A GUIDE FOR PRINCIPAL INVESTIGATORS
AND ACADEMIC AND ADMINISTRATIVE LEADERSHIP

University of California, San Diego
http://blink.ucsd.edu/go/adminhandbook
2008
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.
Dear Colleagues:

At UC San Diego, we have a mission and vision of being a student-centered, research-focused, service-oriented public university. 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 Handbook 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 handbook, you will find an overview of responsibilities in the following areas:

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

The Office of the Controller revises this guide periodically to address ongoing concerns and changing conditions, and thus we welcome your feedback. Please address your comments for future editions to the Office of the Controller who will bring those recommendations to the Compliance, Audit, Risk, and Ethics Committee.

I am proud that all of us at UC San Diego are committed to operating our departments effectively within existing resource constraints. Thank you for all that you do for our students, faculty, staff, and administration of UC San Diego.

With kind regards,

Pradeep K. Khosla
Chancellor
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Note: Suggestions for revision may be submitted to the Office of the Controller (mail code 0951 or email controller@ucsd.edu) for consideration by the UCSD Committee on Accountability and Controls. Should there be any conflict between this document and applicable UC or UCSD policies and procedures, the policies and procedures will govern.
**Overview**

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

UCSD Accountability Structure

The Office of the Controller is responsible for the campus’ core business processes, and provides leadership and strengthens support for sound and ethical practices at every administrative level. While the controller has final authority to establish campus financial policies and procedures, the controller’s role is to provide leadership and to partner with administrative officials to design and implement programs and practices that establish an ethical environment and improve accountability and control in every area of UCSD. Each administrative official is accountable for ensuring that the appropriate controls are in place in their respective areas of responsibility, and that their areas are operating effectively.

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 handbook, the terms “department” and “unit” are used interchangeably.) This delegation from the chancellor also passes through the dean of each division and school and the director of the Medical Center to equivalent management personnel.

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

- associate chancellor
- assistant vice chancellors
- associate vice chancellors
- deans
- department business officers
- department chairs
- directors
- managers
- principal investigators
- provosts
- unit/department heads
- vice chancellors

Administrative officials are charged with the responsibility of implementing policies and procedures that insure the university is well managed and in sound financial condition; complies with applicable laws and regulations; upholds the public trust; and appropriately reflects the diversity of our society.

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 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 is consistent with the UCSD principles of accountability (see page 31) and regulatory compliance (see page 40);
D. adherence to ethical business standards;
E. administration of academic personnel and human resource activities in a manner that fosters diversity in the workforce and ensures due process;
F. ensuring appropriate 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, including the proper use and disposition of personal and sensitive information.

*Administrative officials* may assign duties to assist in carrying out administrative and financial responsibilities. Central administrative support departments 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 handbook 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 in 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, the UC Statement of Ethical Values and Standards of Ethical Conduct.

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 Values

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 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.

Adopted by the Regents of the University of California, May 2005.
Standards of Ethical Conduct

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, officers of the Regents, faculty and other academic personnel, staff, students, volunteers, contractors, agents, and others 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 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:

• The Faculty Code of Conduct
• Academic Personnel Policy Manual
• The Faculty Handbook
• Personnel Policies for Staff Members
• Policies Applying to Campus Activities, Organizations, and Students
• Policy on Sexual Harassment and Procedures for Responding to Reports of Sexual Harassment
• University policies on nondiscrimination and affirmative action
• Campus, laboratory, and Office of the President Principles of Community

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 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 procedures 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 he or she finds 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 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: 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. 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 is specifically responsible for ensuring that internal controls are established, 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.
10. 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 (e.g., telephones). 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.

11. Financial Reporting
All university accounting and financial records, tax reports, expense reports, timesheets and effort reports, and other documents including those submitted to government agencies must be accurate, clear, 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. 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). 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).
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.

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.
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 his or her immediate supervisor, it is expected that the appropriate administrative official seek assistance from the Employee Relations Division of Human Resources for issues involving staff employees, and the Office of Academic Employee Relations in Academic Affairs for those involving academic appointees.

The administrative official may also consider seeking assistance from the UCSD Office of the Ombuds, which provides informal, confidential, and impartial dispute resolution services for all members of the UCSD community, including academic appointees, staff, and students.

UCSD is committed to providing individuals the right to 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 his or her conflict, UCSD encourages and facilitates the use of an informal conflict resolution process. For additional information relating to this process, please refer to the informal conflict resolution information on page 43.

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. Please refer to the “Quick Reference Listings,” located at the end of this handbook, for specific email and phone contact information and related policy citings.
Administrative Official: Delegated Authority and Responsibility, and Areas of Potential Risk

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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.
Academic Affairs

Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:
A. accountability for the academic and administrative leadership of the department
B. conducting annual assessments for all academic appointees
C. managing academic misconduct matters
D. compliance with all policies and procedures on recruitment, appointment, and review of academic appointees as set forth in Policy and Procedure Manual (PPM) 230
E. appropriate consultation with faculty on academic personnel actions, and programatic and curricular issues
F. oversight responsibility for the departmental review process

Staff (may also be the chair) 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. carrying out administrative details in order to comply with university policies and procedures pertaining to the departmental peer review process, academic layoffs, confidentiality, and related ethical and legal issues
B. carrying out administrative details concerning the negotiation and advisement of academic appointees about terms and conditions of employment, including benefits
C. overseeing faculty compliance with terms of the UCSD compensation plan, where applicable
D. overseeing the allocation of support services

