March 19, 2001

Dear Colleagues:

The achievements of UCSB’s faculty, students, and staff have been quite remarkable in recent years. With this success comes our continuing essential stewardship responsibility, as a public institution, to maintain high ethical standards in UCSB’s practices and processes.

This Handbook provides guidance to faculty and staff members who have administrative responsibilities. It is a resource to assist you in the important matters of:

- Academic and Research Affairs
- Accountability and Controls
- Conflict of Interest
- Environmental Health and Safety
- Finance
- Human Resources
- Information Systems

Additionally, the Handbook provides selected policies and guidelines.

In the Handbook you will find valuable advice to help you carry out the essential administrative activities that support UCSB’s teaching, research, and public service missions.

Sincerely,

Henry T. Yang
Chancellor
<table>
<thead>
<tr>
<th>Table of Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>OVERVIEW</td>
</tr>
<tr>
<td>UCSB Accountability Structure</td>
</tr>
<tr>
<td>Internal Controls</td>
</tr>
<tr>
<td>Central Administrative Support Departments</td>
</tr>
<tr>
<td>Delegation of Authority and Responsibility, and Areas of Potential Risk</td>
</tr>
<tr>
<td>Academic and Research Affairs</td>
</tr>
<tr>
<td>Conflict of Interest</td>
</tr>
<tr>
<td>Environment, Health and Safety</td>
</tr>
<tr>
<td>Finance</td>
</tr>
<tr>
<td>Human Resources</td>
</tr>
<tr>
<td>Information Systems/Data Integrity</td>
</tr>
<tr>
<td>Selected Policies/Guidelines</td>
</tr>
<tr>
<td>Principles of Accountability</td>
</tr>
<tr>
<td>Principles of Conflict of Interest</td>
</tr>
<tr>
<td>Principles of Data Integrity</td>
</tr>
<tr>
<td>Principles of Financial Management</td>
</tr>
<tr>
<td>Principles of Regulatory Compliance</td>
</tr>
<tr>
<td>Research Involving Human Subjects</td>
</tr>
<tr>
<td>Animal Care and Use Program</td>
</tr>
<tr>
<td>Selected Examples of Good Business Practices</td>
</tr>
<tr>
<td>Quick Reference Listing</td>
</tr>
<tr>
<td>Department Resources</td>
</tr>
<tr>
<td>Policies</td>
</tr>
</tbody>
</table>

Note: Suggestions for revision may be submitted to the Office of the Controller (Donna.Carpenter@accounting.ucsb.edu) for consideration by the UCSB Control Advisory Committee. Should there be any conflict between this document and applicable UC or UCSB policies and procedures, the policies and procedures will govern.
OVERVIEW

UCSB ACCOUNTABILITY STRUCTURE

Various financial, administrative, and management responsibilities have been delegated to Administrative Officials responsible for the operation of their departments or business units. Each Administrative Official is accountable for ensuring that the appropriate controls are in effect.

In this handbook, the term Administrative Official refers to any UCSB employee who holds one of the following positions, and/or to whom financial, administrative, or management responsibility has been delegated:

- Vice Chancellors
- Deans
- Provosts
- Department Chairs
- Directors
- Managers
- Unit Heads
- Principal Investigators (PI’s)
- Department Business Officers

Administrative Officials are charged with the responsibility of implementing policies and procedures which ensure the University is well managed and in sound financial condition; complies with applicable laws and regulations; and upholds the public trust. Administrative Officials shall not require or expect an individual to do anything that is in conflict with the law or University of California policy.

Administrative Officials may delegate certain administrative and financial duties to others to assist them in meeting their responsibilities. Whenever administrative and financial duties are delegated, written goals and objectives, which define accountability and responsibility, should be established so 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 area 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 which is consistent with the UCSB Principles of Accountability (see page 23) and Regulatory Compliance (see page 33).

D. Adherence to ethical business standards.

E. Administration of human resource activities in a manner that fosters diversity in the work force and ensures due process.

F. Ensuring appropriate access to, and use of, University information and systems, including the integrity of data and transactions input and/or modified by staff in their area of responsibility.

*Administrative Officials* may assign duties to assist in carrying out administrative and financial responsibilities. Central administrative support departments (please refer to the detailed department list on page 4) 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. For example, the Business Officer in an academic department is accountable directly to his/her Department Chair. Each reporting relationship is important because it improves the information flow between various critical areas of campus and departmental administrators. It is important to understand these relationships and to foster open lines of communication.

Please Note: Responsibilities listed for the *Administrative Officials* throughout this handbook are not all-inclusive, nor do they replace a formal and comprehensive job description.
INTERNAL CONTROLS

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 have been achieved.

This methodology further identifies 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

The identification of circumstances which may impede the organization’s ability to achieve its business objectives, and the procedures in place which mitigate those circumstances.

Control Activities

Activities undertaken 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, etc.

Information and Communication

The sharing of quality data to the right people at the appropriate time to ensure employees have adequate information to effectively manage their responsibilities. Effective communication should also occur in a broader sense throughout the organization.

