UCSD Academic Affairs

Academic Business Administrators

Business Officer Handbook

Acknowledgements

Developed over the past several years by the ABA-Human Resources committee,* with significant input and advice from business officers and other resources across campus, the Business Officer handbook is intended to give current and potential academic business officers at UCSD basic information about the various functional areas for which they may be responsible. Since this is a handbook written by and for academic business officers, the goal is to provide, for each subject area, strategies for success as well as pitfalls to avoid. Think of it as a “virtual mentor.”

The functional area chapters of the handbook include Internet links to more detailed information on policies and procedures. However, much of the information shared in the booklet has been gained through experience and may not exist on any web sites. Some of it may be historical background, resource formulas, policy rationale and policy in practice. We intend this handbook to be a "live" document and will update it as appropriate over time.

*<u>UCSD ABA Human Resources Committee (2003-2006)</u>

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A) Overview

This handbook has been developed to complement the ABA Mentorship Program and is intended to give new and existing business officers at UCSD some basic information about the areas for which they may be responsible. Since this handbook is written by and for academic business officers, its goal is to provide, for each subject area, notable pitfalls to avoid as well as strategies for success. Think of it as a "virtual mentor".

Each section has also been hyperlinked for your ease in accessing related policies and procedures. However, much of the information shared in this booklet has been gained through personal experience and may not exist in an online venue. Some of it includes historical background and precedent, the rationale for various resource formulas and policies, and a discussion of policy in practice.

A Resource Contact list is also available with names of experienced business officers you may contact who are expert in various areas and have volunteered to be available for related questions.

It is our sincere hope that this handbook and the ABA Mentorship Program will provide new and potential Business Officers at UCSD with valuable information so that all units under the direction of the Senior Vice Chancellor of Academic Affairs will be well-managed. The information contained herein is a compilation of what many have learned by trial and error (mostly error) and, as such, it is our hope that this manual will provide a valuable guide and overview.

B) Organization Of Academic Affairs

Academic Affairs is the largest of the seven vice chancellor areas at UCSD. Led by the Senior Vice Chancellor-Academic Affairs (SVCAA), it is comprised of five academic divisions (Social Sciences, Physical Sciences, Biological Sciences, Arts & Humanities and the Jacobs School of Engineering), two professional schools (Rady School of Management and Graduate School of International Relations and Pacific Studies), six undergraduate colleges (Muir, Marshall, Roosevelt, Revelle, Sixth, and Warren), the University Libraries, and Extended Studies & Public Programs (University Extension). The vice chancellor area also includes such academic support units as the Office of Graduate Studies (OGS), Academic Computing Services (ACS) and the Media Center. Please see the Senior Vice Chancellor-Academic Affairs organization chart for a complete overview .

The Vice Chancellor of Research reports to the SVCAA and the units under his/her purview are also part of Academic Affairs. These units include Research Administration, the Organized Research Units (ORUs), Office of Contract and Grant Administration (OCGA), Technology Transfer and Intellectual Property Services (TTIPS), and Animal Care & Animal Welfare. Please see the Vice Chancellor-Research organization chart for a full overview of its areas and services.

The Office of the SVCAA provides leadership and support to the units in Academic Affairs and is staffed with individuals responsible for policy and procedure communication and implementation, training and guidance, and program development for administrators, faculty, and staff. The Academic Affairs Home Page is an excellent resource to familiarize yourself with the structure and programs housed under the umbrella of Academic Affairs.

In addition to its central administrative office, the Office of the SVCAA is comprised of the following units:

Academic Personnel Services, consisting of Academic Diversity and Equal Opportunity, Academic Employee Relations, Academic Personnel, and the Partner Opportunities Programs, whose mission is to facilitate the recruitment, advancement and retention of faculty and other academic personnel.

Resource Administration, consisting of Budget and Financial Management, Staff Human Resources, Space & Facilities Management, Summer Session and Faculty Housing Assistance Programs.

Program Planning and and Undergraduate Education, which is responsible for the planning, coordination and administration of UCSD's academic program initiatives and for the improvement of undergraduate education. Initiatives coordinated by this unit include Freshman and Senior Seminars, the Instructional Improvement Program and academic program reviews.

Also available as a resource is the UCSD Administrative Org Chart, which provides an even larger overview to the governance and administration for the entire campus.

Staff HR

A) *Overview*

Business Officers are accountable for the overall management of human resources in their departments and/or units. This function is critical to every aspect of achieving the unit's goals. The Business Officer is expected to assume a leadership role for all areas related to workload analysis and adjustment, staffing resources, staff retention, discipline, and development including: recruitment, compensation, performance management, classification analysis, benefits administration, employee relations, counseling and advising, and training and development.

As in other areas, the Business Officer is responsible for establishing, documenting, and monitoring departmental procedures and policies so that they are consistently applied and comply with existing legal and university policy. The Business Officer may delegate certain responsibilities; however, s/he is ultimately accountable to ensure that individuals with delegated responsibilities abide by existing regulations.

This section is intended to serve as guide for Staff-related Human Resources and provide Business Officers with useful tips and strategies for success. General policy and procedural details can be found on the campus website BLINK: People or on the Academic Affairs Staff HR page. For a list of web-links to the most commonly used staff policies, please consult the Blink UC Personnel Policies for Staff Members (UCPPSM) and UCSD Implementing Procedures page.

B) *Staff Recruitment*

Business Officers are responsible for ensuring that staff recruitments comply with University policies and procedures. Prior to initiating a recruitment process, an MSO must evaluate staffing needs, identify/confirm funding for the position, and obtain budgetary approval, as applicable.

Before a job is posted, administrative review is required to create the appropriate classification level for a new position. Administrative review is also required for any recruitment effort that may require recalibration if an existing position has undergone significant changes (in job duties or levels of responsibility) since the last time that job description was updated.

The Blink: Hiring Menu houses much information about this process, including topics and procedures such on how to write a job description; understand a series concept; view the job description library; make an online employment requisition; comply with Preferential Rehire; interview and conduct reference checks; make a selection and an offer; understand university pay-related resources (Title & Pay Plan, Successful Selection Guide, Salary Policy), and hire from UCSD's Temporary Employment Services and/or Financial Temps Service.