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. Compliance (or non-compliance) with PPM 230 procedures for conducting academic recruitments, appointments, and reviews: Contact the Academic Personnel Office or Academic Affirmative Action.
B. Negotiation of faculty compensation agreements and administration of faculty compensation plan: Contact the Academic Personnel office.
C. Conflict of interest: Contact the Conflict of Interest Office.
D. Conflict of commitment: Contact the Academic Personnel Office.
E. Discrimination or harassment: Contact Academic Employee Relations.
F. Disability accommodation: Contact Employee Rehabilitation or Academic Employee Relations.
G. Sexual harassment: Contact the Office of Sexual Harassment Policy and Prevention.
H. Dismissal for cause: Contact Academic Employee Relations.
I. Layoffs: Contact Academic Employee Relations.
J. Misuse or mismanagement of resources: Contact Audit and Management Advisory Services.
K. Academic misconduct, including misconduct in science: Contact Academic Employee Relations.
L. Retaliation: Contact Academic Employee Relations.
M. Confidentiality of records/access to records/privacy: Contact Academic Personnel or Academic Employee Relations.

Resources

Department
Academic Affairs (858) 534-0098
http://academicaffairs.ucsd.edu

Academic Diversity and Equal Opportunity (858) 534-4497
http://academicaffairs.ucsd.edu/offices/adeo/

Academic Employee Relations (858) 822-2041
http://academicaffairs.ucsd.edu/offices/er

Academic Personnel (858) 534-0069
http://academicaffairs.ucsd.edu/offices/apo

Accommodation Counseling and Consulting Services (858) 534-6743
http://blink.ucsd.edu/org/rehab

Audit and Management Advisory Services (858) 534-3617
http://amas.ucsd.edu

Conflict of Interest Office (858) 534-6465
http://ocga3.ucsd.edu/

Office of Development (858) 534-5289
http://www-er.ucsd.edu/Development/development.asp

Office of Sexual Harassment Prevention and Policy (858) 534-8298
http://oshpp.ucsd.edu/

Office of the Ombuds (858) 534-0777
http://www.ombuds.ucsd.edu

Risk Management (858) 534-2454
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,15651,00.html

Travel (858) 822-0202
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,22220,00.html

Other Resources
Faculty Code of Conduct
http://www.ucop.edu/acadadv/acadpers/apm/apm-015.pdf

UC Research Office Contract and Grant Manual
http://www.ucop.edu/raohome/cgmanual/

UCSD Hotline (877) 319-0265
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,2363,00.html
Policies/Procedures
APM 025–Conflict of Commitment and Outside Activities of Faculty Members

G–29 UC Whistleblower Policy
http://www.ucop.edu/ucophome/policies/bfb/g29.html

PPM 200-10–Sexual Harassment/Complaint Resolution
http://adminrecords.ucsd.edu/ppm/docs/200-10.pdf

PPM 230–Personnel–Academic
http://adminrecords.ucsd.edu/ppm/docs/toc230.html

PPM 230-5–Non-Senate Academic Appointees/Grievances
http://adminrecords.ucsd.edu/ppm/docs/230-5.html

PPM 230-6–Academic Personnel Affirmative Action Program
http://adminrecords.ucsd.edu/ppm/docs/230-6.html

PPM 230-7–Layoff and Involuntary Reductions in Time for Non-Senate Academic Appointees
http://adminrecords.ucsd.edu/ppm/docs/230-7.html

PPM 365-11–Travel Recruitment of Academic Staff
http://blink.ucsd.edu/Blink/External/Topics/1,1105,365,00.html

PPM 410-1–Gifts and Endowments
http://adminrecords.ucsd.edu/ppm/docs/toc410.html

PPM 460-5–Misuse of University Resources
http://adminrecords.ucsd.edu/ppm/docs/460-5.html
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. UCSD 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

Potential Areas of Risk
A. 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.
B. 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 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. 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 nongovernment entity prior to making any commitment to accept such funding.
D. Academic appointees and 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.
E. Academic appointees and employees should not purchase or lease goods, or contract for services from any university employee or near relative unless the purchasing services manager has determined that goods or services are not available from either commercial sources or the university's own facilities.
F. University resources, supplies, equipment, and facilities as well as staff time must not be used for the benefit of a company without proper compensation.
G. Academic appointees and employees should be encouraged to discuss any potential conflict of interest situations with the department and/or other UCSD officials, such as the COI coordinator.
Resources

Department
Conflict of Interest Office  (858) 534-6465
http://ocga3.ucsd.edu

Office of the Ombuds  (858) 534-0777
http://www.ombuds.ucsd.edu

Other Resources
UC Conflict of Interest Code
http://www.ucop.edu/ogc/coi/text.html

UCSD Hotline  (877) 319-0265
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,2363,00.htm

Policies/Procedures
APM 025–Conflict of Commitment and Outside Activities of Faculty Members

G–39 Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines, and Regulations Related to Conflict of Interest
http://www.ucop.edu/ucophome/policies/bfb/g39toc.pdf

PPM 200-13–Conflict of Interest
http://adminrecords.ucsd.edu/ppm/docs/200-13.html