Monitoring

Processes for assessing the quality of performance over time through ongoing monitoring activities, and/or separate evaluations. This includes regular management and supervisory activities and reviews.

The establishment of an ethical environment and setting the tone at the top of the organization is the most important element of the accountability and control environment. Each of the components work together to create a comprehensive system capable of preventing, detecting, and correcting problems.
CENTRAL ADMINISTRATIVE SUPPORT DEPARTMENTS

Central administrative support departments provide a variety of support services, including expertise and assistance in interpreting policy and legal requirements, formal and informal training, and compliance monitoring. Administrative Officials are encouraged to contact the appropriate department whenever information and assistance is required.

For your convenience, many of the central administrative support departments discussed in this handbook have been listed below. Please refer to the “Quick Reference Listings,” located at the end of this handbook, for specific e-mail and phone contact information, and related policies.

- Academic Personnel
- Accounting Services and Controls
- Administrative Services – Policy Coordination and Review
- Affirmation Action Office
- Audit Services
- Budget and Planning
- Business Services
- Environmental Health and Safety
- Graduate Division
- Human Resources
- Information Systems and Computing
- Office of Information Technology
- Office of Research
- Office of the Controller
- Sexual Harassment Complaint Resolution Office
DELEGATION OF AUTHORITY AND RESPONSIBILITY

Major areas of responsibility of a chairperson/director of an academic department that may not be delegated, under UC Systemwide policy (Academic Personnel Manual 245):

A. Academic Planning
B. Academic Program Development
C. Collective Bargaining Agreement Implementation
D. Departmental Resource Planning and Managing
E. Employee Safety and Welfare
F. Faculty Evaluation and Review
G. Faculty Recruitment
H. Instructional and Departmental Staff Supervision
I. Student Advising Services Delivery
J. Student Teacher Training
K. Teaching Assignments and Class Schedule Development
L. Other duties as defined in Academic Personnel Manual 245, Appendix A

Major Responsibilities That Can Be Delegated:

Academic Affairs

Under the direction of the academic departmental chairperson or director, staff may be responsible for delivery of support services and implementation of the administrative aspects of the functions referenced above, consistent with University policies and procedures.

Research Affairs

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 faculty 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. 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 Environmental Health & Safety (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.

**AREAS OF POTENTIAL RISK**

**Academic Affairs**

A. In overseeing the University’s appointment and academic review process, departments should follow the procedures outlined in the Academic Personnel Manual, Section 220 (and related sections as appropriate).

B. Problems frequently arise as a result of negotiating faculty compensation agreements and administering the faculty compensation plan.

C. Serious issues or circumstances may lead to a formal complaint, grievance, or legal action such as:
   1. Conflict of interest
   2. Discrimination
   3. Misconduct in science
   4. Sexual harassment
   5. Dismissal for cause
   6. Layoffs
   7. Misuse or mismanagement of resources
   8. Violation of the Faculty Code of Conduct

It is strongly suggested that the departmental chairperson/director immediately involve the Office of Academic Personnel and/or Office of Research, when appropriate, if any of the above issues occur or are likely to occur.
**Research Affairs - Human Subjects**

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

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 principal investigator and make the PI personally liable.

**Research Affairs - Animal Care**

A. All use of vertebrate animals for teaching, training and research must have approval by the Institutional Animal Care and Use Committee (IACUC).

B. Serious issues or circumstances may lead to a formal complaint, grievance, or legal action as outlined in the Animal Welfare Act.

C. Animals used under the jurisdiction of UCSB must be housed in facilities approved by the UCSB IACUC.

D. The transportation of animals must meet with federal, state and local regulations.

E. Non-compliance with federal regulations and policies can result in the loss of the privilege to conduct animal research for the investigator, for UCSB, and the potential for the loss of all federal funding to the institution. In addition, campus accreditation is at risk.

F. Fiscal implications may apply to the department for animal research that is conducted inappropriately according to either animal welfare or contract and grant regulatory guidelines.

**Research Affairs - Review of Contract and Grant Applications**

A. The *Administrative Official* should ensure that research grant and contract applications are accurate, complete, and timely.

B. All proposals for extramural support must be reviewed and approved by the Office of Research prior to submission to proposal sponsor.

C. The Office of Research, Sponsored Projects Office should be consulted for assistance.

**Research Affairs - Financial Management**

A. The *Administrative Official* should ensure that a principal investigator manages his/her grants effectively and reports the sources and uses of these extramural funds accurately. Principal investigators are accountable for managing their research unit finances, research activities, and operations according to University policies and procedures, granting agency guidelines, and applicable federal and state laws and regulations.

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.
Research Affairs - 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 start of research. Contact Environmental Health & Safety for assistance.

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 UCSB. There may also be the potential for loss of all federal funding as well as licensure and accreditation risks.

C. Non-compliance with National Institute of Health (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 UCSB, 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.

Research Affairs - Intellectual Property

A. It is important that anyone using University research facilities, whether or not on a paid appointment, sign the University Patent Acknowledgment Form. If a visitor refuses to sign the Acknowledgment Form, the Sponsored Projects Office should be contacted.

