secure.ethicspoint.com/domain/media/en/gui/23531] and training [ucop.edu/uc-whistleblower/policies-training] websites.

¹⁴ UC policy also provides protection against retaliation for reporting abusive conduct and bullying in the workplace [policy.ucop.edu/doc/4000647/AbusiveConductAndBullying]

¹⁵ The Ombuds is a confidential resource to discuss options when members of the University community need a place to explore options before taking formal actions [ombuds.ucsc.edu/our-services]

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The establishment of an ethical environment and setting the tone at the top of the organization are the most important elements of the accountability and control environment. Each of the components works together to create a comprehensive system capable of deterring fraud and preventing, detecting, and correcting problems based on an overall assessment of risk and exposure.



COSO Internal Control — Integrated Framework¹⁶

Informal Conflict Resolution Procedure

The informal conflict resolution procedure encourages early resolution of problems and/or concerns. Administrative officials must be responsive to complaints. If problems and/or conflicts arise that cannot be resolved between an employee and their immediate supervisor, it is expected that the appropriate administrative official seek assistance from the Employee Relations unit in Staff Human Resources for issues involving staff employees, and Academic Employee Relations in the Academic Personnel Office for those involving academic appointees. The administrative official may also consider seeking assistance from the UCSC Office of the Ombuds, which provides informal, confidential, and impartial dispute resolution services for all members of the UCSC community, including academic appointees, staff, and students.¹⁷

“ UCSC is committed to providing individuals the right to a safe and neutral process for the resolution of conflict.”

UCSC is committed to providing individuals a safe and neutral process for the resolution of conflict. That process shall be fair, efficient, and free from reprisal. Recognizing that each individual has both a personal interest in, and a share of the responsibility for, resolving personal conflict, UCSC encourages and facilitates the use of an informal conflict resolution process. For additional information relating to this process, please refer to the services provided by the Office of the Ombuds.¹⁸

¹⁶ Graphic depicting the 2013 Integrated Framework developed by Committee of Sponsoring Organizations of the Treadway Commission (COSO) ([coso.org/Shared%20Documents/COSO-ICSR-Report.pdf](https://www.coso.org/Shared%20Documents/COSO-ICSR-Report.pdf))

¹⁷ For a more detailed description of the Ombuds services, please see page 38 of this guide.

¹⁸ Office of the Ombuds (ombuds.ucsc.edu/resources)

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Administrative Support Departments

Administrative support departments¹⁹ provide a variety of support services, including expertise and assistance in interpreting policy and legal requirements, formal and informal training, and compliance monitoring. Please refer to the “Quick Reference Listings,” located at the end of this guide, for contact information and related policy citations.

¹⁹ Please see listing of administrative support departments (in the next section) organized by administrative responsibility and areas of potential risk.

Administrative Official Responsibilities

Administrative officials can delegate certain duties to staff. Even so, they remain accountable for all activities in their area of responsibility, and should take the appropriate precautions to minimize risk.



Administrative Official: Delegated Authority and Responsibility, and Areas of Potential Risk

- Academic Personnel
- Conflict of Interest
- Environment, Health & Safety
- Finance
- Human Resources
- Information Systems/Data Integrity
- Research

Administrative Official Responsibilities

Academic Personnel

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:

- A. accountability for the academic and administrative leadership of the department
- B. accountability for identifying performance deficiencies of academic appointees and taking appropriate corrective action²⁰
- C. accountability for reporting and appropriately addressing allegations of academic employee misconduct
- D. accountability for compliance with all policies and procedures on recruitment, appointment, compensation, and review of academic appointees as set forth in Academic Personnel Manual
- E. accountability for the departmental external review process

Subordinate staff, faculty, and faculty administrators may be responsible for implementing the administrative official's decisions and for reviewing departmental compliance with university policies and procedures, but cannot be responsible for academic or other substantive decisions for which the administrative official is accountable.

Major Responsibilities That Can Be Delegated:

Academic Affairs—Personnel

- A. appropriate consultation with faculty on academic personnel actions, and programmatic and curricular issues
- B. carrying out administrative duties in order to comply with university policies and procedures and academic senate bylaws pertaining to the departmental peer review process, academic layoffs, confidentiality, and related ethical and legal issues
- C. carrying out administrative duties concerning the negotiation and advisement of academic

appointees about terms and conditions of employment

- D. carrying out departmental obligations related to UCSC-sponsored visas
- E. overseeing the allocation of services that support academic appointments and supervision

Areas of Potential Risk

Academic Affairs

Formal complaints, grievances, or legal action may result from many issues and circumstances involving academic personnel. It is strongly suggested that the administrative official immediately involve the appropriate office if any of these issues occur or are likely to occur:

- A. Non-compliance with campus and UC-wide Academic Personnel Manual (APM) procedures for conducting academic recruitments, appointments, compensation, and reviews: Contact the Academic Personnel Office
- B. Conflict of interest: Contact the Conflict of Interest Office (within Office of Research)
- C. Conflict of commitment: Contact the Academic Personnel Office
- D. Discrimination or harassment: Contact Office of Equity and Equal Protection
- E. Disability accommodation: Contact ADA Compliance Office
- F. Sexual harassment: Contact the Title IX Office
- G. Performance management: Contact Academic Personnel Office
- H. Layoffs: Contact Academic Personnel Office
- I. Misuse or mismanagement of resources: Contact Audit & Management Advisory Services
- J. Academic misconduct (Faculty Code of Conduct), including misconduct in research: Contact Academic Personnel Office
- K. Retaliation: Contact Academic Personnel Office
- L. Confidentiality of records/access to records/privacy: Contact Academic Personnel Office

²⁰ Deans may delegate responsibilities for conducting annual assessments of faculty to department chairs [apo.ucsc.edu/policy/capm/312.245.html], who may not redelegate that responsibility; PI's may not redelegate responsibility for annual assessments of their academic appointees.

Administrative Official Responsibilities

For employees who accrue leave, employees' hours worked and paid (including vacation, sick leave, etc.) must be accurately documented and reported through the payroll and time & attendance systems and must comply with pay policies governing the classification.²¹

Resources

Department

Academic Affairs [academicaffairs.ucsc.edu]

Academic Personnel Office [apo.ucsc.edu]

Academic Senate [senate.ucsc.edu]

Advancing Faculty Diversity
[academicaffairs.ucsc.edu/afd_grants]

Audit & Management Advisory Services
[audit.ucsc.edu]

Conflict of Interest Services
[officeofresearch.ucsc.edu/compliance/services/coi.html]

Disability Accommodations and Resources — academic and staff employees
[ada.ucsc.edu/employment-access]

Diversity, Equity, & Inclusion, Office for
[diversity.ucsc.edu]

Employee & Labor Relations [shr.ucsc.edu/elr]

Equity & Equal Protection [equity.ucsc.edu]

Faculty Development and Diversity
[senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-career-resources/facultydevelopmentdiversity.html]

Ombuds, Office of the [ombuds.ucsc.edu]

Research Development, Office of
[officeofresearch.ucsc.edu/ord]

Risk Services [risk.ucsc.edu]

Sexual violence and sexual harassment (Title IX office) [titleix.ucsc.edu/resources/svsh-resources.html]

Other Resources

Contract and Grant Manual [ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual]

Diversity Resources for UC Santa Cruz students, faculty, and staff [diversity.ucsc.edu/resources]

Faculty Code of Conduct [ucop.edu/academic-personnel-programs/files/apm/apm-015.pdf]

Resolution Options (Title IX)
[titleix.ucsc.edu/resolution-options/res-options-landing-page.html]

Travel Guide
[financial.ucsc.edu/Pages/travel_guide.aspx]

Whistleblower resources
[secure.ethicspoint.com/domain/media/en/gui/23531]
[Whistleblower hotline: 1-800-403-4744]
[Report form:
whistleblower.ucsc.edu/about/form.pdf]

Policies/Procedures

Abusive Conduct in the Workplace
[policy.ucop.edu/doc/4000701/AbusiveConduct]

Abusive Conduct and Bullying in the Workplace, Guidance on
[policy.ucop.edu/doc/4000647/AbusiveConductAndBullying]

Academic Personnel Policy Manual, UC
[ucop.edu/academic-personnel-programs/academic-personnel-policy]

²¹ Please see *CruzPay Toolboxes* that apply to academic employees (financial.ucsc.edu/Pages/Launch_CruzPay_Toolboxes.aspx).

Administrative Official Responsibilities

APM-011, Academic Freedom

[ucop.edu/academic-personnel-programs/files/apm/apm-011.pdf]

APM - 025, Conflict of Commitment and Outside Activities of Faculty Members

[ucop.edu/academic-personnel-programs/files/apm/apm-025.pdf]

APM-245 Appendix A, Responsibilities of Department Chairs [ucop.edu/academic-personnel-programs/files/apm/apm-245.pdf]

Campus Academic Personnel Policy Manual [apo.ucsc.edu/policy/capm]

Personnel Policies for Staff Members

[policy.ucop.edu/manuals/personnel-policies-for-staff-members.html]

PPSM – 81: Reasonable Accommodation Policies and Procedures

[shr.ucsc.edu/procedures/reasonable_accommodation]

Whistleblower Policy

[policy.ucop.edu/doc/1100171/Whistleblower]

Whistleblower Protection Policy

[policy.ucop.edu/doc/1100563/WPP]

Conflict of Interest

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:

- A. accountability for the implementation of a system, or systems, that effectively manage conflict of interest activities
- B. committing the university to an appropriate course of action that assures that no personal financial benefit is derived resulting from the business relationship

Major Responsibilities That Can Be Delegated:

- A. establishing departmental policies and procedures that ensure that:
 - 1. UCSC policies and codes regarding conflict of interest are followed
 - 2. academic appointees and staff employees are aware of disclosure and disqualification requirements
- B. monitoring, preventing, and reducing possible conflict of interest situations

Employee Responsibilities/Potential Areas of Risk

- A. An *Institutional COI in Research* may occur whenever the financial interests of the institution, or of an institutional official who has authority to act on behalf of the institution, might affect — or reasonably appear to affect — institutional processes for the design, conduct, reporting, review, or oversight of research.
- B. University employees, who are required to fully disclose their financial interests and fail to do so, are in violation of federal or state laws and are subject to administrative, civil, and criminal penalties. Persons violating the university's Conflict of Interest (COI) policy are subject to disciplinary action.
- C. University employees responsible for the design, conduct, or reporting of certain federal sponsored projects at the university must disclose to the university significant personal financial interests related to their research. When the university determines that such an interest might reasonably

Administrative Official Responsibilities

appear to directly and significantly affect the conduct of sponsored projects, the university will take steps to manage, reduce, or eliminate the conflict of interest.

- D. Principal investigators and co-principal investigators must disclose any financial interest in the sponsor of research funded in whole or in part through a gift, contract, or grant from a nongovernmental entity prior to making any commitment to accept such funding.
- E. Employees should not participate in or influence the university's business decisions that could lead to personal gain or give advantage to firms in which employees or a near relative have an interest.
- F. Employees should not purchase or lease goods, or contract for services from any university employee or near relative unless the procurement services manager has determined that goods or services are not available from either commercial sources or the university's own facilities.
- G. University resources, supplies, equipment, and facilities as well as staff time must not be used for the benefit of a company without proper compensation.
- H. Employees should discuss any potential conflict of interest situations with the COI coordinator (Office of Research).