PPM 460-5–Misuse of University Resources
http://adminrecords.ucsd.edu/ppm/docs/460-5.html
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 UCSD policies and official directives regarding safety, health, and the environment
C. responsibility for ensuring that academic appointees, employees, students, patients, 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 UCSD 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 UCSD 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
B. designating a safety officer 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 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
E. reporting any fire or fire/life safety hazard to EH&S as soon as possible
F. developing, maintaining, and reviewing EH&S programs for department laboratories, shops, studios, etc., in accordance with UCSD policy and procedures as well as any applicable regulations (see “Resources”)
G. 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
H. reporting any occurrence of environmental pollution to EH&S as soon as possible
Potential Areas of 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 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 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 UCSD, 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*

**Environment, Health & Safety**  (858) 534-3660
http://blink.ucsd.edu/tab/safety
http://blink.ucsd.edu/go/ehscontacts

**Office of the Ombuds**  (858) 534-0777
http://www.ombuds.ucsd.edu

**Worker's Compensation**  (858) 534-4785
http://blink.ucsd.edu/go/workerscomp

*Policies/Procedures*

**PPM 516–Environment, Health & Safety**
http://adminrecords.ucsd.edu/ppm/docs/toc516.html
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 meaningful

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 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 Integrated Financial Information System (IFIS) directly or through an interfacing system
   2. authorizing transactions
   3. receiving or disbursing funds
   4. reconciling financial system transactions
   5. recording corrections or adjustments
G. reviewing that the work for policy compliance, accuracy, and timeliness be performed by a second person in the unit if the lack of staffing within a unit requires that one person perform all of these functions
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 receives the core systems training that they need to effectively complete their responsibilities
Potential Areas of Risk

A. Key controls that are not adequately documented could subject the university to greater scrutiny by 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 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 UCSD policy and procedures manual.

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

F. Cash and checks received for the university must be deposited on a daily basis.

G. Employees cannot accept cash, non-cash gifts, or other benefits from vendors or other organizations that do business with the university.

H. Financial systems developed by a department must demonstrate that income and expenses reconcile to the operating ledger in FinancialLink, which is the official record for UCSD financial transactions. (The use of FinancialLink instead of a shadow system is strongly encouraged.)

I. Cost transfers affecting governmental funds, which are after-the-fact adjustments and corrections of errors in posting costs, must be processed on the ENPET system according to procedures established by the Office of Post-Award Financial Services (OPAFS).

J. The establishment of a new recharge account and new or revised recharge rates must be processed through the Financial Analysis Office and reviewed by the Recharge Rate Review Committee and approved by the controller.

K. All payments to, or for the benefit of, UCSD employees must be in accordance to personnel policies and compensation plans.

L. The payment of compensation or expense reimbursement to foreign visitors is restricted in many situations by Immigration and Naturalization Services (INS) regulations. See disbursements resources for help before a visitor arrives at UCSD.

M. 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.

N. All loans to UCSD employees must be in accordance with approved university loan programs.

O. 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.
P. The UCSD purchasing manager and his or 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 academic appointee may commit university funds without specific delegation of purchase authority granted from the vice chancellor of Business Affairs or the purchasing manager.

Q. 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.

R. 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.

S. 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.

T. Inadequately trained staff may produce inappropriate transactions that may result in loss to the university and/or substantially delay the approval process.

U. Staff who have inadequate information about a particular business process are prone to generate erroneous transactions that can lead to inaccurate reporting and loss of productivity. All staff are strongly encouraged to log onto Blink daily for particular information about UCSD’s business processes.

V. Only certain UCSD 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 (see “Resources” below) for consultation and support.

Resources

Department
Audit and Management Advisory Services (858) 534-3617
http://amas.ucsd.edu/

Business Contracts (858) 534-4437
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,12458,00.html

Business and Financial Services (858) 534-0137
http://blink.ucsd.edu/org/bfs

Campus Budget Office (858) 534-0504
http://www-cbo.ucsd.edu

Campus Central Cashier’s Office (858) 534-3747
http://blink.ucsd.edu/org/cashier

Campus Counsel (858) 822-1236
http://www-chancellor.ucsd.edu/stafflist/campuscounsel.asp

Controller (858) 534-0137
http://blink.ucsd.edu/tab/finance
http://blink.ucsd.edu/org/controller

Disbursements (858) 534-0743
http://blink.ucsd.edu/org/disbursements

General Accounting (858) 534-4074
http://blink.ucsd.edu/org/ga
Office of Development  (858) 534-5289  
http://www-er.ucsd.edu/Development/development.htm

Office of the Ombuds  (858) 534-0777  
http://www.ombuds.ucsd.edu

Office of Post-Award Financial Services  (858) 534-0664  
http://blink.ucsd.edu/org/opafs

Payroll  (858) 534-3240  
http://blink.ucsd.edu/Blink/External/Topics/Preview/0,1362,4222,00.html

Purchasing  (858) 534-3084  
http://blink.ucsd.edu/tab/buying  
http://blink.ucsd.edu/org/purchasing

Resource Management  
http://www-vcrmp.ucsd.edu/index.htm

Risk Management  (858) 534-2454  
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,15651,00.html

Student Business Service  (858) 534-1173  
http://sbs.ucsd.edu

Travel  (858) 822-0202  
http://blink.ucsd.edu/Blink/External/Topics/1,1105,365,00.html