The obvious goal is to understand which factors are important to conducting a successful recruitment so that your efforts will result in the hire of a skilled or trainable employee who fits well with your team.

As you progress with the hiring of new staff, you may find certain strategies work better than others. Where you enjoy success, it is a good idea to write these strategies down. Some Business Officers, for example, will request to see all resumes submitted in response to an opening whenever the first set of resumes forwarded by HR does not have enough potential to yield a strong selection. Other Business Officers may have strategies for when to "re-open" a job if the pool is too weak. Others may elect to call references for pre-screening before any candidates are brought in for an interview. In the below strategies for success, several "tried and true" tips are noted. We hope they will prove helpful. Please also consult the below Compensation section regarding determining initial salary and other compensation related matters.

Staff Recruitment Strategies for Success:

- Do not forget that a vacant position is an opportunity to review your unit, streamline operations, and re-distribute work functions.
- To create a strong pool, you may find it useful to work with HR to identify professional associations, websites, listservs and other advertising opportunities to attract a diverse and qualified group of applicants for your search, particularly for classifications that tend to be under-represented.
- With each re-hire or reclassification, maintain updated and accurate job descriptions.
- Reference checks are essential! Do not skip making those calls. Ask open-ended questions to ascertain the candidate's strengths and weaknesses.
- The Total Compensation Calculator is an excellent resource to cite when recruiting an external candidate. A candidate should consider total compensation (i.e. salary and wages, shift differential and on-call payments, lump sum payments, and awards, etc.), as well as training opportunities, health and welfare benefits, retirement and savings plans, and employee programs and services.

C) Compensation

Business Officers are responsible for ensuring equitable compensation within their department/unit in accordance with the University's salary-setting policies or collective bargaining agreements, as applicable, for each employee group. In addition, departmental budgetary limitations must be considered.

Refer to the UCSD Rate Setting Guidelines before making a salary offer or granting a salary increase due to promotion, upward reclassification, or other classification change. When transferring from one bargaining unit to another, the collective bargaining provisions for the new position will prevail. Please consult the Salary Policy for more details on the below categories.

i. Starting Salary

Relevant factors for determining a starting salary include the person's qualifications and salary history, the salary being paid to those with similar qualifications and responsibilities, the range placement that is appropriate based on skills and experience, and the market rate for the position. The length of time before the employee will be eligible for an increase in salary may also be taken into consideration.

ii. Merit Increases

The merit program is not necessarily automatically funded every year and is subject to budgetary restrictions. Information related to the amount, timing and eligibility criteria for merit increases is distributed annually in accordance with University-wide funding guidelines and bargaining wage agreements. Generally, employees will be eligible for merit increase consideration if they are in a career position, have completed a probationary period (if applicable), are not at the salary range maximum, and have achieved a performance rating of "Satisfactory" or above on their most recent performance evaluation.

iii. Equity Increases

The equity increase policy provides a mechanism for granting salary increases to non-probationary employees outside of the normal merit cycle due to a variety of situations that represent a salary inequity. Consult the Academic Affairs Staff HR website for information and instructions on requesting an equity increase and obtaining VC approval.

iv. Staff Recognition & Incentive Awards

The University also uses a Staff Recognition Development Program and Employee Incentive Awards as a means to provide additional cash and non-cash compensation for staff. These awards differ from merit increases in that, while they can also be annually awarded, they are generally aimed at recognizing individual or team contributions that go beyond individual job performance to enhance the accomplishment of organizational goals.

D) Benefits

Business Officers are responsible for ensuring that they and/or the designated departmental benefits representative stay abreast of current benefit policies and procedures sufficient to provide general advice to employees. It is important to be aware of the various tiers of Benefits eligibility for various employees (largely determined by title code or classification, percent of time and length of appointment). Signing up for benefits generally consists of a 31 day PIE (Period of Initial Eligibility) that begins at the employee's first day on pay. During this period, the employee can choose from the available options for themselves and any eligible family members. Aside from this PIE, employees can only make major changes to their enrollments at Open Enrollment (changes allowed in the month of November, but effective January 1). Consult the Blink: Benefits Menu for information regarding guidelines on common issues such as: eligibility levels, online benefits orientations and enrollment, insurance plan information, investment and retirement plans, forms, brochures, and additional resources.

Benefits Strategies for Success:

- Give employees information about benefits like supplemental disability that can only be signed up for on the original date of hire.
- Ensure employees are aware of their PIEs, especially if they are new to the University.
- Remind employees to view their Beneficiary Designations once a year, preferably during Open Enrollment, and make changes as appropriate.
- Remind employees that they, not the department or unit, are ultimately responsible for their benefits choices.
- Contact a benefits office representative for help with situations, such as retroactive eligibility, where paper forms might be needed.

E) Performance Management

Business Officers are responsible for establishing and maintaining plans, standards, timelines, and expectations for performance management. The Blink: Performance Appraisal Menu links to many web pages regarding how to evaluate employees, including: How to Conduct a Performance Appraisal, how to find the Academic Affairs Performance Evaluation Form, how to meet the UCSD Standards for Effective Supervision, How to Observe and Give Feedback on Performance, and how to find the manager's Guide to Performance Management.

Performance Management Strategies for Success:

- View Performance Management as an ongoing responsibility of the supervisor.
- Establish a mechanism to ensure your managers conduct timely and effective performance reviews, provide ongoing constructive feedback, develop performance improvement plans, and promote professional development.
- Be aware that ongoing communication promotes trust between managers and staff and helps them to build a shared understanding of each others' perspectives and needs in relation to work priorities.
- For problematic reviews, it is critical that you refer to existing UCSD policy or the applicable bargaining agreement and consult with the Employee Relations office before initiating the review.

F) Budgeting/Salary Administration

The Campus Budget Office will provide merit increase funding for permanently budgeted General Funds employees who are eligible for a merit increase. Departments are responsible for funding increases for employees who are not permanently budgeted on General Funds.