Resources

Department

Conflict of Interest Services

[\[officeofresearch.ucsc.edu/compliance/services/coi.html\]](http://officeofresearch.ucsc.edu/compliance/services/coi.html)

Ombuds, Office of the [\[ombuds.ucsc.edu\]](http://ombuds.ucsc.edu)

Procurement and Supply Chain Services

[\[financial.ucsc.edu/Pages/Procurement_Dept.aspx\]](http://financial.ucsc.edu/Pages/Procurement_Dept.aspx)

Other Resources

Conflict of Interest Code [\[ucop.edu/uc-legal/legal-resources/conflict-of-interest-code.html\]](http://ucop.edu/uc-legal/legal-resources/conflict-of-interest-code.html)

Conflict of Interest Policies and Guidance (Office of Research)

[\[officeofresearch.ucsc.edu/compliance/services/coi7-policies.html\]](http://officeofresearch.ucsc.edu/compliance/services/coi7-policies.html)

Conflict of Interest Training (Office of Research)

[\[officeofresearch.ucsc.edu/compliance/services/coi6-training.html\]](http://officeofresearch.ucsc.edu/compliance/services/coi6-training.html)

Policies/Procedures

BFB-G-39: Conflict of Interest (COI) Policy & compendium of Specialized University Policies, Guidelines & Regulations Related to COI

[\[policy.ucop.edu/doc/1220367/BFB-G-39\]](http://policy.ucop.edu/doc/1220367/BFB-G-39)

BFB-BUS-43 Purchases of Goods and Services; Supply Chain Management

[\[policy.ucop.edu/doc/3220485/BFB-BUS-43\]](http://policy.ucop.edu/doc/3220485/BFB-BUS-43)

RPAC-11-05 Institutional Conflicts of Interest in Research: Principles, Policies and Guidance

[\[researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/RPAC-11-05\]](http://researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/RPAC-11-05)

Whistleblower Policy

[\[policy.ucop.edu/doc/1100171/Whistleblower\]](http://policy.ucop.edu/doc/1100171/Whistleblower)

Whistleblower Protection Policy

[\[policy.ucop.edu/doc/1100563/WPP\]](http://policy.ucop.edu/doc/1100563/WPP)

Administrative Official Responsibilities

Environment, Health & Safety

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:

- A. accountability for leadership by encouraging safety, health, and environmental awareness throughout the organization
- B. accountability for complying with UCSC policies and official directives regarding safety, health, and the environment
- C. responsibility for ensuring that academic appointees, employees, students, and visitors are not exposed to recognized and unmitigated hazards
- D. oversight of an effective review process to ensure required worker safety training is attended

Major Responsibilities That Can Be Delegated:

- A. establishing and supporting:
 - 1. the departmental Injury and Illness Prevention Program (IIPP) and document compliance with the campus IIPP program
 - 2. programs to educate and train personnel regarding UCSC Environment, Health & Safety policies and procedures, identification and elimination of hazardous conditions, environmental stewardship, record keeping, and ethical responsibility
 - 3. programs to ensure all research is conducted in accordance with UCSC Laboratory Safety guidelines, which includes completion of laboratory safety plans, department Injury and Illness Prevention plans, Emergency Action plans, and approval for use of radiation and hazardous biological materials
 - 4. documentation of employee safety training (from any source including formal presentations or one-to-one meetings/discussions) and maintaining this documentation in a readily available manner
- C. designating a safety officer or departmental safety committee to carry out department health and safety responsibilities

- D. developing and maintaining departmental emergency action plans that address procedures to be followed by personnel in case of fire, earthquake, major chemical spill, or other emergencies; designating key emergency personnel and assuring emergency action plans are integrated into departmental training
- E. reporting to EH&S, as soon as possible after the occurrence of all accidents or “near misses,” which result in injury and loss or destruction of property; keeping records on employee injuries, incident reports, and grievances involving safety matters and loss or destruction of property; ensuring that employees properly report injuries within twenty-four hours of the injury
- F. reporting any fire or fire/life safety hazard to EH&S as soon as possible
- G. developing, maintaining, and reviewing EH&S programs for department laboratories, shops, studios, etc., in accordance with UCSC policy and procedures as well as any applicable regulations (see “Resources”)
- H. following established EH&S procedural guidelines to assure that all staff are trained in handling hazardous waste and that all hazardous waste is properly prepared for disposal, labeled, and picked up by EH&S
- I. reporting any occurrence of environmental pollution to EH&S as soon as possible

Potential Areas of Risk

- A. The Corporate Criminal Liability Act of 1989²² requires an administrative official or manager to notify affected employees and Cal/OSHA in writing within fifteen days after actual knowledge is acquired when a “serious concealed danger” is identified.
- B. EH&S review and approval is required for all remodels and construction plans prior to commencing work.
- C. Vacated space, including areas from laboratory relocation, must meet EH&S clearance

²² California Corporate Criminal Liability Act [dir.ca.gov/DOSHPol/P&PC-42.pdf]

Administrative Official Responsibilities

requirements prior to entry of construction personnel and/or future occupancy.

- D. Granting agencies may stipulate specific safety and environmental protection requirements that must be followed.
- E. Contact EH&S when any outside regulatory official calls or requests entry to the workplace for an inspection, collection of information, or review of documentation.
- F. When personnel leave UCSC, unwanted hazardous chemicals and waste must be properly disposed of and any useful chemicals must be taken under control of another responsible party.

Resources

Department

Environmental Health & Safety [ehs.ucsc.edu]

Ombuds, Office of the [ombuds.ucsc.edu]

Workers' Compensation (Risk Services)
[risk.ucsc.edu/workers-comp]

Other Resources

Laboratory Safety [oes.ucsc.edu/fire-prevention/community-outreach/lab-safety.html]

Laboratory Safety Manual [ehs.ucsc.edu/lab-safety-manual]

Workers' Compensation Program [ucop.edu/risk-services-insurance/workers-compensation]

Safe Lab Practices
[ehs.ucsc.edu/programs/research-safety/safe-lab-practices.html]

Policies/Procedures

Management of Health, Safety and the Environment
[policy.ucop.edu/doc/3500506/MgmtHealthSafetyandEnvironment]

Finance

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:

- A. accountability for ensuring that the proper controls and monitoring procedures are working as intended and documented
- B. accountability for ensuring that reports are accurate and provide actionable insights into division progress toward goals and objectives
- C. accountability for ensuring that operations comply with ethical practices, applicable laws and regulations, university policies and procedures, and the terms and conditions of gifts, grants, and contracts
- D. accountability for ensuring that the allocation, use, and stewardship of resources comply with the policies applicable to those resource types (e.g., State allocations, student fee revenues, extramural funds)

Major Responsibilities That Can Be Delegated:

- A. establishing a financial plan based on programmatic priorities that result in maintaining a positive financial fund balance for the department
- B. implementing monitoring and reporting procedures to measure progress in achieving the financial plan and to avoid overdrafts for all funds
- C. operating the department in compliance with ethical practices, applicable laws and regulations, university policies and procedures, and the terms and conditions of gifts, grants, and contracts
- D. establishing and maintaining a system of internal controls that assures that resources are properly used and safeguarded against waste, loss, and misuse; this includes methods and procedures for segregation of duties, proper approvals, security of assets and records, and documented review and validation of the ledgers and financial reports
- E. establishing department policies and procedures to ensure that:
 - 1. charging costs to each fund is allowable, allocable, and properly documented, and will

Administrative Official Responsibilities

- provide benefit to the project for which the fund was established
 - 2. transferring of funds or expenses involving restricted dollars is proper; for example, grant funds cannot be shifted to a department reserve fund
 - F. establishing and monitoring controls that prevent one individual from exercising control over all key-processing functions for financial transactions. Such functions include:
 - 1. recording transactions into the Financial Information System (FIS) directly or through an interfacing system
 - 2. authorizing transactions
 - 3. receiving or disbursing funds
 - 4. reconciling financial system transactions
 - 5. recording corrections or adjustments
 - 6. maintaining custody of assets (cash, checks for bank deposits, etc.)
 - G. in departments for which limited resources do not allow for segregation of duties, the department Administrative Official needs to review the work for policy compliance, accuracy, and timeliness
 - H. ensuring that employees who prepare financial transactions provide adequate explanations and documentation sufficient to support post-authorization review and audit
 - I. identifying unauthorized transactions, and informing management if a loss of university assets or any material irregularity occurs
 - J. ensuring that fiscal support staff receive the core systems training that they need to effectively complete their responsibilities
 - K. ensuring that financial system access requested for staff is appropriate to their business need
- the federal government, which could impact our ability to obtain funding.
 - B. A bank account for either an activity supported by, or for funds disbursed by, the university is not to be opened without prior approval by the (UCOP) Treasurer's Office. This must be coordinated with the campus cash-handling coordinator.
 - C. Employees cannot approve payroll or other disbursements to themselves.
 - D. Expense reimbursements and payments must follow special limits and approvals as outlined in the appropriate UCSC policy and procedures manual.
 - E. When signing any document as the approving authority, an employee must sign their own name or use an electronic signature where appropriate.
 - F. Cash and checks received for the university must be deposited on a weekly basis or by the end of the day accumulated cash receipts exceed \$500, whichever occurs first.
 - G. Employees cannot accept cash, non-cash gifts, or other benefits from vendors or other organizations that do business with the university.²³
 - H. Financial systems developed by a department must demonstrate that income and expenses reconcile to the operating ledger in the Financial Information System, which is the official record for UCSC financial transactions.
 - I. Cost transfers, which are after-the-fact adjustments and corrections of errors in posting costs, affecting governmental funds must be processed according to procedures established by Extramural Funds Accounting.
 - J. The establishment of a new recharge account and new or revised recharge rates must be processed through Budget Analysis and Planning; reviewed by the Direct Costing Committee; and approved by the Associate Vice Chancellor of Budget Analysis and Planning.

Potential Areas of Risk

- A. Key controls that are not adequately documented could subject the university to greater scrutiny by

²³ UC's Conflict of Interest policy PPSM-82 (policy.ucop.edu/doc/4010421/PPSM-82) governs the acceptance of gifts and gratuities; UC provides (policy.ucop.edu/doc/1200366/AcceptanceofGifts) guidance on the acceptance of (and reporting requirements for) personal gifts and gratuities by employees Under California's Political Reform Act (fppc.ca.gov/the-law/the-political-reform-act.html)

Administrative Official Responsibilities

- K. All payments to, or for the benefit of, UCSC employees must be in accordance with personnel policies and compensation plans.
- L. All payments to, or for the benefit of, UCSC students must be in accordance with the policies and processes of the Office of Financial Aid and Scholarships.
- M. The payment of compensation or expense reimbursement to foreign visitors is restricted in many situations by United States Citizenship and Immigration Services (USCIS) regulations. See disbursements (*Foreign National Visitor/Non-Resident GLACIER Guide*²⁴) resources for help before a visitor arrives at UCSC.
- N. The funds of the university cannot be used for personal gain. This includes the purchase of products for personal use, or the purchase of products or services from oneself or a relative, or from other department employees or their relatives, unless allowed under the provision of the Conflict of Interest Policy.
- O. All loans to UCSC employees must be in accordance with approved university loan programs.
- P. Paying an individual as an independent contractor or a consultant when he or she should be paid as an employee is illegal and renders the department liable to pay required taxes and/or penalties.
- Q. The UCSC Chief Procurement Officer and designee has unlimited delegation for the execution of purchase contracts and standard purchase orders for materials, goods and services, and the execution of contracts for lease or lease/purchase equipment. No university staff or academic appointee may commit university funds without specific delegation of purchase authority granted from the Vice Chancellor for FOA or the Chief Procurement Officer.
- R. Complete records of equipment must be kept in the department. Equipment that is used in individuals' homes or other locations remains the property of the University of California and must be returned when no longer used for university business. See *"Routine Telecommuting and Remote Work"* and *"UCSC Non-Inventorial Equipment Removal."*
- S. The university cannot make charitable or political contributions. The chancellor may grant an exception if charitable contributions are consistent with the mission of the university.
- T. Risk Management is to be consulted in decisions involving potential liability, accidental loss, insurance and indemnification requirements, and litigation issues. Claims for loss of or damage to property are submitted to Risk Management as they are incurred.
- U. Staff with inadequate training or inadequate information about a particular business practice may be more likely to generate erroneous transactions. In the event this occurs, inaccurate reporting, delays in the approval process, and/or loss of productivity may result. All staff are strongly encouraged to become well versed in UCSC's business practices, including by availing themselves of relevant training resources.
- V. Only certain UCSC staff are authorized to execute business contracts and agreements with outside entities. Any administrative official contemplating a business arrangement with an outside entity should contact the appropriate office for consultation and support.

Resources

Department

Audit & Management Advisory Services

[\[audit.ucsc.edu\]](http://audit.ucsc.edu)

Budget Analysis and Planning

[\[planning.ucsc.edu/budget\]](http://planning.ucsc.edu/budget)

Business Contracts/Procurement and Supply Chain Services

[\[financial.ucsc.edu/Pages/Procurement_Dept.aspx\]](http://financial.ucsc.edu/Pages/Procurement_Dept.aspx)

Campus Counsel [\[lex.ucsc.edu\]](http://lex.ucsc.edu)

²⁴ Please see Financial Affairs guides (financial.ucsc.edu/Pages/Payments_ForeignNationals.aspx).