Other Resources

Internal Control Practices  
http://blink.ucsd.edu/blink/External/Topics/Policy/0,1162,17360,00.html

Records Management  
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,14835,00.html

SAS112—Statement of Auditing Standards No. 112  
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,22379,00.html

Policies/Procedures

PPM 300—Accounting Procedures  
http://adminrecords.ucsd.edu/ppm/docs/toc300.html

PPM 380—Budget  
http://adminrecords.ucsd.edu/ppm/docs/toc380.html

PPM 410-1, 410-2—Gift Administration  
http://adminrecords.ucsd.edu/ppm/docs/toc410.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
C. fostering The UCSD Principles of Community (see “Selected Policies/Guidelines”)
D. fostering a departmental environment that respects legal and ethical requirements and university policy, e.g., Office of the President policies, including nondiscrimination 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 Nondiscrimination 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 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 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 UCSD Human Resource Policies and Procedures
G. ensuring that the necessary forms for processing human resource related actions, such as benefit changes, are readily available

Potential Areas of Risk
A. Immediately involve the appropriate central administrative support department (Academic Personnel, Academic Employee Relations, Human Resources Employee Relations, Equal Opportunity/Staff Affirmative Action, Labor Relations, Office of Sexual Harassment Prevention and Policy) 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. In overseeing the university’s appointment and academic review process, *administrative officials* should follow the academic personnel procedures manual, PPM-230.

D. The classification level of a position must be determined by the Human Resources Department Compensation/Classification unit except under specific delegation authority granted to respective vice chancellors for specific classification titles.

E. 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.

F. When advice and counsel are needed to resolve university and/or UCSD policy interpretation and application, the Employee Relations Division 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.

**Resources**

*Department*

**Academic Diversity and Equal Opportunity**  (858) 534-0098
http://academicaffairs.ucsd.edu/offices/adeo/default.htm

**Academic Employee Relations**  (858) 822-2041
http://academicaffairs.ucsd.edu/offices/er/default.htm

**Academic Personnel**  (858) 534-0069
http://academicaffairs.ucsd.edu/offices/apo/

**Accommodation Counseling and Consulting Services**  (858) 534-6743
http://blink.ucsd.edu/org/rehab

**Benefits**  (858) 534-2816
http://blink.ucsd.edu/org/benefits

**Compensation**  (858) 534-0281
http://blink.ucsd.edu/org/compensation

**Employee Relations, Policy Development and Work/Life**  (858) 534-4115
http://blink.ucsd.edu/org/emprel

**Employment and Community Outreach Services (ECOS)**  (858) 534-2820
http://blink.ucsd.edu/org/staffing

**Equal Opportunity/Staff Affirmative Action**  (858) 534-3694
http://blink.ucsd.edu/org/ eosaa

**Faculty/Staff Assistance Program**  (858) 534-5523
http://blink.ucsd.edu/org/fsap

**Human Resources Administration**  (858) 534-0286
http://blink.ucsd.edu/org/hradmin
http://blink.ucsd.edu/tab/people

**Labor Relations**  (858) 534-2810
http://blink.ucsd.edu/org/labrel

**Office of Sexual Harassment Prevention and Policy**  (858) 534-8298
http://oshpp.ucsd.edu/

**Office of the Ombuds**  (858) 534-0777
http://www.ombuds.ucsd.edu

**Payroll**  (858) 534-3240
http://blink.ucsd.edu/Blink/External/Topics/Sponsor/0,1362,4222,00.html
Risk Management  (858) 534-2454
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,15651,00.html

Staff Education and Development  (858) 534-4890
http://blink.ucsd.edu/Blink/External/Topics/Sponsor/0,1362,1433,00.html

Other Resources
Collective Bargaining Agreements
http://atyoursevice.ucop.edu/employees/policies_employee_labor_relations/
collective_bargaining_agreements.html

UCSD Principles of Community
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,385,00.html

Policies/Procedures
PPM 200–Personnel-General
http://adminrecords.ucsd.edu/ppm/docs/toc200.html

PPM 230–Personnel-Academic
http://adminrecords.ucsd.edu/ppm/docs/toc230.html

PPM 395–Payroll
http://adminrecords.ucsd.edu/ppm/docs/toc395.html

UCSD Implementing Procedures for UC Personnel Policies for Staff Members (PPOM)
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,465,00.html

University of California Personnel Policies for Staff Members
http://www.ucop.edu/ucophome/coordrev/ucpolicies/policymanuals.html
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 departmental 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 UCSD’s data warehouse, or should utilize the Financial Link 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.

Resources

Department

Academic Computing Services  (858) 534-4050
http://www-acs.ucsd.edu/

Administrative Computing and Telecommunications  (858) 534-1853
http://blink.ucsd.edu/org/act
http://blink.ucsd.edu/tab/technology

Healthcare Information Services  (619) 543-3866

Network Operations  (858) 534-1857
http://www-no.ucsd.edu/

Policy and Records Administration  (858) 534-3395
http://adminrecords.ucsd.edu/

Other Resources

Departmental Security Administrator (ACT) Handbook
http://www-act.ucsd.edu/actonly/trn/dsa/DSA_html/dsa.html

Departmental Security Administrator Responsibilities
http://blink.ucsd.edu/go/dsa

Records Management
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,14835,00.html

Standards for Developing and Maintaining Computer Applications
http://blink.ucsd.edu/Blink/go/is10