Funding for equity increases or reclassifications are not provided by the Campus Budget Office or Academic Affairs. Departments must secure adequate funding and internal budgetary approvals prior to approving/submitting equity requests.

G) *Classification Analysis*

Ensuring proper classification of new and existing positions within their department or unit is extremely important to employee recruitment and retention. Business Officers should establish and maintain internal procedures, and in most cases, as designated by the appropriate campus official, have been delegated the authority to approve certain classifications.

Classification Resources can be found at Blink: Classification Menu such as: how to classify or reclassify a position; where to find staff Policies/Procedures and links to Academic Affairs Classification Resources; UC Job Description and Class/Series Concepts; a Job Description Builder; and other resources.

Classification Strategies for Success

- Classify the position, not the person. A position is classified based on actual, existing duties and responsibilities, not on the competency, longevity, or personal attributes of the individual in the position.

- A complete, concise, and accurate job description will help classify each position and will serve as the basis for recruiting, training, and evaluating employees, in addition to acting as a guide for developing performance standards for staff.

- A well-written job description should be easily understood by anyone who reads it - not only by those familiar with the position.

H) *Training & Development*

Committing resources and actively promoting staff training and development opportunities will enable employees to acquire the skills and competencies required to perform their jobs effectively and to develop professionally. The Blink: Training & Development Menu can be a great source of links on topics such as Professional Development, Staff Education, Educational Benefits, Training for Supervisors, and Mentoring/Coaching Employees. Additionally, the Staff Education and Development Office offers a variety of training and development opportunities at their enrollment central site including overviews and online enrollment for formal courses, separate free web-based training, a Professional Development planner, and a self-study library.

For staff interested in management and upward mobility, Career Connection provides UCSD employees assistance with career planning, goal setting, and lateral or upward mobility.

For those interested in leadership or management, Staff Education and Development offers a variety of courses in the Management and Leadership curriculum to assist supervisors in developing their skills. The division of Academic Affairs also sponsors the following development programs:

Business Officer Academy (BOA) – a two-year innovative staff enrichment program that provides training, guidance and support to staff members who aspire to become business officers.

ABA Mentorship Program pairs experienced UCSD managers from academic departments and units and central administration with newer business officers seeking to enhance their management skills, better understand the UCSD organizational culture and develop a network of resources on campus to assist them in their daily work.

Financial Management Academy is designed to supplement existing courses taught through Staff Education and Development and will provide fiscal staff with a solid foundation of knowledge of a broad range of UCSD financial functions.

UExplore is a nine-month staff enrichment program designed for early-career and entry-level Academic Affairs employees. The mission of UExplore is to assist participants in identifying realistic and appropriate professional development goals. providing them with the tools to make educated decisions regarding their careers.

Training and Development Strategies for Success

- Encourage supervisors to identify training needs and develop individual training plans for their staff.
- Make it clear which types of classes you would view as valuable to each staff member's individual professional development goals, which types of courses you would readily approve, and how many the department may be able to fund for any given year.
- If you prefer staff do most of their non-essential training during periods of "down-time," suggest windows of decreased activity as good opportunities for staff to schedule training.
- Set up a clear policy, verbal or otherwise, regarding staff development issues that ensures your department or unit's internal protocol is both clear to staff and readily accessible by those you employ.
- Remind employees that for training to be effective, they must take personal responsibility for their own development.

I) Work-Life Balance Issues

Work-life balance initiatives are those benefits, policies, or programs that help create a better balance between the demands of the job and the healthy management (and enjoyment) of life outside work. Organizations that strive for a work-life balance enjoy increased productivity; improved recruitment and retention; lower rates of stress and absenteeism; and a more motivated, satisfied workforce.

For work-life balance resources go to: Blink: Quality of Work/Life Index Menu. Topics covered include: Alternative/Flexible Work Schedules / Telecommuting; Child Care / Eldercare; the Faculty

Staff & Assistance Program; the Employee Rehabilitation Program; membership in Staff Associations; and details about Environmental Health & Safety (Ergonomics, etc.) in the workplace.

Work-Life Balance Strategies for Success

- There is no one-size-fits-all program that covers all aspects of Work/Life balance and can apply to all departments. Each workplace should tailor its work/life policies to suit their own particular business needs and culture.

- Meeting both the employees' and overall business needs requires a significant commitment from senior management. This 'best fit' should be arrived at and adjusted with frequent consultation with your employees. As with other health and safety programs, for work/life initiatives to be successful and sustainable, both employers and employees must take responsibility for making the program work effectively. An evaluation or feedback system is an important part of that process.

- Consider a trial period. Assess the needs of your employees, develop policies to reflect those needs, communicate extensively with employees and supervisors, continually evaluate and re-assess, and make adjustments, as needed.

J) Leaves of Absence

UC recognizes that circumstances may arise which requires an employee's prolonged absence from work. Leaves of absence may be paid or unpaid leaves. Business Officers should be familiar with the various leave policies and work closely with their departmental HR officer, Employee Relations, and Benefits Office. Two good resources to consult regarding family and medical leaves, disability, and worker's compensation are the Blink: Leaves of Absence Menu and the Employee Rehabilitation Program page.

K) Layoffs/Involuntary Reduction in Time

There are times when a layoff or involuntary reduction in time (RIT) is necessary due to lack of work, lack of funds, or department reorganization. Implementation of a layoff or staff reduction program will be one of the most challenging events a Business Officer and supervisor will face. For procedural details, the Blink: Layoff/Reduction in Time Menu can be a good place to start.

Lay-offs & RIT Strategies for Success

- Consult immediately with your Employee Relations Specialist.
- Understand the contracts and/or policies that govern the affected employee(s).
- Good communication is absolutely essential in the planning and implementing of the layoff. Be clear and concise.
- Be familiar with campus resources, such as the Faculty and Staff Assistant Program, and make necessary referrals.

Maintain appropriate documentation to support and substantiate actions taken.