Administrative Official Responsibilities

Campus Controller's Office

[financial.ucsc.edu/Pages/Campus_Controller_Dept.aspx]

Cashier's Office/Merchant Services

[sbs.ucsc.edu/cashiers-office]

Development/University Relations

[urelations.ucsc.edu]

Disbursements — Foreign National Visitor/Non-Resident GLACIER Guide

[financial.ucsc.edu/Pages/Payments_ForeignNationals.aspx]

Extramural Funds Accounting

[financial.ucsc.edu/Pages/EMF_Dept.aspx]

Financial Accounting and Reporting

[financial.ucsc.edu/Pages/FAR_Dept.aspx]

Financial Administrative Services and Transactions/Accounts Payable (FAST/AP)

[financial.ucsc.edu/Pages/FAST_Dept.aspx]

Financial Affairs [financial.ucsc.edu]

Financial Aid and Scholarships, Office of

[financialaid.ucsc.edu]

Ombuds, Office of the [ombuds.ucsc.edu]

Payroll

[financial.ucsc.edu/Pages/Payroll_Dept.aspx]

Purchasing/Procurement and Supply Chain Services

[financial.ucsc.edu/Pages/Procurement_Dept.aspx]

Records and Information Management

[<https://rim.ucsc.edu>]

Risk Services [risk.ucsc.edu]

Sponsored Projects, Office of

[officeofresearch.ucsc.edu/osp]

Student Business Services [sbs.ucsc.edu]

Other Resources

Budget Analysis and Planning Training

[planning.ucsc.edu/budget/guidelines-systems-training]

Carry-forward and Year-End balances Guidelines

[planning.ucsc.edu/budget/guidelines-systems-training/cfwd-guidelines-year-end-balances.html]

[planning.ucsc.edu/budget/guidelines-systems-training/cfwd-guidelines-year-end-balances.html]

Cash Handling Policy (ACG-0012) and Guide

[policy.ucsc.edu/policies/financial-and-accounting/acg0012.html]

[financial.ucsc.edu/Pages/Cash_Guide.aspx]

Direct Costing Committee

[planning.ucsc.edu/budget/rates-and-assessments/recharge-rates/direct-costing-committee-review.html]

Financial Accountability Guide

[financial.ucsc.edu/Pages/Management_Accountability.aspx]

Financial Affairs Training Calendar

[financial.ucsc.edu/Pages/Training_Calendar_Public.aspx]

Gift Administration [ucop.edu/ethics-compliance-audit-services/files/audit/core/fundraising_giftproc.doc]

Internal Audit Manual [ucop.edu/ethics-compliance-audit-services/files/audit/auditmanual.pdf]

Payments to Students

[sites.google.com/ucsc.edu/deptawards/payment-types/stdt-pmt-decision-tree]

Physical Inventory Procedure

[financial.ucsc.edu/SiteCollectionDocuments/Inventory_Process.pdf]

UCSC Non-Inventorial Equipment Removal

[drive.google.com/file/d/1tsGbJyDkECV3pBcZa-FI2GrA1Cc0pZtJ]

Routine Telecommuting and Remote Work

[shr.ucsc.edu/procedures/telecommuting]

Travel Guide

[financial.ucsc.edu/Pages/travel_guide.aspx]

Administrative Official Responsibilities

Policies/Procedures

Acceptance of Personal Gifts and Gratuities by Employees Under California's Political Reform Act

[policy.ucop.edu/doc/1200366/AcceptanceofGifts]

Accounting Manual

[policy.ucop.edu/manuals/accounting-manual.html]

Accounting Manual 6-400 Responsibility for Financial Management and Control of Project Funds [ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/chapter6/chapter-6-400.html]

Administrative Policy [policy.ucsc.edu]

BFB BUS-10: Principles of Accountability with Respect to Financial Transactions [policy.ucop.edu/doc/3620683/BFB-BUS-10]

BFB-BUS-49 Policy for Cash and Cash Equivalents Received [policy.ucop.edu/doc/3420337/BFB-BUS-49]

BFB-RMP-1: University Records Management Program [policy.ucop.edu/doc/7020453/BFB-RMP-1]

PPSM-82: Conflict of Interest [policy.ucop.edu/doc/4010421/PPSM-82]

UCSC Financial Deficit Policy [planning.ucsc.edu/budget/guidelines-systems-training/financial-deficit-policy.html]

UCSC Policy on Compulsory Campus-based Student Fees [deanofstudents.ucsc.edu/student-conduct/student-handbook/80.00.pdf]

Human Resources

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:

- A. accountability for the overall management of the department in compliance with UC system policies, UCSC campus policies as well as statutes and regulatory requirements including nondiscrimination regulations and collective bargaining agreements
- B. supporting individuals with specific, delegated responsibilities by clearly delineating roles in the department and appropriately responding to compliance issues as they are raised
- C. fostering the *UCSC Principles of Community* (see "Resources" below)²⁵
- D. fostering a departmental environment that respects and adheres to legal and ethical requirements²⁵

Major Responsibilities That Can Be Delegated:

The administrative official may assign specific duties to other appropriate departmental employees. In assigning responsibilities to employees, it is essential that the employees clearly understand the responsibilities, abide by the policies and procedures governing the assignment, and understand the administrative structure that has jurisdiction in the assigned areas. The following list represents some of the human resources responsibilities that may be delegated:

- A. maintaining up-to-date job descriptions, signed by the supervisor and employee, and classified by the Compensation & Classification department (SHR) or pursuant to the department's delegation
- B. implementing the University of California Nondiscrimination/Affirmative Action Policies via the local implementing procedures as needed to comply with federal requirements
- C. coordinating efforts to resolve human resource issues and potential problems within the office in consultation with the appropriate human resource

²⁵ Although these responsibilities cannot be delegated, administrative officials at all levels have responsibility to foster the *UCSC Principles of Community* and to foster an environment within their unit that respects and adheres to legal and ethical requirements.

Administrative Official Responsibilities

support groups in such areas as nondiscrimination, hiring or promotion, corrective action and discipline, classification and pay, employee rehabilitation, and workers' compensation

- D. establishing and maintaining plans, standards, and expectations for performance management
- E. maintaining appropriate documentation to support and substantiate employment actions taken in the department, particularly in the areas of applicant selection, performance appraisal, classification, compensation, and other conditions of employment
- F. establishing and monitoring procedures for department activities to ensure compliance with UCSC Human Resource Policies and Procedures
- G. carrying out departmental obligations related to UCSC-sponsored visas²⁶
- H. developing and enforcing policy regarding conduct with minors, including establishing and maintaining policies/ standards, in consultation with risk management, and providing guidance and training for managers on appropriate response in the case of noncompliance

Potential Areas of Risk

- A. Immediately involve the appropriate central administrative support department (e.g., Academic Personnel, Staff Human Resources, Equal Opportunity/Staff Affirmative Action, Office of Equity and Equal Protection, Campus Counsel) when any complaint, legal action, or formal grievance is filed.
- B. For campus departments, the hiring process for represented and unrepresented staff must comply with hiring policies and processes including lawfully conducting background checks and refraining from searching social media and the internet for information about candidates.
- C. Employment offers for hire or promotion must be reviewed and the salary level approved by the Staff Human Resources Talent Acquisition unit and

department budget personnel prior to communicating the offer.

- D. The classification level of a position must be determined by the Staff Human Resources *Compensation & Classification* unit.
- E. Employees' hours worked and paid (including vacation, sick leave, etc.) must be accurately documented and reported through the payroll and time & attendance systems and must comply with pay policies governing the classification.
- F. When advice and counsel are needed to resolve university and/or UCSC policy interpretation and application, Staff Human Resources should be contacted.
- G. Failure to provide a complete, honest, and timely performance appraisal on a regular basis could be critical to the effective and efficient resolution of current and future performance issues with an individual employee.
- H. Immediately consult with the Title IX office, Risk, Campus Counsel, and SHR when an accusation arises that a student employee or professional staff member has had inappropriate interaction or communication with a minor. Refrain from conducting any investigation, the appropriate offices will do this. If the incident is communicated via email use *Virtru*²⁷ and ensure the message contains the following language:
"THIS MESSAGE IS INTENDED TO BE A CONFIDENTIAL COMMUNICATION SUBJECT TO AN ATTORNEY-CLIENT AND ATTORNEY WORK PRODUCT PRIVILEGE; IT IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL(S) TO WHOM IT IS ADDRESSED; IT SHOULD NOT BE SHOWN TO ANYONE NOT EMPLOYED BY THE UNIVERSITY OF CALIFORNIA AND SHOULD BE SHOWN TO OTHER UNIVERSITY EMPLOYEES ONLY ON A NEED-TO-KNOW BASIS."

²⁶ International Student and Scholar Services (Global Engagement) is available to assist departments and to provide advising and assistance to students, scholars, and employees (global.ucsc.edu/opportunities/iss).

²⁷ Please see "*Virtru for sharing sensitive data on and off campus*" (its.ucsc.edu/virtru) for more information about this service.

Administrative Official Responsibilities

Resources

Department

Academic Personnel Office [apo.ucsc.edu]

Benefits [shr.ucsc.edu/benefits]

Compensation & Classification
[shr.ucsc.edu/compensation]

Diversity, Equity, and Inclusion, Office for
[diversity.ucsc.edu]

Employee & Labor Relations [shr.ucsc.edu/elr]

Equal Employment Opportunity/Affirmative Action [equity.ucsc.edu]

Employee Assistance Program
[shr.ucsc.edu/benefits/eap]

International Student and Scholar Services
[iss.ucsc.edu]

Global Engagement [global.ucsc.edu]

Learning & Development [shr.ucsc.edu/training]

Risk Services [risk.ucsc.edu]

Ombuds, Office of the [ombuds.ucsc.edu]

Payroll
[financial.ucsc.edu/Pages/Payroll_Dept.aspx]

Sexual violence and sexual harassment (Title IX office) [titleix.ucsc.edu/resources/svsh-resources.html]

Staff Human Resources [shr.ucsc.edu]

UCPath [ucpath.ucsc.edu,
ucpath.universityofcalifornia.edu]

Other Resources

Collective Bargaining Agreements
[ucnet.universityofcalifornia.edu/labor/bargaining-units]

CruzPay Time and Attendance System
[financial.ucsc.edu/Pages/Launch_CruzPay.aspx]

Diversity and Inclusion training
[diversity.ucsc.edu/education]

Labor Agreements and Policy-Covered Employees
[shr.ucsc.edu/elr/contracts]

UC Fair Hiring for Equity & Inclusion
[learningcenter.ucsc.edu]

UC Preventing Harassment & Discrimination
[learningcenter.ucsc.edu]

UCSC Principles of Community
[ucsc.edu/about/principles-community.html]

Policies/Procedures

Abusive Conduct in the Workplace
[policy.ucop.edu/doc/4000701/AbusiveConduct]

Academic Personnel Manual
[ucop.edu/academic-personnel-programs/academic-personnel-policy]

Personnel Policies for Staff Members
[policy.ucop.edu/manuals/personnel-policies-for-staff-members.html]

Nondiscrimination/Affirmative Action
[ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/chapter14]

Administrative Official Responsibilities

Information Systems/Data Integrity

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:

- A. establishing and implementing systems to ensure the integrity and security of the data on which decisions are made
- B. assuring that systems access and transactions are in accordance with management's authorization and are recorded in the university records in an accurate and timely manner
- C. appointing the divisional data security administrator
- D. determining appropriate approval hierarchies to establish adequate separation of duties
- E. determining which employees should be given access to what core data
- F. determining which employees are designated as transaction "preparers" or "reviewers"
- G. managing reported or suspected access and security violations in accordance with university policies

Major Responsibilities That Can Be Delegated:

- A. establishing departmental access as determined by the business officer
- B. establishing core systems transaction preparation and review as determined by the business officer
- C. training on computer access, security, software, and appropriate use of university information
- D. monitoring of departmental core systems transactions

Potential Areas of Risk

- A. Adequate data control systems must be established to ensure that the appropriate authorization, accountability, and data integrity and security exist.
- B. Each department must ensure that all financial and personnel transactions are recorded accurately and in a timely manner. Accurate transactions should reflect the actual value/information involved, contain sufficient detail, be posted in a timely manner, stored securely, readily retrievable, and safeguarded against improper alteration, disclosure, or use.

- C. Departmentally developed systems must be secure, reliable, responsive, and accessible. These systems must be designed, tested, documented, and maintained according to accepted development and implementation standards. They should be built upon sound data models and employ technology that allows data to be shared appropriately, and meet users' needs.
- D. Departmentally developed systems must contain controls to ensure that data is synchronized and validated and contains appropriate interfaces to any core financial systems.
- E. Local and wide area networks, including electronic mail and calendaring must be reliable, stable, and secure.
- F. Appropriate systems backup, recovery, and contingency planning must be established to meet Office of Record retention schedules and requirements.
- G. All significant online transactions appearing on the general/operating ledger and payroll/personnel system should be validated in a timely manner either at the end of each accounting period, or as specified for online systems. In addition, a representative sample of smaller transactions should also be validated, to ensure that the controls in place are operating effectively.
- H. Employees must be adequately trained in the use of online systems and transactions.
- I. Employees must be encouraged to report any compromise or breakdown in the unit's data integrity without fear of reprisal.
- J. A unit's financial reporting and monitoring process should be integrated with UCSC's data warehouse, or should utilize the Financial Information System tools to ensure data integrity. Any "stand-alone" process for reporting in a unit risks producing inaccurate information and typically uses significant resources to maintain.