Policies/Procedures

ACS Acceptable Use Policies
http://acs.ucsd.edu/lib/aup.shtml

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

BFB IS-10–System Development and Maintenance Standards
http://www.ucop.edu/ucphome/policies/bfb/is10.pdf

BFB IS-11–Identity and Access Management
http://www.ucop.edu/ucphome/policies/bfb/is11.pdf

BFB IS-12–Continuity Planning and Disaster Recovery
http://www.ucop.edu/ucphome/policies/bfb/is12.pdf

BFB RMP-8–Legal Requirements on Privacy of and Access to Information
http://www.ucop.edu/ucphome/policies/bfb/rmp8toc.html

Electronic Communications Policy
http://www.ucop.edu/ucphome/policies/ec/

PPM 135-3–Network Security
http://adminrecords.ucsd.edu/ppm/docs/135-3.html

PPM 160-2–Disclosure of Information from Student Records
http://adminrecords.ucsd.edu/ppm/docs/160-2.pdf

PPM 460-5–Misuse of University Resources
http://adminrecords.ucsd.edu/ppm/docs/460-5.html

PPM 480-3–Responsibilities and Guidelines for Handling Records Containing Information about Individuals
http://adminrecords.ucsd.edu/ppm/docs/480-3.html
Delegation of Authority and Responsibility

Major Responsibilities That Cannot Be Delegated:
A. accountability for the administrative leadership of the department
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. 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
   2. misconduct in research
   3. misuse or mismanagement of resources
   4. violation of the faculty code of conduct

It is strongly suggested that the administrative official immediately involve the vice chancellor for Research and/or the Conflict of Interest Office, when appropriate, 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.

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 UCSD Institutional Animal Care and Use Committee (IACUC).

B. Noncompliance with federal and university animal welfare regulations and policies may lead to a formal complaint, the 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 UCSD 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—Review of Contract and Grant Applications**
A. The **administrative official** must ensure that research grant and contract applications are accurate, complete, and timely.

B. An employee with delegated contracting authority should sign all contracts and grants.

C. The Offices of Research Affairs and Contract and Grant Administration should be consulted for assistance.

**Research—Gift Administration**
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 Gift Administration should be consulted for assistance.

**Research—Financial Management**
A. The **administrative official** must ensure that a principal investigator manages his or her grants 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—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 EH&S 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 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.

**Research—Intellectual Property**

A. It is required that anyone using university research facilities, whether or not on a paid appointment, sign the university patent acknowledgement form.

B. Consulting agreements between an academic appointee member and an outside organization may not conflict with duties owed the university under academic personnel guidelines, such as obligations to disclose inventions.

**Resources**

**Department**

*Academic Employee Relations*  (858) 822-2041  
http://academicaffairs.ucsd.edu/offices/er/default.htm

*Animal Care Program*  (858) 822-6476  
http://animalhealth.ucsd.edu

*Conflict of Interest Office*  (858) 534-6465  
http://ocga3.ucsd.edu

*Environment, Health & Safety*  (858) 534-3660  
http://blink.ucsd.edu/go/ehscontacts  
http://blink.ucsd.edu/tab/safety

*Human Research Protections Program*  (858) 455-5050  
http://irb.ucsd.edu

*Institutional Animal Care and Use Committee*  (858) 534-6069  
http://iacuc.ucsd.edu

*Office of Contract & Grant Administration*  (858) 534-3330  
http://ocga2.ucsd.edu

*Office of Development*  (858) 534-5289  
http://www-er.ucsd.edu/Development/development.htm

*Office of the Ombuds*  (858) 534-0777  
http://www.ombuds.ucsd.edu

*Office of Post-Award Financial Services*  (858) 534-0664  
http://blink.ucsd.edu/org/opafs

*Office of Postdoctoral Scholar Affairs*  (858) 534-3553  
http://research.ucsd.edu/postdoc

*Office of Research Affairs*  (858) 822-4620  
http://research.ucsd.edu

*Risk Management*  (858) 534-2454  
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,15651,00.html

*Technology Transfer and Intellectual Property Services*  (858) 534-5815  
http://invent.ucsd.edu/

**Other Resources**

*Contract and Grant Manual—Academic Policy*  
http://www.ucop.edu/raohome/cgmanual/

*Faculty Code of Conduct and Administration of Discipline*  
http://www.ucop.edu/acadadv/acadpers/apm/apm-015.pdf

*UCSD Hotline*  (877) 319-0265  
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,2363,00.html
Policies/Procedures
APM-025 Conflict of Commitment and Outside Activities for Faculty Members

APM-390 Postdoctoral Scholar Policy
http://www.ucop.edu/acadadv/acadpers/apm/apm-390.pdf

UC Faculty Handbook
http://www.ucop.edu/acadadv/acadpers/handbook/

PPM 100-4 Integrity of Research
http://research.ucsd.edu/ethics/ucsd_policy.html

PPM 100-5 Protection of Human Research Subjects
http://adminrecords.ucsd.edu/ppm/docs/100-5.pdf

PPM 100-6 Policy on the Use of Animals in Research and Teaching
http://adminrecords.ucsd.edu/ppm/docs/100-6.pdf

PPM 200-13 Conflict of Interest
http://adminrecords.ucsd.edu/ppm/docs/200-13.html