L) Other Separations

Aside from lay-offs, a Business Officer also encounters other types of separations, several of which are listed below:

i. Voluntary Resignations

When an employee indicates they plan to resign, ask for a written letter of resignation that includes the reason for and effective date of his/her resignation. Be sure to schedule an exit interview meeting and consult an Employee Separation checklist to ensure all tasks are checked. You will also want to make sure the separating employee receives separation/vacation pay, on time, with their last check.

ii. Release from Probationary Period

An employee may be released at any time during the 6-month probationary period. It's always a good idea to give the new employee a 3-month review to make clear the areas which may need improvement and discuss how the employee could meet the job requirements.

Prior to the decision to release, the department must contact the Human Resources Department Employee Relations Division. The release process involves giving the employee a formal letter of release and their final check, overseeing the gathering of their personal items and securing their keys and other departmental access. Because of the potentially deleterious impact this kind of event can have on overall staff morale, it can be very useful to schedule a staff meeting the next day to briefly explain the action to departmental staff.

iii. Job Abandonment

An employee who does not report to work when expected or call in to report their absence may be considered to have abandoned their position, and may be subject to dismissal without prior discipline. To help you decide whether dismissal is warranted, contact your Employee Relations Specialist immediately.

iv. Dismissal

Dismissal is the ultimate disciplinary action, normally used when other methods employed to correct performance or behavioral problems such as coaching, performance appraisal, and progressive disciplinary action have not been successful. Under circumstances of extreme misconduct, dismissal without prior warning may be warranted. Before dismissing any employee, consult with your Employee Relations Specialist. Be sure that you have made sufficient effort (documented and undocumented) to help the employee correct the problem. If you find that dismissal is appropriate, don't engage in unnecessary delays, which may hurt the morale and productivity of other employees.

v. Medical Separation

When an employee becomes unable to perform essential, assigned duties of a position as a result of a disability or medical condition, the campus is committed to providing services to assist the employee, including efforts at reasonable accommodation. If accommodation efforts are unsuccessful, the employee may be medically separated. Contact the Employee Rehabilitation Office for policy and to determine whether the employee may be medically separated

M) Labor Relations

Labor Relations, a division of Human Resources**,** represents UCSD in negotiating collective bargaining agreements with the various unions that represent UCSD employees. They also ensure that collective bargaining agreements and University policies are properly administered. In so doing, Labor Relations ensures that employee rights and responsibilities are protected, that employees are treated in accordance with the terms and conditions of employment, and that departments are able to provide the delivery of services in meeting the University's mission of teaching, research, and public service.

Labor Relations Strategies for Success

- Be familiar with applicable personnel policies and collective bargaining agreements. Not all agreements are the same!
- Use available documents and links online such the Blink: Labor Relations page, and the Collective Bargaining Agreements page.

N) Employee Relations

Business Officers must be responsive to employee complaints, including those involving warnings of alleged ethical or legal misconduct. If ethical problems or conflicts arise that cannot be resolved between employees or with their immediate supervisor, it is expected that Business Officers will make a good-faith effort to resolve the problem.

All employees are expected to meet performance standards and behave appropriately in the workplace. Disciplinary or corrective action is a process of communicating with the employee to improve unacceptable behavior or performance. You may take disciplinary action immediately when other methods such as coaching and performance appraisal have not been successful. In cases of serious misconduct, you may choose to proceed straight to disciplinary action.

Employee Relations Strategies for Success

- Maintain appropriate documentation to support and substantiate actions taken.
- Immediately involve Employee Relations or appropriate central office if you become aware of a potential complaint or grievance.
- The UCSD Principles of Community are a good resource to review
- Also see the Blink Conflict Management Menu.

O) Other Resources: Counseling and Conflict Resolution:

For Faculty and Staff who need assistance, the Faculty Staff & Assistance Program provides free confidential counseling, conflict resolution, referrals, and other related services at no cost.

The UCSD Ombuds Office also provides dispute resolution services that are confidential, informal, and impartial. The Ombuds Office works to ensure that faculty, staff, post doctoral scholars, and students receive fair treatment regarding concerns or complaints.

P) Supervision

Business Officers are classified as “designated supervisors” but will often also oversee work direction supervision by other staff in their department or unit. Designated supervisors typically spend at least 50% of their time on supervision issues. Supervisors, both designated and work directors, are responsible for ensuring effective performance, manageable workload and job duties, and continuous development of employees. Only designated supervisors are officially responsible for hiring, classification, performance management, compensation, discipline, and compliance with staff policies and collective bargaining agreements. Both processes and results are important in all personnel matters. As such, problems and challenges within a work unit are frequently brought to a supervisor’s attention.

It is the responsibility of all supervisors to assess situations and risk, develop and consider a variety of responses and solutions, communicate with interested parties to determine concerns and impacts of decisions, recommend and implement solutions, and monitor progress. This often involves addressing peoples’ feelings along with the material issues of situations, policy, and procedure. It is important to develop trust-based relationships with faculty, staff, and other colleagues, as they can be invaluable resources during times of challenge or change.

All supervisors need to understand the responsibilities and tasks performed by staff members (and sometimes central campus departments) to make proper assessments and recommendations. It is equally important to understand the skills, abilities, work and communication styles of the individuals involved (faculty, staff, and students). An effective supervisor often acts as a diplomat, drawing on a skill set that includes flexibility and sensitivity. Communication (listening and speaking to be understood) is key to ensuring that people understand the consideration and process involved in problem resolution, even if they disagree with the final outcome.

Financial Administration: State Funds

Overview

One of the most critical responsibilities of a Business Officer is stewardship of departmental financial resources. This stewardship includes efficient, cost effective budgeting & utilization of all types of funds, vigilant oversight of expenses to ensure their legality and appropriateness, regular reporting of financial status, and development and utilization of proper internal controls. Business Officers have an obligation to safeguard University resources from unauthorized or questionable expense, and to instill trust in the public, philanthropic individuals, and outside organizations that all funds are well managed.