Administrative Official Responsibilities

Resources

Department

Academic Divisional IT Support [its.ucsc.edu/get-help/dls.html]

Campus Cyberinfrastructure Service
[its.ucsc.edu/cyberinfrastructure]

Information Technology Services [its.ucsc.edu]

Other Resources

Data Center Standards [its.ucsc.edu/data-center/dc-standards.html]

Data Resource Classification
[its.ucsc.edu/policies/data-resource-class.html]

Physical Security Standards and Governance
[its.ucsc.edu/physical-security/standards.html]

Protection Levels for UC Institutional Information
[its.ucsc.edu/policies/data-protect.html]

UC Cyber Security Awareness Fundamentals
[learningcenter.ucsc.edu]

UC Account and Authentication Management Standard

[security.ucop.edu/files/documents/policies/account-and-authentication-management-standard.pdf]

UC Electronic Communications Policy

[policy.ucop.edu/doc/7000470/ElectronicCommunications]

UCSC Implementation of UC Electronic Communications Policy

[ucscpolicy.ellucid.com/documents/view/102/active]

UCSC Policy on Privacy of Student Records

[registrar.ucsc.edu/records/privacy]

UC & UCSC IT Policies and Guidelines

[its.ucsc.edu/policies]

UC Records Management Policies

[rim.ucsc.edu/governance]

Policies/Procedures

BFB IS-3—Electronic Information Security
[policy.ucop.edu/doc/7000543/BFB-IS-3]

BFB IS-10—System Development and Maintenance Standards
[policy.ucop.edu/doc/7020449/BFB-IS-10]

BFB-RMP-2: Records Retention and Disposition: Principles, Processes, and Guidelines
[policy.ucop.edu/doc/7020454/BFB-RMP-2]

BFB-RMP-8: Requirements on Privacy of and Access to Information
[policy.ucop.edu/doc/7020463/BFB-RMP-8]

IS-12: IT Recovery
[policy.ucop.edu/doc/7020451/BFB-IS-12]

IT0001: HIPAA Security Rule Compliance Policy
[ucscpolicy.ellucid.com/documents/view/140]

IT0003, Acceptable Use of UCSC Electronic Information Resources
[ucscpolicy.ellucid.com/documents/view/141]

Administrative Official Responsibilities

Research

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:

- A. accountability for the administrative leadership of the department, including its research activity
- B. oversight responsibilities for departmental research activities

Staff may be responsible for implementing the administrative official's decisions and for reviewing departmental compliance with university policies and procedures, but cannot be responsible for academic or other substantive decisions for which the administrative official is accountable.

Major Responsibilities That Can Be Delegated:

Research Activities

- A. reviewing proposals submitted by departmental faculty members to ensure the following:
 - 1. principal investigator or co-principal investigator is eligible
 - 2. proposed project scope is consistent with the educational and professional objectives of the department
 - 3. time commitments made by academic appointees are appropriate
 - 4. campus space is available for the proposed project, or alternate space options have been arranged
 - 5. cost sharing and/or other fund commitments set forth in the proposal can be met
 - 6. equipment screening procedures have been followed where appropriate
 - 7. all sponsor and institutional compliance requirements are met
 - 8. university guidelines regarding industry alliances have been followed²⁸
 - 9. university guidelines regarding the review, approval, and timely submission of proposals

and the conduct of the research have been followed

- B. reviewing matters such as space allocation and employee health and safety programs as they relate to research issues such as biohazard, fire and life safety, chemical hazards, and radiation safety (the Administrative Official is responsible for assuring compliance with campus EH&S policies, that laboratory spaces are free of contamination and cleared of hazardous materials following lab relocations)
- C. establishing and maintaining departmental review or safety committees as appropriate
- D. approving all radiation safety and radioactive drug research applications on behalf of the department
- E. training animal care laboratory personnel

Potential Areas of Risk

Research

- A. Serious issues or circumstances may lead to a formal complaint, grievance, or legal action in areas such as:
 - 1. conflict of interest or commitment
 - 2. misconduct in research
 - 3. misuse or mismanagement of resources
 - 4. violation of the faculty code of conduct
 - 5. malign foreign engagement

It is strongly suggested that the administrative official immediately involve the Vice Chancellor for Research and/or the appropriate compliance office, if any of the above issues occur or are likely to occur.

Research—Human Subjects

- A. Noncompliance with federal regulations and policies can result in the loss of the privilege to conduct human subject research for the investigator, the institution, and the potential for the loss of all federal funding to the institution.

²⁸ The Industry Alliances & Technology Commercialization (IATC) office can assist with questions about policy/guidelines related to industry agreement, such as NDAs, MTAs, DTUAs, and ISRA's (officeofresearch.ucsc.edu/iatc/ind-agreements)

Administrative Official Responsibilities

- B. Failure to obtain Institutional Review Board (IRB) approval for research involving human subjects prior to commencing the project or instituting a revision/modification of the project without prior IRB approval of the procedures may compromise the university indemnification of the investigator and make the investigator personally liable.

Research—Animal Subjects

- A. All use of vertebrate animals for teaching, training, and research must have approval by the UCSC Institutional Animal Care and Use Committee (IACUC).
- B. Noncompliance with federal and university animal welfare regulations and policies may lead to a formal complaint, loss of animal use privilege, loss of federal funding, fines, and/or criminal penalties.
- C. Animals owned by, used, or funded (subcontracted) under the jurisdiction of UCSC must be housed in facilities approved by the Institutional Animal Care and Use Committee (IACUC).
- D. The transportation of animals must meet with federal, state, and local regulations.

Research—Gift Administration *(related to research)*

- A. The administrative official must ensure that gifts are classified according to policy and that they meet IRS regulations.
- B. Gifts must be expended for the purpose they were received.
- C. The Office of Sponsored Projects should be consulted for assistance.

Research—Effort Reporting

- A. The administrative official must ensure compliance with the legal obligation to certify that the effort required as a condition of the award has actually been completed.
- B. Effort reports are required for all personnel paid directly from sponsored projects funded by federal sources, including private and state federal flow-

through funds. UCSC satisfies its effort reporting requirement through an effort reporting tool.²⁹

Research—Export Controls

- A. The administrative official must ensure that researchers/principal investigators comply with laws restricting exports of goods, technology, and technical data both outside the U.S. and to foreign nationals within the U.S.

Research—Financial Management

- A. The administrative official must ensure that a principal investigator manages sponsored projects effectively and reports the sources and uses of these extramural funds accurately.
- B. Falsification of financial transactions, including vendor payments, expense reimbursements, payroll, and leave documents is a violation of the Federal False Claims Act and may be punishable by individual and institutional sanctions up to and including incarceration.

Research—Review of Sponsored Proposals and Awards

- A. The administrative official must ensure that research proposals are accurate, complete, and reviewed and are submitted timely.
- B. An employee with delegated authority should ensure that all sponsor and institutional compliance requirements are met.
- C. An employee with delegated contracting authority should review and sign all sponsored awards.
- D. The Office of Research should be consulted for assistance.

Research—Use of Hazardous Materials

- A. The administrative official should ensure that all work involving the use of radioisotopes, hazardous biological materials, radiation machines, high-power lasers, and certain hazardous chemicals and toxins receive approval prior to the start of research. Contact EH&S for assistance.

²⁹ See Effort Reporting System (ERS) Guide (financial.ucsc.edu/pages/systems_ersguide.aspx)

Administrative Official Responsibilities

- B. Non-compliance with state and federal regulations and policies can result in the loss of the privilege to conduct research using radiation for the investigator and the institution. There may also be the potential for loss of all federal funding as well as licensure and accreditation risks.
- C. Noncompliance with NIH policies and guidelines, with respect to usage of hazardous biological materials, may result in the loss of the privilege to conduct research for the investigator, for the institution, and the potential for loss of all NIH funding to the institution.
- D. The transportation of hazardous materials, including radioisotopes, hazardous biological agents, and chemicals must meet with federal, state, and local regulations.
- D. The administrative official should ensure that researchers/principal investigators comply with Office of Research guidance designed to track and to protect Intellectual Property against theft.³²

Resources

Department

Academic Personnel Office [apo.ucsc.edu]

Environmental Health & Safety [ehs.ucsc.edu]

Industry Alliances & Technology

Commercialization (IATC) Office

[officeofresearch.ucsc.edu/iatc]

International Student and Scholar Services

[isss.ucsc.edu]

Ombuds, Office of the [ombuds.ucsc.edu]

Research, Office of [officeofresearch.ucsc.edu]

Research Compliance Administration, Office of

[officeofresearch.ucsc.edu/compliance]

Research Development, Office of

[officeofresearch.ucsc.edu/ord]

Risk Services [risk.ucsc.edu]

Sponsored Projects, Office of

[officeofresearch.ucsc.edu/osp]

Research—Intellectual Property³⁰

- A. It is required that anyone using university research facilities, whether or not on a paid appointment, sign the university patent acknowledgement form.
- B. Employees must disclose their patents and inventions using UCSC Office of Research IP management processes.³¹
- C. Consulting agreements between an academic appointee and an outside organization may not conflict with duties owed the university under academic personnel policy.

³⁰ Scholarly research open data requirements are changing rapidly, so administrative officials will need to keep informed of the emerging requirements for public access to research publications and data.

For example, the updated 2023 National Institutes of Health (NIH) Data Management and Sharing Policy (NIH DMS Policy, oir.nih.gov/sourcebook/intramural-program-oversight/intramural-data-sharing/2023-nih-data-management-sharing-policy) is in effect requiring the sharing of NIH-funded research data (sharing.nih.gov/data-management-and-sharing-policy/sharing-scientific-data/selecting-a-data-repository).

Other federal funding agencies are also expected to begin requiring research data sharing within the next two years [see the 2022 White House Office of Science and Technology Policy (OSTP) memorandum “Ensuring Free, Immediate, and Equitable Access to Federally Funded Research”, whitehouse.gov/wp-content/uploads/2022/08/08-2022-OSTP-Public-Access-Memo.pdf].

Current UC policy (policy.ucop.edu/doc/2500700/ResearchData) and tools are consistent with federal data management and sharing guidance and the campus is monitoring the changing requirements.

³¹ A synopsis and explanation of longstanding University policies and State law on faculty and academic employee obligations to the University regarding intellectual property matters is available (ucop.edu/research-policy-analysis-coordination/files/Consulting-Industry-White-Paper-2003.pdf).

³² UC is in the process of replacing its current Patent Tracking System (PTS) with a modern intellectual property management system (regents.universityofcalifornia.edu/regmeet/sept22/s1.pdf).

Administrative Official Responsibilities

Other Resources

Animal Care and Use (IACUC)

[officeofresearch.ucsc.edu/compliance/services/iacuc.html]

Contract and Grant Manual—Academic Policy

[ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/chapter1]

Effort Reporting System

[financial.ucsc.edu/Pages/Launch_ERS.aspx]

Human Research Protections Program/IRB

[officeofresearch.ucsc.edu/compliance/services/irb.html]

Intellectual property [ucop.edu/research-policy-analysis-coordination/policies-guidance/intellectual-property]

Intellectual Property Essentials for Academic Researchers (UCOP presentation)

[techtransfer.universityofcalifornia.edu/IPAwariness]

The Intellectual Property (IP) Management Process

[officeofresearch.ucsc.edu/iatc/ip-mgmt]

Contract and Grant Manual [ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual]

Patent Policy (policy also applies to inventions)

[policy.ucop.edu/doc/2500493/PatentPolicy]

Research Data Policy

[policy.ucop.edu/doc/2500700/ResearchData]

UC Faculty Handbook [ucop.edu/academic-personnel-programs/programs-and-initiatives/faculty-resources-advancement/faculty-handbook.html]

Policies/Procedures

APM - 015, The Faculty Code of Conduct

[ucop.edu/academic-personnel-programs/_files/apm/apm-015.pdf]

APM - 025, Conflict of Commitment and Outside Activities of Faculty Members

[ucop.edu/academic-personnel-programs/_files/apm/apm-025.pdf]

APM - 190, Appendix B - University Policy on Integrity in Research

[ucop.edu/academic-personnel-programs/_files/apm/apm-190-b.pdf]

BFB IS-3—Electronic Information Security

[policy.ucop.edu/doc/7000543/BFB-IS-3]

Conflict of Interest Code

[ucop.edu/uc-legal/legal-resources/conflict-of-interest-code.html]

Selected Policies and Guidelines

Administrative officials are responsible for developing an appropriate structure for effectively managing the university's resources.