PPM 410 Gift Administration
http://adminrecords.ucsd.edu/ppm/docs/toc410.html

PPM 460-5 Misuse of University Resources
http://adminrecords.ucsd.edu/ppm/docs/460-5.html

PPM 516 Environment, Health & Safety
http://adminrecords.ucsd.edu/ppm/docs/toc516.html
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Administrative officials are responsible for developing an appropriate structure for effectively managing the university's resources.
Selected Policies/Guidelines

Principles of Accountability

Policy
The chancellor delegates the accountability for the management of UCSD resources to the leadership of functional units. Each unit head is accountable for managing his or her 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;
   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 his or her function.
F. The administrative official must periodically:
   1. review the official record of who is accountable for the various functions;
   2. ensure that each person assigned tasks that involve accountability is performing his or her 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 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
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

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
   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 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 his or her 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
UCSD Principles of Community

The University of California, San Diego is dedicated to learning, teaching, and serving society through education, research, and public service. Our international reputation for excellence is due in large part to the cooperative and entrepreneurial nature of the UCSD community. UCSD faculty, staff, and students are encouraged to be creative and are rewarded for individual as well as collaborative achievements.

To foster the best possible working and learning environment, UCSD strives to maintain a climate of fairness, cooperation, and professionalism. These Principles of Community are vital to the success of the university and the well-being of its constituents. UCSD faculty, staff, and students are expected to practice these basic principles as individuals and in groups.

• We value each member of the UCSD community for his or her individual and unique talents, and applaud all efforts to enhance the quality of campus life. We recognize that each individual’s effort is vital to achieving the goals of the university.

• We affirm each individual’s right to dignity and strive to maintain a climate of justice marked by mutual respect for each other.

• We value the cultural diversity of UCSD because it enriches our lives and the university. We celebrate this diversity and support respect for all cultures, by both individuals and the university as a whole.

• We are a university that adapts responsibly to cultural differences among the faculty, staff, students, and community.

• We acknowledge that our society carries historical and divisive biases based on race, ethnicity, gender, age, disability, sexual orientation, religion, and political beliefs. Therefore, we seek to foster understanding and tolerance among individuals and groups, and we promote awareness through education and constructive strategies for resolving conflict.

• We reject acts of discrimination based on race, ethnicity, gender, age, disability, sexual orientation, religion, and political beliefs, and we will confront and appropriately respond to such acts.

• We affirm the right to freedom of expression at UCSD. We promote open expression of our individuality and our diversity within the bounds of courtesy, sensitivity, confidentiality, and respect.

• We are committed to the highest standards of civility and decency toward all. We are committed to promoting and supporting a community where all people can work and learn together in an atmosphere free of abusive or demeaning treatment.

• We are committed to the enforcement of policies that promote the fulfillment of these principles.¹

• We represent diverse races, creeds, cultures, and social affiliations coming together for the good of the university and those communities we serve. By working together as members of the UCSD community, we can enhance the excellence of our institution.

¹These policies include but are not limited to: Academic Personnel manual 015-The University of California Policy on Faculty Conduct and the Administration of Discipline, The University of California Personnel Policies for Staff Members and UCSD Implementing Procedures, Appendix II-Personnel Policies for Senior Managers, The University of California, San Diego Student Conduct Code, UCSD House Officer Policy and Procedure Document, Applicable University Collective Bargaining Agreements. For further information or inquiries, contact the director, Office of Academic Diversity and Equal Opportunity, the director of Human Resources for Equal Opportunity/Staff Affirmative Action, and/or the director, Student Affirmative Action and Human Relations Programs.
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.

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 UCSD 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
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 postauthorization 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
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.

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.
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;
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 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 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.

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 UCSD 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-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. 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) 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 UCSD external audit coordinator.
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 UCSD 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 Animal Subjects 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 UCSD, particularly responses to demonstrations or other activities of animal rights organizations.
Informal Conflict Resolution

Policy
The University of California, San Diego is committed to providing individuals the right to 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 his or her conflict, UCSD encourages and facilitates the use of an informal conflict resolution process.

Administrative officials are responsible for supporting a workplace environment that adheres to the following principles and responsibilities:

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 Affairs, Employee Relations, the Office of the Ombuds, 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
Informal Conflict Resolution Process Flowchart

Informal mediation is available at any point in the process.
Records Management Program

Program Objectives

In keeping with sound business practices, UCSD creates, gathers, and maintains operational and historic records of its activities. The university has established the Records Management Program 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 Records Management Program develops and evaluates records disposition schedules for both paper and electronic records systems.

Policy and Records Administration

The chancellor has assigned responsibility for coordination of the Records Management Program at UCSD to Policy and Records Administration. The Records Management Coordinators are responsible for the development, coordination, implementation, and management of the program.

Policy and Records Administration 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 UCSD, conveying campus concerns and issues to the systemwide committee, and reporting periodically on the status of the program.

Department Responsibilities

All employees at UCSD or UCSD Medical Center 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.

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.
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), UCSD 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

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 FDS regarding the health, welfare, safety, rights, and privileges of human subjects;

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

Responsibilities: UCSD Institutional Review Boards

A. UCSD, 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 UCSD IRB has jurisdiction over all human subject research conducted at this institution and does not recognize any exemptions.