A) State Funds

i. University Accounting System

Fund Management (Fund Accounting)

The University utilizes a fund accounting system through UCSD's central financial system called Integrated Financial Information System (IFIS). A fund is the six-digit code used in IFIS to identify the source of funding for a transaction. When the University receives funding, it is credited to a specific fund that represents the funding source. Any expenditure charged to this fund or other transactions that use this fund, must be related to the purpose indicated by the funding source.

A variety of funds are provided to departments from the University. The primary fund used in a department's general operating budget is 19900A funds, the source of which is state funds. Other types of funds assigned to a department may include education (05397A), opportunity (07427A), indirect cost recovery (69750A), lottery (18082A through 18085A), income producing activities (64000A) and others. These funds are considered "nonrestrictive" since the University imposes the restrictions on these funds, as opposed to those "restrictive" funds allocated by outside agencies (see Financial Administration – Extramural Funds).

The Business Officer should become familiar with which funds are assigned to the department, for which purpose these funds are made available, and which restrictions apply to their use. The General Accounting Office manages nonrestrictive funds at the campus level and provides guidance to Business Officers. Please consult the General Accounting Funds Managers List (listed by fund) for additional information.

ii. University Accounting Structure

Fund Number Breakdown

The fund number is one of seven elements that make up the organized structure, called the Chart of Accounts, **which is the basis for recording, organizing, and reporting financial information that is tracked and analyzed** for all University financial transactions. The seven elements that comprise this Chart are: Index, Fund, Organization, Account, Program, Activity, and Location Number codes, which are collectively referred to as IFOAPAL. Each part of this Chart of Accounts is designed to create a specific profile for a transaction and to make the type of expense easy to account for and query. For instance, the organization code is a six-digit code that is unique to your department; and the program code represents the function of the University associated with a transaction or balance. Some program codes are identifying expenses related to instruction, research, teaching hospitals, or student services.

At a minimum, Index and Account must be used to code operating ledger transactions in IFIS. The index code can be used for selected financial and budgetary transactions in lieu of the full FOPL. There can be several index numbers to any one FOPL combination. This allows the department to further delineate expense categories.

For an extended guide to reading the University Chart of Accounts, see Policy and Procedures Manual, Section 300-50, Financial Administration-General

Accounting Structure Strategies for Success:

- With Accounting Office approval, the department has the option of activating unique index numbers as a way to separate and designate budget expenses by common factors such as professor, department sub-unit, or report line item, for example. However, Business Officers should use caution with creating too many index numbers. Department users must be able to remember and effectively use the correct codes, or the result can be that transactions are incorrectly categorized and the accuracy of your financial data compromised.

B) Department Operating Funds

i. Permanent Funds

Each fiscal year, after the University's proposed budget is approved by the California legislature, the campus provides departments with a permanent allocation of operating funds. These funds are called permanent because, once allocated to a specific department or unit, they are reallocated each year, year after year. These funds enable the department to pay for permanent faculty and staff appointments, as well as providing a basis for short and long term budget planning. These permanent allocations are called the department's Adjusted Budget, and are effective July 1st through June 30th of each fiscal year. Increases or decreases within the Adjusted Budget are usually handled by campus policy or by specific budget requests. For example, when a ladder rank faculty member retires or separates from the University, campus policy dictates that the FTE and associated funding are withdrawn from the department's Adjusted Budget and returned to the Sr. Vice Chancellor's office.

Adjusted Budgets are always 19900A state funds. These funds appear on the department's monthly general ledgers, usually in August, in the form of Index numbers prefaced with the department three-character code and the characters "BD" (for Budgeted) such as XXXBD01, XXXBD02, etc. The allocations are made within the major grouping of current fund expenditure account codes (sometimes called sub-funds) as listed below:

Academic Salaries	**60nnnn**
Staff Salaries	**61nnnn**
General Assistance	**62nnnn**
Supplies & Expense	**63nnnn**
Equipment	**64nnnn**
Travel	**65nnnn**
Employee Benefits	**66nnnn**
Unallocated	**68nnnn**
Recharges	**69nnnn**

Departments are also notified of their Adjusted Budgets by reports mailed to the departments about twice per fiscal year. The Adjusted Budget and detailed staffing reports can also be found via BudgetLink.

Requests for additional permanent dollars have been handled through the divisional dean's office, via a planning document compiled by each department called ***Charting the Course***. Depending upon the budgetary climate, faculty FTE and additional permanent allocations have been approved based on ***Charting the Course*** requests.

Staffing

The majority of the Adjusted Budget goes to fund faculty and staff FTE (Full Time Equivalent) positions. Both faculty and staff FTE are extremely valuable as FTE include both salary allocations and benefits. The Business Officer is responsible for reconciling these salary allocation FTEs with the associated level of funding during the staffing reconciliation process to ensure the accuracy of all funding.

Faculty FTE

The Senior Vice Chancellor of Academic Affairs (SVCAA), through the divisional deans, provides the funding for faculty FTE at the campus level. The SVCAA office provides a staff contact that works with departments in the reconciliation of faculty FTE reports.

Examples of faculty FTE actions that would create changes in a department's Adjusted Budget include: New appointments add to the number of faculty FTE as well as increase the allocation by the amount of associated salary funding. Faculty reviews may cause changes in the funding connected with existing FTE such as merits (increase) or tapering (decrease). Faculty retentions often increase the funding of an existing FTE. Retirements or other separations would cause a decrease in FTE and elimination of the associated funding from the department's permanent Adjusted Budget. FTE funding drawn off the Adjusted Budget is returned to the SVCAA office, at which time the Dean can request the FTE to remain associated with the division for reallocation to a department within that division. Since these funds are connected with a specific faculty FTE, faculty salary funding cannot be permanently transferred to another expense grouping or sub-fund of the department's Adjusted Budget.

Staff FTE

Management of permanent staff salaries differs by **division**. In some divisions, the departments are responsible not only for reconciling staff FTE, but also for providing the permanent funding for staffing changes from existing departmental permanent funds. In these cases, funding that becomes available through attrition is not drawn off, but remains in the department to be available for future permanent staffing changes. Also, any cost of living and merit increases, which are provided by the University, would also remain in the department's pool of staff funding. These unallocated funds may be retained in an open provision until reassigned by the Business Officer. The Business Officer's role in the careful management of staff FTE dollars is critical. It gives the manager flexibility to add staff support when needed due to growth, provide increases when justified, and enhance staff recruitment and retention, which can greatly affect staff morale.