Selected Policies and Guidelines

- Principles of Accountability
- UCSC Principles of Community
- Principles of Conflict of Interest
- Principles of Data Integrity
- Principles of Financial Management
- Principles of Regulatory Compliance
- Informal Conflict Resolution
- Records Management Program
- Research Involving Human Subjects
- Research Involving Animal Subjects
- Animal Care Program
- Audit and Management Advisory Services and Campus Support
- Selected Examples of Good Business Practices for Accountability

Selected Policies and Guidelines

Principles of Accountability

Policy

The chancellor delegates the accountability for the management of UCSC resources to the leadership of functional units. Each unit head is accountable for managing their own resources.

The administrative official of each unit will normally delegate the overall management responsibilities. The administrative official is responsible for developing an appropriate structure for effectively handling the unit's resources. This will involve delegating a variety of tasks to employees within the unit.

Each administrative official shall be responsible for developing an accountability structure that adheres to the following principles and responsibilities:

Principles

- A. A person cannot delegate greater accountability than they have.
- B. Tasks shall only be delegated to people who are qualified to perform them. A qualified person must:
 - 1. be actively involved in the tasks being performed;
 - 2. have the appropriate knowledge and technical skills to perform those tasks, including knowledge of relevant regulations and policies; and
 - 3. have the authority to carry out tasks without being countermanded.
- C. A person delegating tasks is responsible for ensuring that those tasks are being properly performed.
- D. A person who delegates tasks must keep a secure, up-to-date record of those delegations as well as modifications to them. A department security administrator should be enlisted to maintain this record.
- E. A second person shall be assigned to review selected transactions to ensure that the preparer has properly fulfilled their function.

- F. The administrative official must periodically:
 - 1. review the official record of who is accountable for the various functions; and
 - 2. ensure that each person assigned tasks that involve accountability is performing their duties with competency and honesty
- G. Each administrative official is responsible for monitoring the effectiveness of the accountability structure.

“ Each administrative official shall be responsible for developing an accountability structure ...

Responsibilities: Maintaining an Effective Accountability Structure

An effective structure for the delegation of accountability includes the following areas of responsibility:

- A. ensuring that key controls exist, that they are working properly, and they have been adequately documented with corrective actions taken
- B. ensuring that only one person (normally the administrative official) be responsible for managing the accountability structure of a unit and also for ensuring that the structure clearly defines all areas of responsibility
- C. clearly defining delegated duties and assigning those tasks to qualified personnel. A qualified person is someone who:
 - 1. does not have conflicting duties
 - 2. fully understands what is expected
 - 3. has sufficient training to complete the tasks successfully
 - 4. has the knowledge and experience to make sound judgments concerning each task
 - 5. knows who to contact, or what action to take, if problems arise or if a person of higher authority attempts to override compliance requirements

Selected Policies and Guidelines

- D. ensuring that there is a reasonable distribution of workload in accordance with the available resources
 - E. informing involved individuals of their assigned roles, and training them when necessary
 - F. designating a Department Security Administrator (DSA), as appropriate, who is responsible for keeping a secure, up-to-date record of accountability delegations, which includes:
 - 1. recording the initial delegation of tasks to people in the unit, and subsequent changes to those delegations
 - 2. updating the data security administration system to grant access to update, review, or inquire against online systems
 - 3. ensuring that the record is secured from unauthorized changes
 - 4. keeping a backup copy of the record in a physically separate location from the original
 - G. reviewing the official record of accountability delegations kept by the DSA on at least a quarterly basis to ensure that the record kept by the DSA is accurate, complete, current, and secure
 - H. periodically assessing that private and sensitive information is handled, documented, and disposed of appropriately
 - I. monitoring the effectiveness of the accountability structure on a regular basis through the use of exception, summary, reconciliation, or other reports
- 3. ensure that any new account and fund linkages requested are appropriate
 - 4. resolve any questions raised during the completion of the transaction or via online edits and related messages
 - 5. forward the completed transaction, with any supporting documents, to the reviewer when appropriate
- B. A reviewer must:
 - 1. review selected transactions within two working days of receipt
 - 2. inspect transactions to ensure that the preparer properly fulfilled their responsibilities
 - 3. ensure that transactions being reviewed comply with policy, regulatory, and other requirements
 - 4. resolve all questions that arise with a transaction, or ensure that the transaction is reversed until the questions are resolved
 - 5. notify the DSA if they will be absent from work for two or more business days, so another reviewer can be assigned
 - 6. notify the DSA when they return to work from an absence of two or more business days

Responsibilities: Preparing and Reviewing Budgetary and Financial Transactions

Both a preparer and reviewer should be involved in budgetary and financial transactions. Specifically:

- A. A preparer must understand all relevant regulatory requirements, systems and policies, as well as the purpose of the transaction to:
 - 1. enter accurate data into all fields on a transaction document or application system screen
 - 2. record an accurate and thorough explanation of each transaction

Selected Policies and Guidelines

UCSC Principles of Community

The University of California, Santa Cruz is committed to promoting and protecting an environment that values and supports every person in an atmosphere of civility, honesty, cooperation, professionalism and fairness.

UC Santa Cruz expects that every campus member will practice these Principles of Community.

We strive to be:

- **Diverse:** We embrace diversity in all its forms and we strive for an inclusive community that fosters an open, enlightened and productive environment.³³
- **Open:** We believe free exchange of ideas requires mutual respect and consideration for our differences.
- **Purposeful:** We are a participatory community united by shared commitments to: service to society; preservation and advancement of knowledge; and innovative teaching and learning.
- **Caring:** We promote mutual respect, trust and support to foster bonds that strengthen the community.
- **Just:** We are committed to due process, respect for individual dignity and equitable access to resources, recognition and rewards.
- **Disciplined:** We seek to advance common goals through reasonable and realistic practices, procedures and expectations.
- **Celebrative:** We celebrate the heritage, achievements and diversity of the community and the uniqueness and contributions of our members.

We accept the responsibility to pursue these principles in an atmosphere of personal and intellectual freedom, security, respect, civility and mutual support.

UC Santa Cruz is committed to enforcement of policies that promote the fulfillment of our principles of community. These policies include but are not limited to: University of California Personnel Policies for Staff

Members; applicable University Collective Bargaining Agreements; Academic Personnel Manual O16-University of California Policy on Faculty Conduct and the Administration of Discipline; UC Abusive Conduct in the Workplace Policy; UC Santa Cruz Policy on Student Conduct and Discipline; UC Santa Cruz Policy on Sexual Assault and UC Policy on Sexual Harassment; UC Santa Cruz Hate Bias Incident Policy. For further information or inquiries, contact the Directors of Academic Personnel and Staff Human Resources; Office for Diversity, Equity, and Inclusion; Director of EEO/Affirmative Action Office; Director, Student Judicial Affairs; Title IX Officer; and Campus Ombuds.

[The UC Santa Cruz Principles of Community statement was developed under the aegis of the Campus Welfare Committee, with broad campus consultation, and was endorsed by the Provost's Advisory Council and the Chancellor in June 2001.]

Resources

Website [ucsc.edu/about/principles-community.html]

Poster [ucsc.edu/about/files/poc-poster-14E6soft.pdf]

“The Office for Diversity, Equity, and Inclusion will launch a new educational series in 2023-2024 that embraces themes of diversity, inclusion, equity, accessibility, and belonging.”

³³ The Office for Diversity, Equity, and Inclusion will launch a new educational series in 2023-2024 that embraces themes of diversity, inclusion, equity, accessibility, and belonging (diversity.ucsc.edu/education).

Selected Policies and Guidelines

Principles of Conflict of Interest

Policy

The university's overall policy on conflict of interest specifies that none of its faculty, staff, managers, and officials shall engage in any activities that place them in a conflict of interest between their official activities and any other interest or obligation. It requires that all university employees disqualify themselves from participating in a university decision when a financial conflict of interest is present.³⁴

Administrative officials are responsible for ensuring an open, free, and objective environment in the conduct of the university's teaching, research, and service roles by applying the following principles and responsibilities:

Principles

- A. Teaching, research, public services, and patient care performed by UCSC employees are to be conducted in an atmosphere that is free of conflicts of interest.
- B. Outside activities or interests should be closely assessed to assure that the integrity and objectivity of all employees in performance of their university obligations are protected.
- C. Each unit is responsible for maintaining a reasonable balance between competing interests and providing a mechanism to help maintain research integrity, protect student interests, and foster an open academic environment.
- D. Any possible financial interests must adhere to the regulations incorporated in the university's Conflict of Interest Code.
- E. A process must be in place to assure the systematic review of all principal investigators' financial disclosures prior to the acceptance of gifts, contracts, or grants from nongovernmental sponsors.

- F. A systematic review of financial disclosures from principal investigators, co-principal investigators, and/or key personnel must disclose any financial interests prior to the acceptance of gifts, contracts, or grants from certain governmental and nongovernmental sponsors.

Responsibilities

- A. designated employees who make or participate in decision making that may affect personal financial interests must file a financial disclosure statement for sources of income in excess of \$500
- B. no employees should purchase, lease, and/or contract for goods and services from any university employee or near relative unless the Purchasing Office has determined that goods or services are not available from any other readily available source
- C. if a designated official's decision could create a possible conflict of interest in the selection of any goods and services, a "disqualification statement" must be submitted
- D. academic appointees, principal investigators, co-principal investigators, and/or key personnel must disclose any financial interests prior to the acceptance of gifts, contracts, or grants from certain governmental and nongovernmental sponsors
- E. academic appointees shall recuse themselves from peer-review personnel processes which may financially benefit themselves or a near relative

³⁴ An institutional conflict of interest (ICOI) exists whenever the financial interests or holdings of the institution, or the personal financial interests or holdings of institutional leaders might affect or reasonably appear to affect the design, conduct, reporting, review or oversight of research. When the potential for ICOI exists, administrative officials should contact the Office of Research Compliance Administration (officeofresearch.ucsc.edu/compliance) for guidance.

Selected Policies and Guidelines

Principles of Data Integrity

Policy

Financial management decisions affect every aspect of the university, but such decisions can only be as good as the data on which they are based. Consequently, each unit must establish and implement a system to ensure data integrity. This system must provide reasonable assurance that transactions are in accordance with the appropriate authorization and are recorded in the university records in an accurate and timely manner.

Administrative officials are responsible for developing a system that adheres to the following principles and responsibilities:

Principles

- A. An adequate data control system, including independent checks and balances, must exist within and between operating units.
- B. All employees engaged in financial management activities are responsible for ensuring that adequate data controls are being employed. If they are not, all employees must take an active role in developing and implementing appropriate corrective actions.
- C. Each unit must ensure that recorded assets match actual existing assets. A mechanism must be in place to spot discrepancies and to ensure that corrective actions are taken.
- D. Each unit must ensure that all financial transactions are recorded correctly. Correct transactions must:
 - 1. reflect the actual values involved
 - 2. contain sufficient detail for proper identification and classification
 - 3. be posted on a timely basis in the proper accounting period
 - 4. be stored securely
 - 5. be readily retrievable for inquiry or reporting
 - 6. be safeguarded against improper alteration
- E. All systems that affect, or are used to report, financial data must be secure, reliable, responsive, and accessible. These systems must be designed, documented, and maintained according to accepted development and implementation standards. They

should be built upon sound data models and employ technology that allows data to be shared appropriately.

- F. All financial systems should meet the users' needs. In addition, all interfaces affecting any financial system must contain controls to ensure the data is synchronized and reconciled.
- G. All networks, including electronic mail, through which departmental users access university financial data must be reliable, stable, and secure.

Responsibilities

A system of data integrity includes:

- A. allowing no one individual complete control over all key processing functions for any financial transactions such as:
 - 1. recording transactions into the financial system directly or through an interfacing system
 - 2. authorizing transactions
 - 3. receiving or disbursing funds
 - 4. reconciling financial system transactions
 - 5. recording corrections or adjustments
- B. assigning a second person to review work for accuracy, timeliness, and honesty if personnel constraints within the unit requires that one person perform all of these functions
- C. ensuring that all employees who prepare financial transactions provide adequate descriptions, explanations, and backup documentation sufficient to support post authorization review and any internal or external audit
- D. keeping "Office of Record" documents (both forms and new paperless transactions) physically secure and readily retrievable; these documents must be retained for the periods specified in the University Records Disposition Schedules Manual
- E. ensuring that staff reconcile transactions appearing on the operating ledger at the end of each accounting period; a representative sample of transactions must be verified for:
 - 1. amount
 - 2. account classification
 - 3. description
 - 4. proper accounting period

Selected Policies and Guidelines

Principles of Financial Management

Policy

In order to accomplish the university's mission and vision to promote teaching, research, public service, and patient care, administrative officials must manage various resources in an efficient and cost-effective manner.