B. Consulting agreements between a faculty member and an outside organization may not conflict with duties owed the University under Academic Personnel Guidelines, such as obligations to disclose inventions. In the event of conflicts of commitment, a faculty member’s obligations to the University will take precedence.

C. Tangible research tools and materials shall not be transferred in any manner to any non-UC entity or individual until and unless a written agreement between UCSB and the receiving entity or individual is signed by an authorized University official (at UCSB, this authority resides in the Office of Research).

Tangible research tools and materials include, but are not limited to, biological materials (such as cell lines, clones and cloning materials, DNA libraries, and growth factors), chemical compounds (such as reagents and combinatorial chemistry), diagrams, drawings, laboratory procedures, and analytical methods.
RESOURCES

Departments

Academic Personnel – 893-3445
http://www.acadpers.ucsb.edu/

Environmental Health & Safety – 893-7534
http://ehs.ucsb.edu/

Graduate Division – 893-2277
http://www.graddiv.ucsb.edu/

Human Subjects Program – 893-3807
http://research.ucsb.edu/connect/pro/prs1.shtml

Office of Research – 893-4188
http://research.ucsb.edu/

Risk Management & Insurance – 893-2860
http://www.busserv.ucsb.edu/bso/index.html

Policies

Academic Personnel Manual
(UC) http://www.ucop.edu/acadadv/acadpers/apm/
(UCSB-Red Binder) http://www.acadpers.ucsb.edu/RB-toc.html

Academic Senate Manuals
(UC) http://www.ucop.edu/senate/manual/mantoc.html
(UCSB) http://www.senate.ucsb.edu/documents.shtml

Conflict of Interest
http://research.ucsb.edu/connect/connect.htm

Faculty Code of Conduct
http://www.senate.ucsb.edu/documents/FacCodeofConduct.html

Institutional Animal Care and Use Committee
http://research.ucsb.edu/connect/spo/spo8.shtml

UCSB Policy Page
http://www.policy.ucsb.edu

DELEGATION OF AUTHORITY AND RESPONSIBILITY • ACADEMIC AND RESEARCH AFFAIRS
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. Assuring that there are no conflicts of interest (created by other individuals, near relative or financial benefit) that affect decisions being made within his/her area of responsibility.

Major Responsibilities That Can Be Delegated:
A. Establishing departmental policies and procedures which ensure:
   1. UCSB policies and codes regarding conflict of interest are followed;
   2. Faculty and staff employees are aware of disclosure and disqualification requirements.
B. Consistent with University policies, monitor and manage possible conflict of interest situations.

AREAS OF POTENTIAL RISK

A. University employees who fail to fully disclose their financial interests 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.
B. University employees responsible for the design, conduct or reporting of a sponsored project at the University must disclose to the University significant personal financial interests related to that project. When the University determines that such an interest might reasonably appear to be directly and significantly affected by the sponsored project, the University will take steps to manage, reduce, or eliminate the conflict of interest.
C. A principal investigator must disclose whether or not he/she, or a near relative, has direct or indirect financial interest in the sponsor of research funded in whole or in part through a gift, contract, or grant from a non-governmental entity prior to making any commitment to accept such funding.
D. The University’s Conflict of Interest Code prohibits UC employees from participating in governmental decisions when personal financial interests may be materially affected by those decisions. The Code requires that all UC employees disqualify themselves from participating in a decision when a financial conflict of interest is present.
E. All employees should not purchase or lease goods, or contract for services from any University employee or near relative unless the Purchasing Manager has determined that goods or services are not available from either commercial sources or the University’s own facilities.
F. Faculty and staff should be encouraged to discuss any potential conflict of interest situations with their department, Office of Research, Purchasing Manager, and/or the COI Coordinator.
RESOURCES

Departments

Administrative Services – 893-4212
Policies, General Conflict of Interest, and Economic Interest Statements
Meta Clow
Meta.Clow@vcadmin.ucsb.edu

Business Services – 893-2585
Vendor/Employee Relationships
Julie Sears
Julie.Sears@buss.ucsb.edu

Office of Research – 893-4036
Academic Conflict of Interest
Sherylle Mills Englander
Englander@omni.ucsb.edu

Policies

5005 Conflict of Interest
http://www.policy.ucsb.edu/vcas/admin-serv/5005_conflict_of_interest.html

5005 Conflict of Interest, Attachment A: Compendium
http://www.policy.ucsb.edu/vcas/admin-serv/5005_attach_a.html

Conflict of Interest/Financial Disclosure Statements
http://research.ucsb.edu/connect/spo/spo8.shtml

UCSB Policy Page
http://www.policy.ucsb.edu
ENVIRONMENT, HEALTH AND SAFETY

DELEGATION OF AUTHORITY AND RESPONSIBILITY

Major Responsibilities That Cannot Be Delegated:
Accountability for ensuring that faculty, staff, students, and visitors have a safe and healthy environment.

Administrative Officials are encouraged to develop and promote safety, health and environmental awareness as positive values in their organization; encourage employees and students to recognize and report hazardous conditions; and support corrective actions as recommended or required by Environmental Health and Safety (EH&S).