Examples of actions that would create changes in staff FTE and/or their associated funding would include: promotions (increase), retirements or separations (FTE & funding remain with the department), filled vacancies (from available permanent funding in the department staff pool) or reorganization (restructuring of FTE with associated salaries).

Staff salary can be permanently transferred to the other major sub-funds within the Adjusted Budget. However, because FTE dollars include benefit costs, it is prudent to leave the permanent funds in Staff Salaries. Conversely, permanent funding originally allocated in other sub-funds can be transferred to staff salaries, but an additional percentage of permanent funds must be paid to cover staff benefit costs. Once those benefits are funded (currently 22% of salary for creating new FTE, 12% for adding to FTE) the monies go into the campus benefits pool for general use.

Other Permanent Funds

Adjusted Budget allocations are also made to other major expense groupings listed above, primarily in General Assistance for part-time salaries, Supplies & Expense, Equipment, and sometimes Travel. While these funds are allocated within a specific category on the Adjusted Budget, the Business Officer may use them in other categories, wherever necessary, for the general operation of the department.

ii. Current Year Funds

In addition to the Adjusted Budget, consisting of permanent operating funds, most departments and some units are eligible for current year funds. These funds must be justified each year and are usually provided for a specific purpose. This funding cannot support any long-term commitments such as faculty or staff FTE appointments. When awarded, these funds may be transferred into your general funds (19900A) operating budget or may be transferred to a different fund in the major groupings (sub-funds) of the department's General Ledgers. Below are some examples of current year funding.

iii. Released Faculty Salaries

Released salaries are created when ladder rank faculty take leaves without pay or use other funds, such as research grants, to temporarily pay their salaries. Ladder rank faculty also have the opportunity to pay for course relief, by replacing a percentage of their professorial salary funds with grant funding in order to have a reduction in teaching load. These cases are not uncommon and are usually done when faculty need to concentrate on research or service. In each case, the released funding made available by faculty leaves is split 60/40, with the SVCAA's office drawing off 40% of the salary savings. The remaining 60% of the released funds can be used for any purpose the department requires. However, it is assumed that these released funds will pay for temporary faculty to teach the courses that would have been taught by the ladder rank faculty member. Honoraria for colloquium or guest lecturers can also be paid by these funds up to a total of 1% of the department's total permanent Faculty Salaries budget.

Temporary Faculty FTE

The **Divisional** Deans allocate Temporary Faculty FTE funds to departments to be used to cover temporary teaching needs. Temp Faculty funding may be allocated to cover appointments of specific individuals or they may be allocated in a pool of funding to appoint individuals, as needed, to teach courses for the academic year. The Sr. Vice Chancellor's office uses a formula based on unmet course needs to allocate these funds to the Divisional Deans. Each Dean's office has discretion on how their temporary faculty funding is provided to the departments. Departments receive Temp FTE funding in the 19900A General Fund, in the Academic Salaries sub (0) fund of the General Ledgers.

Teaching Assistant FTE Allocation

The Dean of Graduate Studies has developed a specific campus-wide formula, based on the prior year's enrollments, to allocate Teaching Assistant funding to the departments. The Vice Chancellor allocates 90% or 95% of this funding formula and departments are advised of their allocation in the prior Winter or Spring. The allocation may be augmented during the year if the actual enrollments are higher than projected. This funding is used to hire graduate students to teach course sections and labs. This funding is also used to hire readers or tutors to support instruction. When awarded, the funds are transferred to 19900A funds in the Academic Salaries sub (0) fund of the General Ledger.

Both the Temporary Faculty FTE and the Teaching Assistant allocations are fungible money. In other words, the department may use these two allocations of funding inter-changeably to cover instructional needs, whether for temporary faculty or graduate student TAs.

Graduate Support Block Grant

The Dean of Graduate Studies makes Block Grant funds available to the departments as financial support to graduate students. These funds remain on the Dean's ledgers, and the departments closely interact with that office to provide fee and/or tuition awards. Block grant funds may also be used to award stipends for graduate student recruitment or for ongoing support.

When Graduate Student Researchers (GSRs) are supported by extramural funds, the Tuition/Fee Remission payment from the grant is deposited in the campus GSR T/F pool and the GSR's T/F is paid by the Block Grant. The Block Grant is reconciled annually and adjusted by the amount of over/under payment made to the campus GSR T/F Pool. This annual reconciliation and the Block Grant allocation for each year occurs just prior to the graduate recruitment period so departments can know what resources they have available to make offers.

iv. Special Request Funding

Throughout the fiscal year, calls for proposals are sent to departments to give them an opportunity to request funding for specific purposes. It is important to note that many times funds other than

19900A are awarded. At the time of the award notification, it is appropriate to ask what fund the monies will be transferred into for department use.

Mini Minor Renovation Funds:
Occasionally a specific call for proposals about minor renovations will be sent out from the divisional dean's office to cover minor (below $20,000) capital improvements to department space. This funding is usually transferred into the Supplies & Expense sub (3) fund and, if there is any equipment involved, dollars may also be split funded with the Equipment sub (4) category.

Instruction & Research (I&R) Equipment Call
Some Divisional Deans may make a specific call for proposals to fund department equipment needs for instruction and/or research purposes.

Academic Computing Services (ACS) Funds
Annual calls for proposals are sent to departments from Academic Computing Services to request funds to support instructional computing. This is included in the request for a departmental report on Instructional Use of Computing (IUC)

Instructional Improvement Funds
Specific call for proposals are sent to departments from the Sr. Vice Chancellor's Office to support initiatives to improve undergraduate instruction.

v. Other Funding

Revenue/Income/Recharges
Capital/Plant Accounts are provided when a department is working with UCSD Facilities Design and Construction on a new building.