“Authority to spend funds brings with it the responsibility for effective fiscal management. All units should meet operating needs within their available budgets.”

The administrative official of each unit shall adopt the following principles and responsibilities to ensure sound financial management:

Principles

- A. An annual budget must be established to accomplish the following:
 - 1. project resources necessary to achieve a unit's goals and objectives;
 - 2. measure current financial performance;
 - 3. discover significant transaction errors;
 - 4. detect substantial change in circumstances or business conditions.
- B. A budget must be attainable, reasonable, and realistic.
- C. All expenditures must comply with all relevant policies, rules, and regulations.
- D. Units must operate within their budget. Where expenditures exceed budget, justification for such excess must be provided. A formal plan to eliminate deficit balances must also be developed and approved (as specified in campus policy).³⁵

- E. Actual financial activity must be compared to the budget on a regular basis to ensure that unnecessary costs are being avoided and that transactions are adequately supported.
- F. When actual financial activity varies significantly from the budget, administrative officials, or their designees, must determine the cause, evaluate the activity, and take corrective action.
- G. Each unit must evaluate the financial consequences before a new activity is started, or a current activity is changed or eliminated, and must ensure that the anticipated benefits are greater than the costs.
- H. Administrative officials must provide adequate safeguards to protect against the loss or unauthorized use of university assets.

Responsibilities: Planning and Budgeting

All planning and budgeting activity must include:

- A. a mission statement with goals and objectives for each unit that is simple, direct, attainable, and includes measurable goals;
- B. a thorough process for identifying, implementing, and evaluating activities required to achieve the university's goals and objectives;
- C. an annual budget process aimed at re-evaluating current and future budget requirements;
- D. a consistent method for gathering and analyzing data;
- E. sufficient detail and descriptive narrative to clearly portray how all unit operations are being financed including:
 - 1. all funding sources;
 - 2. revenue estimates;
 - 3. major expenditures by category;
 - 4. major assumptions and forecasting methods used;
 - 5. significant changes in current activities;
 - 6. contingency plans;
- F. a method of identifying and assessing financial, service, and organizational risks;

³⁵ See the campus *Financial Deficit Policy* for the approval requirements of a deficit resolution plan. That policy states, in part, “Authority to spend funds brings with it the responsibility for effective fiscal management. All units should meet operating needs within their available budgets. All deficits in UC Santa Cruz current, loan, and plant funds should be cleared throughout the year and must be cleared by the close of the fiscal year.”

Selected Policies and Guidelines

- G. a cash management plan to maximize the cash resources available to the university.

Responsibilities: Monitoring and Evaluating Financial Data

All systems for monitoring and evaluating financial data must include:

- A. monthly financial reports that accurately represent the unit's financial status; these reports must:
 - 1. identify revenue sources and categorized expenditure data;
 - 2. provide budget to actual fiscal activity;
 - 3. identify trend activity and problem areas;
 - 4. highlight exception items;
- B. a method for reviewing revenue and expenses at the end of each ledger cycle;
- C. a system that documents the monitoring and reconciliation of financial and payroll data;
- D. a method of sampling financial transactions to ensure that expenditures are appropriate and that adequate supporting documentation is provided;
- E. a method to determine and document the cause of significant deviations;
- F. a method for taking corrective actions that includes:
 - 1. revising budgets and associated plans to reflect changing business conditions;
 - 2. changing or eliminating activities;
 - 3. obtaining additional funding;
 - 4. modifying goals and objectives;
 - 5. correcting transaction errors;
 - 6. altering future budget assumptions;
 - 7. implementing new control procedures;
 - 8. documenting managerial decisions that depart from the budget.

Responsibilities: Safeguarding University Assets

University assets must be safeguarded from loss or unauthorized use. Adequate safeguards include:

- A. a physical inventory of all inventoried equipment must be conducted at least once per year; all

discrepancies must be promptly reported and investigated;

- B. documentation and approval of any adjustments to the asset records;
- C. regular and periodic examinations of delinquent account balances and follow-up collections or write-off actions and procedures;
- D. the assurance that all cash or cash equivalent collections are handled in a timely manner and in accordance with University's policy;³⁶ all cash shortages and excesses must be promptly reported to a supervisor, who must investigate them immediately.

Principles of Regulatory Compliance

Policy

Every employee who conducts transactions that affect university funds must comply with applicable laws, regulations, and special restrictions. To ensure compliance with applicable laws, regulations, and special restrictions, each administrative official should adopt the following principles and responsibilities:

Principles

- A. Individuals conducting business transactions shall personally face punitive action resulting from blatant violations of laws, regulations, or restrictions affecting the conduct of those transactions.
- B. Anyone who is aware of fraudulent or illegal business transactions conducted in the name of the university shall report them immediately.
- C. Each unit is responsible for the restitution of any disallowance due to noncompliance with laws, regulations, or special restrictions. In certain circumstances, such restitution may be wholly or partially mitigated by higher authorities within the organization.

³⁶ See Business and Finance Bulletin BUS-49, *Policy for Cash and Cash Equivalents Received* (policy.ucop.edu/doc/3420337/BFB-BUS-49) and the other resources referenced in this guide.

Selected Policies and Guidelines

- D. Employees conducting university business transactions are responsible for keeping up to date with changing legal and regulatory requirements.
- E. Legal and regulatory requirements, as well as any donor-imposed restrictions, shall be maintained on record with the university and be readily accessible.

Responsibilities: Financial Reporting

Financial reporting in compliance with regulatory requirements includes:

- A. following Generally Accepted Accounting Principles (GAAP); the basic requirements of these standards as applied at UCSC are as follows:
 - 1. sources and uses of funds must be aggregated by the type of activity they support, and in accordance with any restriction imposed on their use;
 - 2. revenue is reported when earned, and expenditures are reported when goods or services are received;
 - a. in general, revenue is earned when the university provides goods or services. For example, on a cost-reimbursable research grant, revenue is earned as the costs are incurred for the conduct of the research;
 - b. expenses are incurred as the university uses goods or services. For example, when laboratory supplies are received, the university incurs the expense. Holding an invoice does not prevent the expense from being incurred;
 - 3. accounting principles must be applied consistently, both within fiscal years and between fiscal years. Central administrative support departments review financial information to ensure consistent, university-wide application of these accounting principles;
 - 4. transactions are classified and recorded consistently;

- 5. revenue and expense must be recorded in the proper accounting period;
- B. reporting to sponsoring entities in accordance with their specific requirements; federal agencies and entities that serve as conduits for federal funds require adherence to either Office of Management and Budget (OMB) Uniform Guidance and/or Federal Acquisition Regulations (FAR),³⁷ as well as any additional sponsor requirements.
- C. making all financial reporting systems open to regular internal and external audits; external auditors must be cleared and coordinated by the UCSC external audit coordinator.

³⁷ Uniform Guidance 2 CFR Part 200 is a federal regulation that applies to all entities that receive federal awards as a recipient or subrecipient (grants.gov/learn-grants/grant-policies/omb-uniform-guidance-2014.html); The Federal Acquisition Regulation (FAR) is the principal set of rules regarding government procurement (gsa.gov/policy-regulations/regulations/federal-acquisition-regulation). For additional information/guidance, contact the Office of Research (officeofresearch.ucsc.edu).

Selected Policies and Guidelines

Informal Conflict Resolution

Policy

The University of California, Santa Cruz is committed to providing individuals a safe, neutral process for the resolution of conflict. That process shall be fair, efficient, and free from reprisal. Recognizing that each individual has both a personal interest in, and a share of the responsibility for, resolving their conflict, UCSC encourages and facilitates the use of an informal conflict resolution process.

There are two ways this informal conflict resolution process is encouraged:

1. Administrative officials are responsible for supporting a workplace environment that adheres to the following principles and responsibilities; and
2. Administrative officials are encouraged to use the Office of the Ombuds to carry out the informal conflict resolution process in an informal, neutral, and confidential setting.

Principles

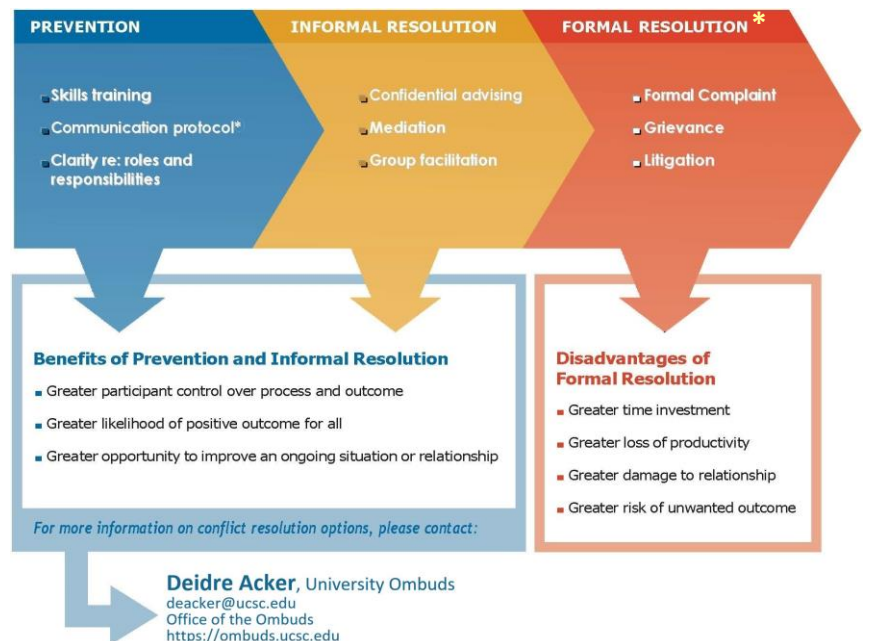
- A. Conflicts are inevitable and may produce benefits and positive results if managed effectively and expeditiously.
- B. Early recognition of conflict is critical.
- C. An effective conflict resolution process promotes compromise or collaboration as people learn how to work harmoniously, develop creative solutions to problems, and reach outcomes that mutually benefit those involved.
- D. The administrative official must promote an environment that emphasizes commitment, continuity, and consistency with respect to conflict resolution.

Responsibilities

- A. Issues should first be brought to the attention of the relevant individual(s).
- B. It is both the right and the responsibility of individuals involved in a conflict situation to attempt to resolve conflict on an informal basis.
- C. Administrative officials must encourage and facilitate conflict resolution so that the employee is encouraged to seek resolution within the department.
- D. All parties involved in the resolution process should encourage open communication and cooperative problem-solving.
- E. All parties involved in the resolution process should focus on the real issues and concentrate on a win-win resolution.
- F. If the employee feels uncomfortable about raising the issue within the department, he or she may seek assistance from Academic Personnel,

The spectrum of services offered by the *Office of the Ombuds* include

- Provides confidential, neutral, and informal dispute resolution services
- Facilitates communication and assist parties in reaching mutually acceptable agreements to find fair and equitable resolutions to concerns
- Is available to assist faculty, staff, and students



* The Ombuds is not involved in the formal resolution process.

Selected Policies and Guidelines

Employee and Labor Relations, Office of the Ombuds, Equity and Equal Protection, and/or other applicable employee support services.

The following assistance is available:

1. clarification of issues that created the conflict/concern
2. information regarding available options
3. articulation of interests and possible remedies
4. information on policies and procedures
5. key referral sources
6. ongoing follow-up

Resources

Office of the Ombuds [ombuds.ucsc.edu/resources]

Records Management Program

Program Objectives

In keeping with sound business practices, UCSC creates, gathers, and maintains operational and historic records of its activities. The university has established the Records & Information Management Program (RIM) to ensure that university records are appropriately created, managed and preserved, and retrievable when needed. Security and privacy of records and their appropriate disposition must also meet regulatory and policy requirements to assure the protection of the information.

This program provides guidelines for the retention and management of university records and disposition of records when they are no longer pertinent to university operations or do not have historic value. The RIM Program develops and evaluates records disposition schedules for both paper and electronic records systems.

Policy and Records Administration

The Records & Information Management Program works with and advises campus representatives on a wide range of record-related issues including vital records, form development, record systems design and implementation, and review of adequate controls to comply with legal and regulatory requirements. This also includes the development and maintenance of retention schedules specific to UCSC, conveying campus concerns and issues to the systemwide committee, and reporting periodically on the status of the program.

Department Responsibilities

All employees at UCSC who handle administrative records are required to understand and follow applicable policies and laws. Administrative records may appear in a variety of formats, including paper and electronic.