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 UCSB health and safety policies and procedures, record keeping, ethical responsibility, and identification and elimination of hazardous conditions;
   3. Programs to ensure all research is conducted in accordance with UCSB Laboratory Safety Guidelines, which includes completion of Laboratory Safety Plans, approval for use of radiation and hazardous biological materials, Department Injury and Illness Prevention Plans, and Emergency Action Plans; and
   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.

B. Designating a safety representative or departmental safety committee to carry out department health and safety responsibilities;

C. 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;

D. Reporting, as soon as possible after the occurrence, all accidents or “incidents” to EH&S 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 supervisors properly report injuries within 24 hours of the injury;

E. Report a serious injury, illness or death of an employee resulting from employment immediately to the District Office of the Division of Occupational Safety and Health at (805) 654-4581. Immediately means as soon as possible but no longer than 8 hours. A serious injury is loss of a body part, any serious degree of permanent disfigurement, or hospitalization in excess of 24 hours.
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 UCSB 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.

**AREAS OF POTENTIAL RISK**

A. The Corporate Criminal Liability Act of 1989 requires an *Administrative Official* or manager to notify affected employees and Cal/OSHA in writing within 15 days after actual knowledge is acquired when a “serious concealed danger” is identified.

B. EH&S and Facilities Management 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 requirements prior to entry of construction personnel and/or future occupancy.

D. Granting agencies may stipulate specific safety requirements that must be followed.

E. Contact EH&S when any outside regulatory official requests entry to the workplace for an inspection or review.

**RESOURCES**

*Department*

Environmental Health & Safety – 893-7534
http://ehs.ucsb.edu/

*Policies*

Environmental Health & Safety
http://ucsbuxa.ucsb.edu/policies/vcas/ehs/ehs-policies.html
FINANCE

DELEGATION OF AUTHORITY AND RESPONSIBILITY

Major Responsibilities That **Cannot** Be Delegated:
Accountability that assures the proper controls and monitoring procedures are in place and are being applied accordingly.

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 to provide assurance 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 review and validation of the ledgers;

E. Establishing department policies and procedures to ensure that:

1. Charging costs to each fund will provide benefit to the project for which the fund was established; and

2. Transferring of funds or expenses between funds is proper; for example, grant funds cannot be used to offset department operating expenses.

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 GLO60 directly or through an interfacing system;

2. Authorizing transactions;

3. Receiving or disbursing funds;

4. Reconciling financial system transactions; and

5. Recording corrections or adjustments.

G. In departments where 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. Identify unauthorized transactions, and inform management if a loss of University assets or any material irregularity occurs;

J. Ensuring that fiscal support staff receives the core systems training that they need to effectively complete their responsibilities.
Areas of Potential Risk

A. A bank account for either an activity supported by or for funds disbursed by the University can not be opened without prior approval by the UC Treasurer’s Office. This must be coordinated with the campus Accounting Office.

B. Employees cannot approve payroll or other disbursements to themselves.

C. Expense reimbursements and payments must follow special limits and approvals as outlined in the appropriate UCSB Policy at the following website http://www.policy.ucsb.edu.

D. When an employee signs any document as the approving authority, he/she must sign his or her own name or use an electronic signature where appropriate.

E. Cash and checks received for the University must be deposited on a timely basis.

F. Employees cannot accept cash, non-cash gifts, or other benefits from vendors that do business with the University.

G. Financial systems developed by a department must demonstrate that income and expenses reconcile to the operating ledger in the GLO60, which is the official record for UCSB financial transactions.

H. Cost transfers affecting extramural funds, which are after-the-fact adjustments and corrections of errors in posting costs, must follow the procedures for cost transfers established by Extramural Funds Accounting.

I. The establishment of a new charge account and new or revised charge rates must be approved as outlined in UCSB Policy and Procedure 1300.

J. All payments to or for the benefit of UCSB employees must be in accordance to personnel policies and compensation plans.

K. The payment of compensation or expense reimbursement to foreign visitors is restricted in many situations by Immigration and Naturalization Services (INS) regulations. Please contact the Payroll unit or Accounts Payable unit in Accounting for help before a visitor arrives at UCSB.

L. 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.

M. All loans to UCSB employees or students must be in accordance with approved University loan programs.

N. Paying an individual as an independent contractor or a consultant when he/she should be paid as an employee is illegal and renders the department liable to pay required taxes and/or penalties as outlined in UCSB Policy 5260.
O. The UCSB Purchasing Manager and his/her 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 faculty member may commit University funds by signing a contract or agreement, without specific delegation of purchase authority. (See UCSB Policy 5336)

P. 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 documented and returned when no longer used for University business.