Gifts/Donations
Gifts and Donations can be received through the UCSD Foundation. A 4% fee is charged for administrative processing of the gift.

Summer Session Teaching Assignments
In October, the Summer Session Office invites regular UCSD faculty and qualified teaching visitors and graduate students to submit proposals to teach courses during the following year's summer session. Summer Session provides funding for instructors as well as a TA allocation to departments to pay for TAs/graders for faculty teaching during the summer.

C) Reporting

Reporting of your Department's financial status to the faculty and campus administration is one of the most important responsibilities of the Business Officer. Regular reporting can keep a department fiscally responsible, aid in gauging spending habits, prevent overspending, and instill trust. Regular reporting informs the Business Officer and Chair about where funds are being spent and what needs the department has—as well as providing information for additional funding requests. It promotes a sense of well-being on the part of other offices (Divisional Dean, SVCAA, etc.) that funds are managed appropriately. The importance of a Business Officer's ability to provide accurate and understandable reporting, particularly to department faculty, cannot be overstated.

Regular financial reporting should accurately provide comparison between the existing budget and the department or unit's actual fiscal activity. Organized reporting can also be used to identify funding sources for planned or unplanned expenditures and to categorize expenditure data to help identify future trends or highlight problem areas. Gathering and analyzing data should be performed in a consistent manner, with sufficient detail and descriptive narrative to clearly portray how operations are financed—and how risks are managed.

Internal Budget/Cost Centers

Developing a workable department budget with identified cost centers is one of the primary techniques for responsible analysis and reporting. Annual internal budgets delineate the resources necessary to achieve department goals, measure financial performance, and provide a realistic view of the projected cost of operations. An internal departmental budget with established cost centers enables department decision-makers to clearly define priorities and objectives. It also provides a retrospective look at trends and a "roadmap" for appropriate spending.

Department cost centers should be kept simple (i.e., department computer costs, student affairs costs, etc.), easily defined by the campus' IFIS system, and consistently charged. The IFIS system categorizes expenses as broadly as sub-account listings and as detailed as individually indexed account codes. Many business officers have found that identifying cost centers through index numbers is an effective tool as long as there are few in number relative to your department's size, activities, and goals.

Fiscal Closing

Although balances in the General Fund or other current unrestricted funds will not lapse at the department level and will carry forward, it is still good business practice to close each account and provide a year-end report using the department's established cost centers. This enables the department to accurately measure the department's annual financial performance and identify areas where changes in the next fiscal year's budget should be made.

Generally, unrestricted fund balances, whether positive or negative, will automatically carry forward to the new fiscal year in the same department where they resided as of 6/30/xx year-end. (In some cases, Vice Chancellor offices may restrict the amount of the balance carried forward.) It is campus policy that academic salary sub (0) dollars (accounts 60xxxx) do not carry forward.

Fiscal Close Strategies For Success:

- Detailed Instructions for Fiscal Closing on BLINK, a Fiscal Closing General Overview, and a link to the Fiscal Close Deadlines can be good resources to performing your unit's Fiscal Close.

D) Internal Control Systems

The University has adopted an internal control methodology developed by the Committee of Sponsoring Organizations (COSO), in which internal control is defined as a process implemented by management that provides reasonable assurance that:

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

With tightened resources, it's more important than ever to minimize risk and focus on the following four key areas:

1. **Separation of duties:** Divide responsibilities between different people so one individual doesn't control all aspects of a transaction.
2. **Authorization and approvals:** Be sure that only a person with delegated authority approves or authorizes transactions.
3. **Security of assets:** Safely secure equipment, cash, inventory, keys and other tangible resources. Reduce the risk of unauthorized use. Inventory assets periodically to reconcile with internal control records.
4. **Review and reconciliation:** Regularly examine departmental transaction records against official University records to verify accuracy, appropriateness, and proper compliance.

There is an excellent internal control PowerPoint presentation available online if you would like more information.

E) Recharge Operations

A typical departmental recharge activity provides products and/or services to other departments, UC campuses, and non-University entities. There are Other Income-Producing Activities such as Labor Clearing funds (used at SIO), Auxiliary Enterprise (Bookstore, Housing and Dining Services) and revenue accounts set up to produce and sell academic course materials.

To establish a recharge fund and revenue account contact General Accounting and request the name of your Vice Chancellor area contact.

The goal of the recharge facility is to break even, i.e., to cover all costs associated with the recharge facility such as salaries and benefits, maintenance agreements, and materials.

The campus Rate Review Committee needs to approve the recharge rate. However, there are exceptions. Exceptions, forms, and relevant recharge polices are located in PPM 300-40.

Over and Above Charge

By policy, non-University entities are currently charged a minimum of 45% over and above the recharge rate. This "over and above" charge is referred to as

"Differential Income" and needs to be segregated into a separate fund.

Equipment Depreciation Fund

Equipment should be depreciated each year and is also segregated into a separate Depreciation fund.

Both Over and Above charges and Equipment Depreciation are typically performed at fiscal closing

Sales Tax Liability

The California State Board of Equalization may perform an audit regarding sales tax collected from non-university entities. The recharge facility needs to track the sales tax paid at point of purchase versus sales tax charged to the non-university entity.

Unrelated Business Income

If sales are not substantially related to University educational or research purposes, proceeds from the sales are considered to be unrelated business income and are subject to Federal income tax reporting requirements.

Recharge Strategies For Success:

- Audit & Management Advisory Services also exist to assist University management in the discharge of their oversight, management, and operating responsibilities through independent audits and consultations. Additionally, the Office of the Controller site can be a helpful link to visit.

Financial Administration: Extramural Funds

Overview:

UCSD is awarded millions of dollars each year in State funds, contracts, grants, clinical trials and gifts. The proper administration of these funds is one of the most critical responsibilities of a Business Officer, whose role is to ensure adherence to University and Agency guidelines, development of internal controls, efficient management of funds, and the production or regular financial reporting to principal investigators and funding agencies (as required).