Selected Policies and Guidelines

Administrative officials are responsible for ensuring that the following roles and responsibilities for records management are being performed:

Record proprietors determine which records will be created, gathered, and maintained, and produce records for audit and other purposes. Record proprietors may be the manager of an operational unit. For large enterprise record repositories or multiple record filing systems, there may be more than one proprietor.

Record custodians maintain, secure, and care for records in accordance with University Records Management Program guidelines designated by the record proprietor. This custodian is the manager of the unit. In some cases, the record proprietor and record custodian may be the same person, or there may be more than one custodian.

Resources

Records & Information Management Program (RIM)
[\[rim.ucsc.edu\]](http://rim.ucsc.edu)

Research Involving Human Subjects

Research is “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.” Human subjects are defined as “living individual(s), about whom an investigator (whether professional or student) conducting research (1) obtains data through intervention or interaction with the individual, or (2) identifies private information.”

Policy

In accordance with the federal policy on the Protection of Human Subjects (DHHS Policy 45 CFR part 46, FDA Policy 21 CFR parts 50 and 56), UCSC is responsible for the protection of the rights and welfare of human subjects in research conducted by, or under the supervision of faculty, staff, or students. To conduct this responsibility effectively, the university maintains Institutional Review Boards (IRBs) to review research protocols involving human subjects and to evaluate both risk and protection against risk for those subjects.

Responsibilities: Institutional Review Boards (IRBs)

It is the function of the IRBs to:

- A. determine and certify that all projects conform to the regulations and policies set forth by DHHS and FDA regarding the health, welfare, safety, rights, and privileges of human subjects;
- B. assist investigators in complying with federal and state regulations.

Responsibilities: UCSC Institutional Review Boards

- A. UCSC, as part of its multiple project assurance (the license from the NIH to function as an IRB), has agreed to protect the welfare of all human subjects involved in research, whether or not the research is conducted or supported by a federal department or agency. Therefore, the UCSC IRB has jurisdiction over all human subject research conducted at this institution and does not recognize any exemptions.
- B. The UCSC IRB has the responsibility of reviewing all human subject research:

Selected Policies and Guidelines

1. sponsored by UCSC;
2. conducted by any UCSC employee or agent in connection with their institutional duties;
3. conducted by any UCSC agent or employee using any property or facility of UCSC;
4. that involves the use of UCSC's non-public information in order to identify or contact human research subjects.

Research Involving Animal Subjects

Research is "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." Animal subjects are defined as any live, vertebrate animal used or intended for use in research, research training, experimentation, or biological testing or for related purposes.

Policy

In accordance with the Animal Welfare Act as Amended (7 USC, 2131-2159), the Code of Federal Regulations, Title 9, Chapter 1, Subchapter A, the NIH Health Research Extension Act of 1985, the NIH Revitalization Act of 1993, the Public Health Service Policy, and UCSC PPM 100-6, UCSC is responsible for the protection of the rights and welfare of animal subjects in research conducted by, or under the supervision of faculty, staff, or students. To conduct this responsibility effectively, the university maintains an Institutional Animal Care and Use Committee to review research protocols involving animal subjects.

Responsibilities: UCSC Institutional Animal Care and Use Committee

- A. review at least once every six months the institution's program for humane care and use of animals, using the Guide for the Care and Use of Laboratory Animals (the Guide) as a basis for evaluation;
- B. inspect at least once every six months all of the institution's animal facilities (including satellite facilities) using the Guide as a basis for evaluation;
- C. prepare reports of the IACUC evaluations conducted as required and submit the reports to the institutional official;
- D. review concerns involving the care and use of animals at the institution;
- E. make recommendations to the institutional official regarding any aspect of the institution's animal program, facilities, or personnel training;
- F. review, approve animal use protocol applications;
- G. review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding animal use in ongoing activities;
- H. be authorized to suspend an activity involving animals.

Animal Care Program

Policy

Administrative officials, such as deans, department chairs, and directors, are responsible for ensuring a strong commitment to the humane care of all vertebrate animals used at UCSC for research, teaching, and training. The following principles should be followed:

Principles

- A. The promotion of sensitivity and concern among faculty and staff for the need for humane care and treatment of animals.
- B. Knowledge about federal, state, and local policies and regulations governing the care and use of laboratory animals, especially the U.S. government principles for the utilization and care of vertebrate animals used in testing, research, and training.
- C. The establishment of administrative and financial support for animal use in research and instruction and ensure that high standards for animal care are an institutional priority.

Selected Policies and Guidelines

- D. Encouragement of open and cooperative communication with investigators, the Institutional Animal Care and Use Committee, and Animal Resource personnel. Receptivity to the needs for resources, facilities improvement, and security measures in order to facilitate biomedical research using animals.
- E. Establishment and/or support of public education endeavors to educate the public, the media, and political and governmental officials of the need for animals in research and instruction, the relevance to human and animal health, advancement of knowledge, and the good of society.
- F. Establishment of procedures for, and direct leadership of, any crisis situation that may arise to counter an assault upon appropriate animal use, which has the potential to threaten the integrity and reputation of the institution.
- G. Consultation with institutional communications and governmental affairs officials regarding responses to inquiries about research being conducted at UCSC, particularly responses to demonstrations or other activities of animal rights organizations.

Audit and Management Advisory Services and Campus Support

Overall Role

Audit and Management Advisory Services (AMAS) performs a broad variety of audits including financial and compliance audits, operational (economy and efficiency) reviews, information systems audits, and integrated audits. Generally, audits will focus on key areas of concern as identified in collaboration with management. A risk-based annual audit plan is then developed and implemented. Anyone can request an audit, however, requests typically come from the cognizant vice chancellor, department business officers, and other personnel involved in the campus risk assessment process.

These services assist administrative officials in the discharge of their oversight, management, and operating responsibilities. AMAS is authorized to have full, free, and unrestricted access to information, including records, computer files, property, and personnel in accordance with the authority granted by the Board of Regents and UCSC chancellor approval of the Internal Audit Charter. Except where limited by law or university policy, the work of AMAS is unrestricted. AMAS has neither direct responsibility for, nor authority over, any of the activities reviewed. Therefore, the audit review and appraisal process does not, in any way, relieve administrative officials of the responsibilities delegated to them.

Advisory Services Role

AMAS also serves an advisory role to the campus community. Services include consultations, problem prevention and/or resolution, and participation on committees or task forces created by the campus to address specific problems or ongoing issues.

Advisory Consulting/Services is another advisory service provided by AMAS to the campus community and is intended to add value and improve an organization's governance, risk management, and control processes.

Selected Policies and Guidelines

External Audit Coordination

AMAS has responsibility for the oversight of all external audit activities, with the exception of the Regents' financial and A-133 audits, which are coordinated by the campus controller. The role of AMAS is to assure that the campus responds appropriately to all external audit requests agencies in a consistent manner. In order to do so, all audit requests must be directed to the AMAS and should outline the purpose and schedule of the audit or survey to be conducted. Only formal requests will be acknowledged.

Selected Examples of Good Business Practices for Accountability

In order to establish and maintain an effective accountability structure, the following business practices are recommended:

1. assigning responsibility and delegating authority to handle appropriately the organization's operating functions, regulatory requirements, while meeting goals and objectives;
2. developing academic and business plans that address university objectives and changing economic, industry, and regulatory environments;
3. ensuring that activity-level objectives flow from the entity-wide objectives and strategies;
4. assessing benefits and associated risks of a venture before proceeding;
5. establishing and communicating throughout the organization about what is right and wrong;
6. communicating clearly to all personnel the responsibilities and expectations for the unit's activities;
7. structuring the organization to facilitate the flow of information upstream, downstream, and across all activities;
8. consulting with individuals having the expertise needed to make informed decisions;
9. documenting key controls that provide evidence that reviews are completed;
10. specifying the level of competence needed for particular jobs, and translating the desired levels of competence into requisite knowledge and skills;
11. ensuring that personnel have required knowledge, experience, and training to perform their duties, and cross-training personnel for critical functions;
12. regularly appraising the performance of all employees of the unit, using established performance management guidelines;
13. properly protecting and disposing of private and/or sensitive information;
14. reconciling and validating monthly transactions using Financial Affairs tools.³⁸

³⁸ Guides (financial.ucsc.edu/Pages/Ledger_ReviewGuide.aspx, financial.ucsc.edu/Pages/Awards_TransactionReviewGuide.aspx)

Quick Reference Listings

The resources provided in this section give comprehensive information about various topics to assist you in carrying out your administrative and financial functions.



Quick Reference Listings

- Department Resources
- Other Resources
- Policies and Procedures

Quick Reference Listings

Department Resources

Academic Affairs [academicaffairs.ucsc.edu]
Academic Divisional IT Support [its.ucsc.edu/get-help/dls.html]
Academic Personnel Office [apo.ucsc.edu]
Advancing Faculty Diversity
[academicaffairs.ucsc.edu/afd_grants]
Audit & Management Advisory Services
[audit.ucsc.edu]
Benefits [shr.ucsc.edu/benefits]
Budget Analysis and Planning
[planning.ucsc.edu/budget]
Business Contracts/Procurement and Supply Chain Services
[financial.ucsc.edu/Pages/Procurement_Dept.aspx]
Campus Counsel [lex.ucsc.edu]
Campus Controller's Office
[financial.ucsc.edu/Pages/Campus_Controller_Dept.aspx]
Campus Cyberinfrastructure Service
[its.ucsc.edu/cyberinfrastructure]
Cashier's Office/Merchant Services
[sbs.ucsc.edu/cashiers-office]
Chancellor's Office [chancellor.ucsc.edu]
Compensation & Classification
[shr.ucsc.edu/compensation]
Conflict of Interest Services
[officeofresearch.ucsc.edu/compliance/services/coi.html]
Development/University Relations
[urelations.ucsc.edu]
Disbursements — Foreign National Visitor/Non-Resident GLACIER Guide
[financial.ucsc.edu/Pages/Payments_ForeignNationals.aspx]
Diversity, Equity, and Inclusion, Office for
[diversity.ucsc.edu]
Diversity and Inclusion Education
[diversity.ucsc.edu/education]

Disability Accommodations and Resources — academic and staff employees
[ada.ucsc.edu/employment-access]
Employee Assistance Program
[shr.ucsc.edu/benefits/eap]
Employee & Labor Relations [shr.ucsc.edu/elr]
Environmental Health & Safety [ehs.ucsc.edu]
Equal Employment Opportunity/Affirmative Action
[equity.ucsc.edu]
Equity & Equal Protection [equity.ucsc.edu]
Extramural Funds Accounting
[financial.ucsc.edu/Pages/EMF_Dept.aspx]
Faculty Development and Diversity
[senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-career-resources/facultydevelopmentdiversity.html]
Financial Accounting and Reporting
[financial.ucsc.edu/Pages/FAR_Dept.aspx]
Financial Administrative Services and Transactions/Accounts Payable (FAST/AP)
[financial.ucsc.edu/Pages/FAST_Dept.aspx]
Financial Affairs [financial.ucsc.edu]
Financial Aid and Scholarships, Office of
[financialaid.ucsc.edu]
Global Engagement [global.ucsc.edu]
Graduate Studies [graddiv.ucsc.edu]
Learning & Development [shr.ucsc.edu/training]
Industry Alliances & Technology Commercialization (IATC) Office [officeofresearch.ucsc.edu/iatc]
Information Technology Services [its.ucsc.edu]
International Student and Scholar Services
[iss.ucsc.edu]
Ombuds, Office of the [ombuds.ucsc.edu]
Payroll [financial.ucsc.edu/Pages/Payroll_Dept.aspx]
Postdoctoral Scholar Support
[graddiv.ucsc.edu/postdocs]
Purchasing/Procurement and Supply Chain Services
[financial.ucsc.edu/Pages/Procurement_Dept.aspx]
Registrar, Office of the [registrar.ucsc.edu]

Quick Reference Listings

Research, Office of [officeofresearch.ucsc.edu]
Research Compliance Administration, Office of
[officeofresearch.ucsc.edu/compliance]
Research Development, Office of
[officeofresearch.ucsc.edu/ord]
Records and Information Management
[<https://rim.ucsc.edu>]
Risk Services [risk.ucsc.edu]
Sexual violence and sexual harassment (Title IX office) [titleix.ucsc.edu/resources/svsh-resources.html]
Sponsored Projects, Office of
[officeofresearch.ucsc.edu/osp]
Staff Human Resources [shr.ucsc.edu]
Student Business Services [sbs.ucsc.edu]
UCPath [ucpath.ucsc.edu,
ucpath.universityofcalifornia.edu]
Undergraduate Education [ue.ucsc.edu]
Workers' Compensation (Risk Services)
[risk.ucsc.edu/workers-comp]