B. The UCSD IRB has the responsibility of reviewing all human subject research:

1. sponsored by UCSD;

2. conducted by any UCSD or San Diego Veterans Affairs Medical Center (SDVAMC) employee or agent in connection with his or her institutional duties;

3. conducted by any UCSD or SDVAMC agent or employee using any property or facility of UCSD or the SDVAMC;

4. that involves the use of UCSD’s or SDVAMC’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 UCSD PPM 100-6, UCSD 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: UCSD 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.
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 UCSD 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.

The Business Process Self-assessment (BPSA) survey is another advisory service provided by AMAS to the campus community. The purpose of BPSA is to enhance awareness of business practices and internal control systems in a complex, decentralized university environment. The Control Environment Survey is designed to address soft controls such as organizational cultural issues not easily evaluated in the context of traditional internal audits. The Academic Department Compliance Survey is another process designed to evaluate internal controls.

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.
UCSD Hotline

Purpose and Objectives
UCSD is committed to maintaining the highest standards of conduct in the fulfillment of its education, research, public service, and patient care missions. If members of the UCSD community—academic appointees, staff, and students—have concerns about possible improper activities that may place the university at risk, the university encourages them to discuss their concerns with their supervisors, managers, or department heads. However, sometimes individuals would prefer an alternative avenue for reporting concerns about compliance with policies and procedures that allows anonymity or confidentiality. To provide that option, UCSD operates a hotline program to field calls about compliance on an anonymous basis and relay concerns back to the appropriate university office for review and, when necessary, action.

The hotline is designed to respond to concerns about:
- misuse of assets, fraud, and waste
- conflict of interest violations
- health and safety violations
- inappropriate gifts, entertainment, and gratuities
- potential false billings, including patient billings

Operation of the Campus Hotline
To ensure that the UCSD community can report concerns anonymously, the campus has engaged an outside firm to operate a 24-hour “hotline” (Toll-free 877-319-0265). Trained personnel receive the calls, which may be reported without personal identification. Reports are forwarded to the appropriate campus department or program, for example, to Audit and Management Advisory Services or the UCSD Healthcare Compliance Office. A thorough review is conducted to evaluate the initial complaint. Once a report has been assigned a case number, the information is then referred to the AMAS for investigation and/or referral to the appropriate campus department for further action.

The hotline is not intended to replace or interfere with normal reporting, supervision, or management information processes, procedures, or protocols. Reporting information to the UCSD hotline does not substitute for, or constitute action that causes a time period specified in an existing university policy or procedure to begin. Operation of the hotline supplements, but does not supercede, existing UCSD policy or procedures.
Selected Examples of Good Business Practices

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 FinancialLink tools such as the Ledger Reviewer module.
# Quick Reference Listings

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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

Blink Subject Resources

Buying—Practical information about buying, contracting, paying, managing equipment, shipping, mailing, and other services
http://blink.ucsd.edu/tab/buying

Facilities—An overview of campus facilities and space management
http://blink.ucsd.edu/tab/facilities

Finance—Information about financial processes and systems
http://blink.ucsd.edu/tab/finance

People—Various topics related to human resources and personnel
http://blink.ucsd.edu/tab/people

Research—Information related to laboratory procedures, and pre-award and post-award information
http://blink.ucsd.edu/tab/research

Safety—Information on establishing a safe work environment, reporting safety hazards, and handling emergencies
http://blink.ucsd.edu/tab/safety

Technology—Information about various online business systems, network/hardware/software guidance, and topics related to telecommunication
http://blink.ucsd.edu/tab/technology

Travel—Information about travel and entertainment topics
http://blink.ucsd.edu/tab/travel

Department Resources

Academic Affairs (858) 534-0098
http://academicaffairs.ucsd.edu

Academic Computing Services (858) 534-4050
http://www-acs.ucsd.edu/

Academic Diversity and Equal Opportunity (858) 534-4497
http://academicaffairs.ucsd.edu/offices/adeo/

Academic Employee Relations (858) 822-2041
http://academicaffairs.ucsd.edu/offices/er/

Academic Personnel (858) 534-0069
http://academicaffairs.ucsd.edu/offices/apo/default.htm

Accommodation Counseling and Consulting Services (858) 534-6743
http://blink.ucsd.edu/ org/ rehab

Administrative Computing and Telecommunications (858) 534-1853
http://blink.ucsd.edu/ org/ act

Animal Care Program (858) 822-6476
http://animalhealth.ucsd.edu

Audit and Management Advisory Services (858) 534-3617
http://amas.ucsd.edu/
http://amas.ucsd.edu/ Services/ Investigations.htm

Benefits (858) 534-2816
http://blink.ucsd.edu/ org/ benefits

Business and Financial Services (858) 534-0137
http://blink.ucsd.edu/ org/ bfs

Business Contracts (858) 534-4437
http://blink.ucsd.edu/ Blink/ External/ Topics/ Policy/ 0,1162,12458,00.html

Campus Budget Office (858) 534-0504
http://www-cbo.ucsd.edu/

Campus Central Cashier’s Office (858) 534-3747
http://blink.ucsd.edu/ org/ cashier

Campus Counsel (858) 822-1236
http://www-chancellor.ucsd.edu/ stafflist/ campuscounsel.asp