Q. 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.

R. 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.

S. Administrative Officials should encourage and support training for department staff. Inadequately trained staff may generate inappropriate and erroneous transactions.
Resources

Departments

Accounting Services and Controls – 893-8593
http://www.accounting.ucsb.edu
Accounts Payable – 893-2945
http://www.accounting.ucsb.edu/Disbursement
Administration – 893-8593
http://www.accounting.ucsb.edu/Administration
Extramural Funds – 893-3854
http://www.accounting.ucsb.edu/EMF
General Accounting – 893-8913
http://www.accounting.ucsb.edu/General
Payroll – 893-4145
http://www.accounting.ucsb.edu/Payroll
Travel – 893-2271
http://www.accounting.ucsb.edu/Travel
Plant – 893-7226
http://www.accounting.ucsb.edu/Plant
Administrative Services – 893-2770
http://www.vcadmin.ucsb.edu
Budget and Planning – 893-3971
http://bap.ucsb.edu
Office of the Controller – 893-7667
http://controller.ucsb.edu
Purchasing – 893-2555
http://www.busserv.ucsb.edu
Risk Management & Insurance – 893-2860
http://www.busserv.ucsb.edu/bso/index.html

Policies

Accounting
Budget and Planning
http://ucsbuxa.ucsb.edu/policies/chancellor/chancellor-policies.html
Business Services
Purchasing
http://ucsbuxa.ucsb.edu/policies/vcas/purchasing/purchasing-policies.html
UCSB Policy Page
http://www.policy.ucsb.edu/
UC Business and Finance Bulletin BUS-49, Cashiering Responsibilities
and Guidelines
http://www.ucop.edu/ucophome/policies/bfb/bus49.html
HUMAN RESOURCES

DELEGATION OF AUTHORITY AND RESPONSIBILITY

Major Responsibilities That Cannot Be Delegated:
   A. Accountability for the overall management of the department;
   B. Supporting individuals with specific, delegated responsibilities by clearly delineating roles in the department and appropriately responding to compliance issues as they are raised; and
   C. Fostering a departmental environment that respects legal and ethical requirements and University policy e.g., Office of the President policies, including non-discrimination regulations, and collective bargaining agreements.

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 Human Resources Department or pursuant to the Human Resources Department’s delegation;
   B. Implementing the University of California non-discrimination and affirmative action policies via the local implementing procedures (note: Affirmative Action is required by federal regulation);
   C. Coordinating efforts to resolve human resource issues and potential problems within the office in consultation with the appropriate human resource support groups in such areas as non-discrimination, 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 human resource 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 UCSB human resource policies and procedures;
   G. Ensuring that the necessary forms for processing human resource related actions, such as benefit changes, are readily available.
AREAS OF POTENTIAL RISK

A. Immediately involve the appropriate central administrative support department (Human Resources Employee & Labor Relations, Affirmative Action Office, Sexual Harassment Complaint Resolution Office) when any complaint, legal action, or formal grievance is filed.

B. For campus departments, employment offers for hire or promotion must be reviewed and the salary level approved by the Human Resources department and department budget personnel prior to the offer being communicated.

C. The classification level of a position must be determined by the Human Resources department, Compensation unit except under specific delegation authority granted to respective Vice Chancellors for specific classification titles.

D. Employees’ hours worked and paid (including vacation, sick leave, etc.) must be accurately documented and reported through the payroll system and must comply with pay policies governing the classification.

E. When advice and counsel are needed to resolve University and/or UCSB policy interpretation and application, the Employee & Labor Relations unit should be contacted.

F. Providing a complete, honest, and timely performance evaluation on a regular basis is critical to the effective and efficient resolution of current and future performance issues with an individual employee.
RESOURCES

Departments

Academic Personnel – 893-3445
   http://www.acadpers.ucsb.edu/
Affirmative Action Office – 893-2701
   http://www.aa.ucsb.edu/index2.html
Human Resources – 893-3166
   http://hr.ucsb.edu
Academic & Staff Assistance Program – 893-3318
   http://hr.ucsb.edu/ASAP/brochure.shtml
Benefits – 893-2489
   http://hr.ucsb.edu/
Compensation – 893-4117
   http://hr.ucsb.edu/
Employee & Labor Relations – 893-4119
   http://hr.ucsb.edu/
Employment – 893-3166
   http://hr.ucsb.edu/
Training & Development – 893-3482
   http://hr.ucsb.edu/
Payroll – 893-4145
   http://www.accounting.ucsb.edu/Payroll
Risk Management & Insurance – 893-2860
   http://www.busserv.ucsb.edu/bso/index.html
Sexual Harassment Complaint Resolution Office – 893-2546
   http://ucsbuxa.ucsb.edu/sex-harass-complaints/

Policies

Academic Personnel Manual
Affirmative Action
   http://www.policy.ucsb.edu/vcas/admin-serv/admin-services-policies.html
Human Resources
   http://ucsbuxa.ucsb.edu/policies/vcas/personnel/personnel-policies.html
UCSB Policy Page
   http://www.policy.ucsb.edu
INFORMATION SYSTEMS/DATA INTEGRITY

DELEGATION OF AUTHORITY AND RESPONSIBILITY

Major Responsibilities That **Cannot** Be Delegated:

A. Establishing and implementing systems to ensure the integrity 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 a departmental manager;

D. Appointing the Department Security Administrator (DSA);

E. Determining appropriate approval hierarchies to establish adequate separation of duties;

F. 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 administrative 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 administrative systems transactions.