Other Resources

Animal Care and Use (IACUC)
[officeofresearch.ucsc.edu/compliance/services/iacuc.html]
Budget Analysis and Planning Training
[planning.ucsc.edu/budget/guidelines-systems-training]
Carry-forward and Year-End balances Guidelines
[planning.ucsc.edu/budget/guidelines-systems-training/cfwd-guidelines-year-end-balances.html]
Collective Bargaining Agreements
[ucnet.universityofcalifornia.edu/labor/bargaining-units]
Conflict of Interest Code [ucop.edu/uc-legal/legal-resources/conflict-of-interest-code.html]

Conflict of Interest Policies and Guidance (Office of Research)
[officeofresearch.ucsc.edu/compliance/services/coi-7-policies.html]
Conflict of Interest Training (Office of Research)
[officeofresearch.ucsc.edu/compliance/services/coi-6-training.html]
Contract and Grant Manual [ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual]
Contract and Grant Manual—Academic Policy
[ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/chapter1]
CruzPay Time and Attendance System
[financial.ucsc.edu/Pages/Launch_CruzPay.aspx]
Data Center Standards [its.ucsc.edu/data-center/dc-standards.html]
Data Resource Classification
[its.ucsc.edu/policies/data-resource-class.html]
Direct Costing Committee
[planning.ucsc.edu/budget/rates-and-assessments/recharge-rates/direct-costing-committee-review.html]
Diversity and Inclusion Resources for students, faculty, and staff [diversity.ucsc.edu/resources]
Effort Reporting System
[financial.ucsc.edu/Pages/Launch_ERS.aspx]
Faculty Handbook [ucop.edu/academic-personnel-programs/programs-and-initiatives/faculty-resources-advancement/faculty-handbook.html]
Financial Accountability Guide
[financial.ucsc.edu/Pages/Management_Accountability.aspx]
Financial Affairs Training Calendar
[financial.ucsc.edu/Pages/Training_Calendar_Public.aspx]
Gift Administration [ucop.edu/ethics-compliance-audit-services/files/audit/core/fundraising_giftproc.doc]

Quick Reference Listings

Human Research Protections Program/IRB

[officeofresearch.ucsc.edu/compliance/services/irb.html]

Internal Audit Manual [ucop.edu/ethics-compliance-audit-services/files/audit/auditmanual.pdf]

Laboratory Safety [oes.ucsc.edu/fire-prevention/community-outreach/lab-safety.html]

Laboratory Safety Manual [ehs.ucsc.edu/lab-safety-manual]

Payments to Students

[sites.google.com/ucsc.edu/deptawards/payment-types/stdt-pmt-decision-tree]

Physical Inventory Procedure

[financial.ucsc.edu/SiteCollectionDocuments/Inventory_Process.pdf]

Physical Security Standards and Governance

[its.ucsc.edu/physical-security/standards.html]

Protection Levels for UC Institutional Information

[its.ucsc.edu/policies/data-protect.html]

Resolution Options (Title IX)

[titleix.ucsc.edu/resolution-options/res-options-landing-page.html]

Routine Telecommuting and Remote Work

[shr.ucsc.edu/procedures/telecommuting]

Safe Lab Practices [ehs.ucsc.edu/programs/research-safety/safe-lab-practices.html]

Intellectual property [ucop.edu/research-policy-analysis-coordination/policies-guidance/intellectual-property]

Intellectual Property Essentials for Academic Researchers (UCOP presentation)

[techtransfer.universityofcalifornia.edu/IPAwareness]

The Intellectual Property (IP) Management Process

[officeofresearch.ucsc.edu/iatc/ip-mgmt]

Travel Guide

[financial.ucsc.edu/Pages/travel_guide.aspx]

UC Cyber Security Awareness Fundamentals

[learningcenter.ucsc.edu]

UC Fair Hiring for Equity & Inclusion

[learningcenter.ucsc.edu]

UC Preventing Harassment & Discrimination

[learningcenter.ucsc.edu]

UCSC Non-Inventorial Equipment Removal

[drive.google.com/file/d/1tsGbJyDkECV3pBcZaFI2GrA1Cc0pZtJ]

UCSC Principles of Community

[ucsc.edu/about/principles-community.html]

Workers' Compensation Program [ucop.edu/risk-services-insurance/workers-compensation]

Policies and Procedures

Abusive Conduct in the Workplace

[policy.ucop.edu/doc/4000701/AbusiveConduct]

Abusive Conduct and Bullying in the Workplace, Guidance on

[policy.ucop.edu/doc/4000647/AbusiveConductAndBullying]

Academic Personnel Manual, UCSC

[apo.ucsc.edu/policy/capm]

Academic Personnel Manual, UC

[ucop.edu/academic-personnel-programs/academic-personnel-policy]

Acceptance of Personal Gifts and Gratuities by Employees Under California's Political Reform Act

[policy.ucop.edu/doc/1200366/AcceptanceofGifts]

Accounting Manual

[policy.ucop.edu/manuals/accounting-manual.html]

Accounting Manual 6-400 Responsibility for Financial Management and Control of Project Funds

[ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/chapter6/chapter-6-400.html]

Administrative Policy [policy.ucsc.edu]

APM - 011, Academic Freedom [ucop.edu/academic-personnel-programs/files/apm/apm-011.pdf]

APM - 015, The Faculty Code of Conduct

[ucop.edu/academic-personnel-programs/files/apm/apm-015.pdf]

Quick Reference Listings

APM - 025, Conflict of Commitment and Outside

Activities of Faculty Members [ucop.edu/academic-personnel-programs/files/apm/apm-025.pdf]

APM - 190, Appendix B - University Policy on

Integrity in Research [ucop.edu/academic-personnel-programs/files/apm/apm-190-b.pdf]

APM - 245 Appendix A, Responsibilities of

Department Chairs [ucop.edu/academic-personnel-programs/files/apm/apm-245.pdf]

BFB BUS-10: Principles of Accountability with Respect to Financial Transactions

[policy.ucop.edu/doc/3620683/BFB-BUS-10]

BFB-BUS-43 Purchases of Goods and Services; Supply Chain Management

[policy.ucop.edu/doc/3220485/BFB-BUS-43]

BFB-BUS-49 Policy for Cash and Cash Equivalents Received

[policy.ucop.edu/doc/3420337/BFB-BUS-49]

BFB-G-39: Conflict of Interest (COI) Policy & compendium of Specialized University Policies, Guidelines & Regulations Related to COI

[policy.ucop.edu/doc/1220367/BFB-G-39]

BFB IS-3—Electronic Information Security

[policy.ucop.edu/doc/7000543/BFB-IS-3]

BFB IS-10—System Development and Maintenance Standards

[policy.ucop.edu/doc/7020449/BFB-IS-10]

BFB-RMP-1: University Records Management Program

[policy.ucop.edu/doc/7020453/BFB-RMP-1]

BFB-RMP-2: Records Retention and Disposition: Principles, Processes, and Guidelines

[policy.ucop.edu/doc/7020454/BFB-RMP-2]

BFB-RMP-8: Requirements on Privacy of and Access to Information

[policy.ucop.edu/doc/7020463/BFB-RMP-8]

CAPM 900.700: Leaves of Absence

[apo.ucsc.edu/policy/capm/900.700.html]

Cash Handling Policy (ACG-0012) and Guide

[[policy.ucsc.edu/policies/financial-and-](http://policy.ucsc.edu/policies/financial-and-accounting/acg0012.html)

[accounting/acg0012.html](http://policy.ucsc.edu/policies/financial-and-accounting/acg0012.html)]

[financial.ucsc.edu/Pages/Cash_Guide.aspx]

Conflict of Interest Code [ucop.edu/uc-legal/legal-resources/conflict-of-interest-code.html]

Contract and Grant Manual [ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual]

IS-12: IT Recovery

[policy.ucop.edu/doc/7020451/BFB-IS-12]

IT0001: HIPAA Security Rule Compliance Policy

[ucscpolicy.ellucid.com/documents/view/140]

IT0003, Acceptable Use of UCSC Electronic Information Resources

[ucscpolicy.ellucid.com/documents/view/141]

Management of Health, Safety and the Environment

[policy.ucop.edu/doc/3500506/MgmtHealthSafetyandEnvironment]

Nondiscrimination/Affirmative Action

[ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/chapter14]

Patent Policy

[policy.ucop.edu/doc/2500493/PatentPolicy]

Personnel Policies for Staff Members

[policy.ucop.edu/manuals/personnel-policies-for-staff-members.html]

Policy Coordination Office [policy.ucsc.edu]

PPSM—81: Reasonable Accommodation Policies and Procedures

[shr.ucsc.edu/procedures/reasonable_accomodation]

PPSM-82: Conflict of Interest

[policy.ucop.edu/doc/4010421/PPSM-82]

Presidential Policies [policy.ucop.edu]

Research Data Policy

[policy.ucop.edu/doc/2500700/ResearchData]

UC Account and Authentication Management Standard

[security.ucop.edu/files/documents/policies/account-and-authentication-management-standard.pdf]

Quick Reference Listings

UC Electronic Communications Policy

[policy.ucop.edu/doc/7000470/ElectronicCommunications]

UCSC Implementation of UC Electronic Communications Policy

[ucscpolicy.ellucid.com/documents/view/102/active]

UC & UCSC IT Policies and Guidelines

[its.ucsc.edu/policies]

UC Records Management Policies

[rim.ucsc.edu/governance]

UCSC Financial Deficit Policy

[planning.ucsc.edu/budget/guidelines-systems-training/financial-deficit-policy.html]

UCSC Policy on Compulsory Campus-based Student Fees

[deanofstudents.ucsc.edu/student-conduct/student-handbook/80.00.pdf]

UCSC Policy on Privacy of Student Records

[registrar.ucsc.edu/records/privacy]

Whistleblower Policy

[policy.ucop.edu/doc/1100171/Whistleblower]

Whistleblower Protection Policy

[policy.ucop.edu/doc/1100563/WPP]

Whistleblower Resources

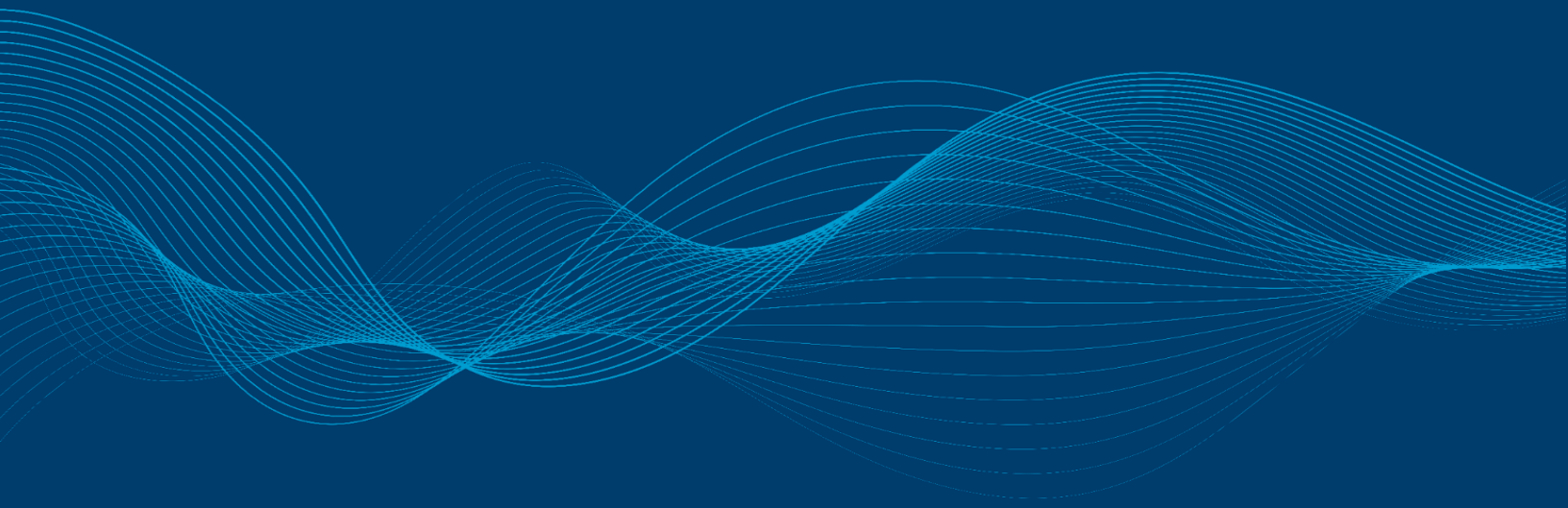
[secure.ethicspoint.com/domain/media/en/gui/23531]

[Whistleblower hotline: 1-800-403-4744]

[Report form:

whistleblower.ucsc.edu/about/form.pdf]





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