Chancellor’s Office
http://www-chancellor.ucsd.edu/
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<td><a href="http://ocga3.ucsd.edu">http://ocga3.ucsd.edu</a></td>
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<td><a href="http://blink.ucsd.edu/org/emprel">http://blink.ucsd.edu/org/emprel</a></td>
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<td><a href="http://www-no.ucsd.edu/">http://www-no.ucsd.edu/</a></td>
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<td><strong>Office of Development</strong></td>
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<td><a href="http://www-er.ucsd.edu/Development/development.asp">http://www-er.ucsd.edu/Development/development.asp</a></td>
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Other Resources

Administrative Responsibilities Handbook Overview, UCSD
http://blink.ucsd.edu/go/adminhandbook

Affirmative Action
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,2330,00.html

Conflict Management Overview
http://blink.ucsd.edu/go/conflict

Conflict of Interest Code, UC
http://www.ucop.edu/ogc/coi/text.html

Conflict Resolution Guide
http://www.hr.ucsd.edu/%7EmInternet/complete.html

Departmental Security Administrator Responsibilities
http://blink.ucsd.edu/go/dsa

Ethics Awareness Overview
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,17385,00.html

Ethics Awareness Program, UC
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,19471,00.html

Faculty Code of Conduct
http://www.ucop.edu/acadadv/acadpers/apm/apm-015.pdf

Faculty Handbook, UC
http://www.ucop.edu/acadadv/acadpers/handbook/

Hotline, UCSD
Tollfree (877) 319-0265
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,2363,00.html

Internal Control Practices
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,17360,00.html

Principles of Community, UCSD
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,385,00.htm

Records Management Program, UCSD
http://adminrecords.ucsd.edu/Records/Default.html

Responsibilities and Guidelines for Handling Records Containing Information about Individuals
http://adminrecords.ucsd.edu/ppm/docs/480-3.html

Statement of Auditing Standards No. 112
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,22379,00.html

Policies and Procedures

ACS Acceptable Use Policies
http://acs.ucsd.edu/lib/aup.shtml

Academic Personnel Manual, UC
http://www.ucop.edu/acadadv/acadpers/apm/

Accounting Procedures–PPM 300
http://adminrecords.ucsd.edu/ppm/docs/toc300.html

Budget–PPM 380
http://adminrecords.ucsd.edu/ppm/docs/toc380.html

Collective Bargaining Agreements
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,13882,00.html
Conflict of Commitment and Outside Activities of Faculty Members—APM 025

Conflict of Interest—PPM 200-13
http://adminrecords.ucsd.edu/ppm/docs/200-13.html

Contract and Grant Manual—Academic Policy, UC
http://www.ucop.edu/raohome/cgmanual/

Disclosure of Information from Student Records—PPM 160-2
http://adminrecords.ucsd.edu/ppm/docs/160-2.html

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

Electronic Mail Policy
http://www.ucsd.edu/email.html

Environment, Health & Safety—PPM 516
http://adminrecords.ucsd.edu/ppm/docs/516.html

Gifts and Endowments—PPM 410
http://adminrecords.ucsd.edu/ppm/docs/410.html

Guidelines for Handling Records Containing Information about Individuals—PPM 480-3
http://adminrecords.ucsd.edu/ppm/docs/480-3.html

Human Subjects, Protection of—PPM 100-5
http://adminrecords.ucsd.edu/ppm/docs/100-5.pdf

Identity and Access Management—BFB IS-11
http://www.ucop.edu/ucophome/policies/bfb/is11.pdf

Integrity of Research—PPM 100-4
http://research.ucsd.edu/ethics/ucsd_policy.html

Misuse of University Resources—PPM 460-5
http://adminrecords.ucsd.edu/ppm/docs/460-5.html

Network Security—PPM 135-3
http://adminrecords.ucsd.edu/ppm/docs/135-3.html

Nondiscrimination and Affirmative Action Policy Regarding UC Academic and Staff Employment

Payroll—PPM 395
http://adminrecords.ucsd.edu/ppm/docs/395.html

Personnel—Academic—PPM 230
http://adminrecords.ucsd.edu/ppm/docs/230.html

Personnel—General—PPM 200
http://adminrecords.ucsd.edu/ppm/docs/200.html

Personnel Policies for Staff Members
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,465,00.htm

Postdoctoral Scholar Policy—APM 390
http://www.ucop.edu/acadadv/acadpers/apm/apm-390.pdf

Privacy of and Access to Information, Legal Requirements on BFB RMP-8
http://www.ucop.edu/ucophome/policies/bfb/rmp8toc.html

Sexual Harassment and Complaint Resolution—PPM 200-10
http://adminrecords.ucsd.edu/ppm/docs/200-10.html

Standards for Developing and Maintaining Computer Applications, IS-10
http://blink.ucsd.edu/go/is10

Travel Recruitment of Academic Staff—PPM 365-11
http://blink.ucsd.edu/Blink/External/Topics/1,1105,365,00.html

UC Personnel Policies for Staff Members (UCPPSM) and UCSD Implementing Procedures
http://blink-prod.ucsd.edu/Blink/External/Topics/Policy/0,1162,465,00.html

The Use of Animals in Research and Teaching, PPM 100-6
http://adminrecords.ucsd.edu/ppm/docs/100-6.pdf

Whistleblower Policy—G-29
http://www.ucop.edu/ucophome/policy/bfb/g29.html

Workers’ Compensation—PPM 200-20
http://adminrecords.ucsd.edu/ppm/docs/200-20.html