AREAS OF POTENTIAL RISK

A. Adequate data control systems must be established to ensure the appropriate authorization, accountability, and data integrity exist.

B. Each department must ensure 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, be stored securely, be readily retrievable, and be safeguarded against improper alteration, disclosure, or use.

C. Systems developed by departments 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 user’s needs.

D. Systems developed by departments must contain controls to ensure data is synchronized and validated and contains appropriate interfaces to any 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 the controls in place are operating effectively.

H. Employees must be adequately trained in the use of on-line systems and transactions.

I. Employees must be encouraged to report any compromise or break down in the unit’s data integrity without fear of reprisal.

J. A unit’s financial reporting and monitoring process can be enhanced with the use of UCSB’s data warehouse.

**RESOURCES**

**Departments**

All UCSB Computing Units  
http://www.ucsb.edu/computing.shtml

Information Systems & Computing-Data Warehouse  

**Policies**

BFB IS-3 Electronic Info Security  
http://www.ucop.edu/ucophome/policies/bfb/is3.pdf

BFB IS-10 System Development Standards  
http://www.ucop.edu/ucophome/policies/bfb/bfbis.html

BFB RMP-8 Legal Requirements on Privacy of and Access to Information  
http://www.ucop.edu/ucophome/policies/bfb/rmp8a.html
PRINCIPLES OF ACCOUNTABILITY

POLICY

The Chancellor delegates the accountability for the management of UCSB resources to the leadership of functional units. Each Administrative Official is accountable for managing his/her own resources.

The Administrative Official of each unit may delegate the overall management responsibilities. The Administrative Official is responsible for developing an appropriate structure for 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 (DSA) 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.
RESPONSIBILITIES: MAINTAINING AN EFFECTIVE ACCOUNTABILITY STRUCTURE

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

A. 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.

B. 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; and
   5. Knows who to contact, or what action to take, if problems arise such as a person of higher authority attempting to override compliance requirements.

C. Ensuring that there is a reasonable distribution of workload in accordance with the available resources.

D. Informing involved individuals of their assigned roles, and training them when necessary.

E. Designating a Department Security Administrator, 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 Department Security Administration system to grant access to prepare, review or inquire against on-line systems;
   3. Ensuring the record is secured from unauthorized changes; and
   4. Keeping a back-up copy of the record in a physically separate location from the original.

F. 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.

G. Monitoring the effectiveness of the Accountability Structure on a regular basis through the use of exception, summary, reconciliation, or other reports, and reviewing selected transactions.
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, UCSB 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;
3. Ensure that any new account and fund linkages requested are appropriate;
4. Be aware of basic policy, regulatory, and other requirements;
5. Resolve any questions raised during the completion of the transaction, or via on-line edits and related messages; and
6. Forward the completed transaction, with any supporting documents, to a 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 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; and
6. Notify the DSA when they return to work from an absence of two or more business days.
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 which 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.

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, and public service performed by UCSB 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. If there are possible financial interests, which may conflict with UC responsibilities, employees are responsible for abiding by the UC Conflict of Interest Code, as well as applicable federal regulations.

E. UCSB has a process to assure the systematic review of all principal investigators’ financial disclosures prior to the acceptance of gifts, contracts, or grants from non-governmental sponsors.

F. In the event of conflict of commitment, a faculty member’s obligations to the University will take precedence.
Responsibilities

A. Designated Officials, defined as University employees who make or participate in decision-making, which may result in personal financial interests, must file a financial disclosure statement for designated interests.

B. All employees should not purchase or lease goods, or contract for services from any University employee or near relative unless the Purchasing Manager has determined that goods or services are not available from either commercial sources or the University’s own facilities.

C. The University’s Conflict of Interest Code prohibits UC employees from participating in governmental decisions when personal financial interests may be materially affected by those decisions. The Code requires that all UC employees disqualify themselves from participating in a decision when a financial conflict of interest is present.

D. Faculty responsible for the design, conduct, or reporting of a sponsored project must disclose to the University interests:

1. That would appear to be affected by the funded research or educational activities;

2. In entities whose financial interests would reasonably appear to be affected by such activities; or

3. In entities owned by the principal investigator, the principal investigator’s spouse or dependent child(ren).
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 assets, such as equipment, are verified using a process 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; and
   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 functions include:
   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; and
   5. Recording corrections or adjustments.

B. Assigning a second person to review work for accuracy, timeliness and honesty if insufficient personnel 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 back-up 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 Management Disposition Schedules.

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; and
   4. Proper accounting period.
PRINCIPLES OF FINANCIAL MANAGEMENT

Policy

In order to accomplish the University’s mission and vision to promote teaching, research, and public service, Administrative Officials must manage various resources in an efficient and cost-effective manner.

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 provide a tool 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; and
   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. If there are deficits, a formal plan to justify and eliminate deficit balances needs to be developed.

E. Actual financial results 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 results vary 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 should 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; and
   6. Contingency plans.
F. A method of identifying and assessing financial, service, and organizational risks;
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 should include:

A. Monthly financial reports that accurately represent the unit’s financial status. These reports:
   1. Identify revenue sources and categorize expenditure data;
   2. Provide budget to actual fiscal activity;
   3. Identify trend activity and problem areas; and
   4. Highlight exception items;
B. A method for reviewing revenue and expenses at the end of each ledger cycle;
C. A system that enables the 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 include:
   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; and/or
   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 inventoriable 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. 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 Officer should adopt the following Principles and Responsibilities:

PRINCIPLES

A. Individuals conducting business transactions shall be personally responsible to face punitive action for 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 on behalf 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.

D. Employees conducting University business transactions are responsible for staying aware of 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 UCSB include:

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-reimbursed 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;

3. Accounting principles must be applied consistently, both within fiscal years and between fiscal years. Campus 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) Circulars and/or Federal Acquisition Regulations (FAR). Two primary OMB Circulars include:

1. OMB Circular A-21
   - This circular provides the cost principles for educational institutions. These principles define allowable costs as those which are reasonable, allocable, consistently treated and in conformance with any special limitations. Circular A-21 also defines direct versus indirect costs, and provides guidelines for calculating indirect costs.

2. OMB Circular A-110
   - This circular provides uniform administrative requirements for grants and other agreements with institutions of higher education, including financial reporting requirements.

C. Making all financial reporting systems open to regular internal and external audits. External auditors must be cleared and coordinated by the Director of Audit Services.
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, obtains (1) data through intervention or interaction with the individual, or (2) identifies private information.”

POLICY

In accordance with the Federal Policy for the Protection for Human Subjects, UCSB 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 an Institutional Review Board (IRB) to review research protocols involving human subjects and to evaluate both risk and protection against risk for those subjects.

RESPONSIBILITIES: INSTITUTIONAL REVIEW BOARD

It is the function of the IRB to:

A. determine and certify that all projects reviewed by the IRB conform to the regulations and policies set forth by the Common Rule (56FR28003, also referred to as the Common Rule) and additional federal agency regulations as applicable regarding the health, welfare, safety, rights, and privileges of human subjects;

B. assist investigators in complying with federal and state regulations.

RESPONSIBILITIES: UCSB INSTITUTIONAL REVIEW BOARD

A. UCSB, as part of its Multiple Project Assurance (the license from Office of Human Research Protections, OHRP, 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 UCSB IRB has jurisdiction over all human subject research conducted at this institution.

B. The UCSB IRB has the responsibility of reviewing all human subject research:
1. sponsored by UCSB;
2. conducted by any UCSB employee or agent in connection with his or her institutional duties;
3. conducted by any UCSB agent or employee using any property or facility of UCSB;
4. that involves the use of UCSB’s non-public information to identify or contact human research subjects.
ANIMAL CARE AND USE 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 UCSB 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;

D. Encouragement of open and cooperative communication with investigators, the Institutional Animal Care and Use Committee and Animal Resource Center personnel and be receptive 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 lay public, the media, and political and governmental officials of the need for animals in research and instruction and 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 UCSB, particularly demonstrations or other activities of animal rights organizations.
SELECTED EXAMPLES OF GOOD BUSINESS PRACTICES

1. Establishing and communicating throughout the organization guidance about what is right and wrong;
2. Assessing benefits and associated risks of a venture before proceeding;
3. Communicating clearly to all personnel the responsibilities and expectations for the unit’s activities;
4. Developing academic and business plans that address University objectives and changing economic, industry and regulatory environments;
5. Ensuring that activity-level objectives flow from the entity-wide objectives and strategies;
6. Specifying the level of competence needed for particular jobs, and translating the desired levels of competence into requisite knowledge and skills;
7. Ensuring that personnel have required knowledge, experience and training to perform their duties, and cross-training personnel for critical functions;
8. Structuring the organization to facilitate the flow of information upstream, downstream and across all activities;
9. Assigning responsibility and delegating authority to deal appropriately with the organization’s goals and objectives, operating functions and regulatory requirements;
10. Regularly evaluating the performance of all employees of the unit, using established performance management guidelines.
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DEPARTMENT RESOURCES

Academic Personnel – 893-3445
  http://www.acadpers.ucsb.edu/
Accounting Services and Controls – 893-8593
  http://www.accounting.ucsb.edu
Accounts Payable – 893-3919
  http://www.accounting.ucsb.edu/Disbursement
Administration – 893-8593
  http://www.accounting.ucsb.edu/Administration
Extramural Funds – 893-3068
  http://www.accounting.ucsb.edu/EMF
General Accounting – 893-2998
  http://www.accounting.ucsb.edu/General
Payroll – 893-3259
  http://www.accounting.ucsb.edu/Payroll
Travel – 893-2271
  http://www.accounting.ucsb.edu/Travel
Administrative Services – 893-2770
  http://www.vcadmin.ucsb.edu
Affirmative Action Office – 893-2701
  http://www.aa.ucsb.edu/index2.html
Audit Services – 893-2829
  http://www.audit.ucsb.edu
Business Services – 893-4440
  Billing – Accounts Receivable – 893-3756
    http://www.busserv.ucsb.edu/barc/index.html
  Cashier – 893-2177
    http://www.busserv.ucsb.edu/barc/index.html
Contracts and Property – 893-3001
  http://www.busserv.ucsb.edu/bso/index.html
Equipment Management – 893-7377
Furniture Services – 893-2732
  http://www.stores.ucsb.edu/furnserv/
Mail Services – 893-3595
Materiel Management – 893-2585
Purchasing – 893-2555
Receiving – 893-2878
Risk Management & Insurance – 893-2860
  http://www.busserv.ucsb.edu/bso/index.html
Storehouse – 893-3596
  http://www.stores.ucsb.edu/
Worker’s Compensation – 893-8050
  http://www.busserv.ucsb.edu/bso/index.html
Budget and Planning Office – 893-3971  
http://bap.ucsb.edu/

Campus Veterinarian – 893-2333

Conflict of Interest – 893-4036  
http://research.ucsb.edu/connect/spo/spo8.shtml

Environmental Health & Safety – 893-7534  
http://ehs.ucsb.edu/

Graduate Division – 893-2277
http://www.graddiv.ucsb.edu/academic/

Human Resources – 893-3166
http://hr.ucsb.edu

Academic & Staff Assistance Program – 893-3318  
http://hr.ucsb.edu/ASAP/brochure.shtml

Benefits – 893-2489  
http://hr.ucsb.edu

Compensation – 893-4117
http://hr.ucsb.edu

Employee and Labor Relations – 893-4119
http://hr.ucsb.edu

Employment – 893-3166
http://hr.ucsb.edu

Training & Development – 893-3482
http://hr.ucsb.edu

Human Subjects Committee – 893-3807
http://research.ucsb.edu/connect/pro/hspolicy.htm

Information Systems and Computing – 893-2261
http://isc.ucsb.edu

Network Operations – 893-8700
http://www.commserv.ucsb.edu/hpage/missorg/doc3.htm

Office of Information Technology – 893-6648
http://www.commserv.ucsb.edu

Office of Research – 893-4188
http://research.ucsb.edu/

Office of the Controller – 893-7667
http://controller.ucsb.edu/

Sexual Harassment Complaint Resolution Office – 893-2546
http://ucsbuxa.ucsb.edu/sex-harass-complaints/

NOTE: For more complete web addresses and updates, see UCSB’s homepage at http://www.ucsb.edu/
POLICIES

Academic Affairs
http://ucsbuxa.ucsb.edu/policies/vcaa/vcaa/vc-acad-affairs-policies.html

Academic Personnel Manual
(UC) http://www.ucop.edu/acadavg/acadpers/apm/welcome.html
(UCSB-Red Binder) http://www.acadpers.ucsb.edu/RB-toc.html

Accounting

Administrative Services
http://www.policy.ucsb.edu/vcas/admin-serv/admin-services-policies.html

Affirmative Action
http://www.policy.ucsb.edu/vcas/admin-serv/admin-services-policies.html

Animal Subjects
http://www.policy.ucsb.edu/research/research-policies.html

Audit Services
http://www.policy.ucsb.edu/vcas/internal-audit/internal-audit-policies.html

Budget and Planning

Business Services

Conflict of Interest
http://ucsbuxa.ucsb.edu/policies/vcas/admin-serv/admin-services-policies.html

Conflict of Interest Code, UC
http://www.ucop.edu/ucophome/ipsp/

Electronic Mail Policy
http://www.ucop.edu/ucophome/policies/email/

Environment, Health and Safety
http://ucsbuxa.ucsb.edu/policies/vcas/ehs/ehs-policies.html

Faculty Code of Conduct
http://www.senate.ucsb.edu/documents/Bylaws_and_Regs/PartThree/P3-A4.html

Faculty Handbook, UC
http://www.ucop.edu/acadavg/acadpers/handbook/welcome.html

Human Subjects
http://ucsbuxa.ucsb.edu/policies/research/research-policies.html

Institutional Animal Care and Use Committee
http://research.ucsb.edu/connect/acrreg-ovrw.html

Reporting and Reviewing Disclosures
http://www.policy.ucsb.edu/vcas/internal-audit/internal-audit-policies.html

Nondiscrimination and Affirmative Action Policy regarding UC Academic and Staff Employment
http://www.ucop.edu/humres/policies/nondisc_emp.html
Payroll
Personnel – Academic
  http://www.ucop.edu/acadadv/acadpers/apm/
Personnel – Staff
  http://www.policy.ucsb.edu/vcas/personnel/personnel-policies.html
Policy Development & Quality of Worklife
  http://www.ucop.edu/worklife/
Privacy of and Access to Information, Legal Requirements
  http://www.ucop.edu/ucophome/policies/bfb/rrmp8a.html
Records Management Disposition Schedules, UC
Security of Computing Facilities Guidelines
  http://www.ucop.edu/ucophome/policies/bfb/bfbis.html
Sexual Harassment Policy and Complaint Resolution Procedures