A) Pre-Award Administration

The Office of Contract and Grant Administration (OCGA) is the administrative office that is responsible for the negotiation, execution and administration of contracts and grants for extramural funding, and for submitting proposals to Federal and non-Federal sponsors for support of research, training and public service projects.

i. Eligibility to submit proposals

In general, members of the Academic Senate may submit proposals for extramural support for a research, training or public service project. Other academic titles require a PI Exception. Refer to PPM 150-10 to determine if a PI Exception form is required. You must allow 15 working days to process approval of a PI Exception. Approvals required vary within the different areas of campus:

- General Campus: Department Chair; Vice Chancellor for Research
- Health Sciences: Department Chair, Associate Dean of Administration, Vice-Chancellor for Research
- Scripps Institution of Oceanography: Department Chair

ii. Obtaining Funding

Proposals for funding consideration are submitted to a multitude of agencies. They are reviewed and officially submitted by OCGA. The proposal is accompanied by a Request for Extramural Support Form (RES) which must be completed and signed by the principal investigator, department chair and Business Officer. Other signatures may be required for space approval and/or if there is another participating department. Each proposal is assigned a unique number by OCGA called a UCSD number. This is obtained by calling OCGA @ Ext. 43330. The number is listed on the upper right corner of the RES form. The RES form is not sent to the Agency but it documents the University's commitments to space needed to conduct the research, ensures that animal and human subjects protocols have been reviewed and approved and that, if applicable, the University will commit its own resources or cost sharing. The RES form is available at the OCGA website.

iii. Proposal Acknowledgement

OCGA is responsible for sending proposals to the various agencies (hard copies or electronic versions). Two copies of the proposal will be sent back to the department to acknowledge that the proposal was sent. One copy is for the principal investigator and the second copy is for the grant administrator. These copies can be easily identified by a half sheet of goldenrod paper affixed to the top page. It is called the Proposal Distribution Slip. It lists the date the proposal was mailed to the agency, the UCSD number and index number used for mailing. These acknowledgements are usually sent to the department about a week after the proposal is sent. If you have not received the Proposal Distribution Slip in a timely manner, a follow up call to OCGA is recommended.

iv. Award Notification

Principal Investigators and OCGA are notified in writing when proposals are being funded. OCGA will issue an Award Distribution Slip. Attached will be the terms of the award.

B) Post-Award Administration

Once an award is approved, OCGA notifies the Office of Post Award Financial Services (OPAFS), which will assign the IFOPAL which is disseminated to the Department. In addition to required forms, proposal preparation, budget preparation, staff assignments and training is available at the OCGA website linked above.

i. Account Set Up

OPAFS will set up the award and issue the index/fund, etc. They will also manage and sometimes prepare award allocations. (Many departments are now doing their own award allocations.)

ii. Financial Reporting

Financial reports are required by funding agencies and are usually submitted by OPAFS. The information for these reports is a joint effort between the fund manager and the OPAFS employee in charge of the fund. OPAFS bills agencies for payment per award terms and manages the reconciliation and collection of payments. At the department level, financial reports should be provided to the principal investigator (PI) and Business Officers on a monthly basis, or, as required by your department.

iii. Agency Guidelines

It is imperative that fund managers understand requirements stated in award documents and applicable agency, federal and University guidelines and to keep abreast of guideline and policy changes. OPAFS Is responsible for providing guidance in interpreting policy.

Applicable Federal Policies can be found at the following links: OMB Circular A-21, Circular A-110, and Circular A-133.

iv. Progress Reports

Most extramural awards require an annual progress report where the PI highlights the progress made over the past twelve months on the research project. Quite frequently these agencies require the annual report be submitted before additional funding will be authorized.

v. Close Out Process

When a research project ends it is imperative that it be reviewed at the department level to insure that all of the appropriate guideline have been followed as spelled out in the Terms and Conditions. Department fund managers work with the PI and OPAFS to get all required close out paperwork submitted in a timely manner. It is important to note that some agencies will withhold funding from campus if final close out reports are not submitted, this includes final progress report.

For more detailed instructions on how to close out a research project go to Blink's Close Out page.

vi. Indirect Costs (F & A)

Indirect costs (IDC), also referred to as "Overhead" or "Facilities and Administrative (F&A)" costs are costs that are not identifiable to any one project but are valid expenses of conducting research, instruction, and other sponsored activities programs at the University. Examples include:

- Building and Equipment (>$5K) use
- Depreciation
- Operation and Maintenance of facilities
- Departmental Administration
- Student Services
- Administrative Support Offices such as Payroll, Purchasing, Accounting, OCGA, libraries etc.

All proposals with sponsoring agencies must provide for Indirect Cost recovery at the appropriate negotiated rate.

Explaining indirect costs to a faculty member can be a challenging conversation but there are two web sites, written by Academic Senate subcommittees in July of 1997 and in January of 2002 that offer a thorough explanation of what IDC funds are used for and where the end up.

C) Gifts, Endowments, and Foundation Funds

In response to the University's recognition that private support is essential to maintaining and enhancing the margin of excellence the UC San Diego Foundation was established in 1972 as a nonprofit 501(c)(3) corporation. The Foundation accepts, administers, and invests private gifts in the form of cash and real or personal property and manages the funds either as endowments or as funds available for current expenditure.

Financial Administration: Gift Funds

Financial Administration: Gift Funds

Importance of gift funds to UCSD

Gift funds represent a donor's expression of confidence in UCSD. Proper stewardship of these gifts includes competent administration of gift funds and the timely use of gifts according to the intention of the donors.

Two Entities: Regents and Foundation

Gifts that are solicited on behalf of UCSD belong to either of the following two legal entities:

- **The Regents of the University of California (95-6006144);**
  The UC Board of Regents are a governing Board of the UC system.

- **UC San Diego Foundation (95-2872494)**
  The UC San Diego Foundation was established in 1972 as a nonprofit 501(c)(3) corporation. The Foundation accepts, administers, and invests private gifts in the form of cash and real or personal property and manages the funds either as endowments or as funds available for current expenditure.

What is a gift?

- A gift is a conveyance or transfer of an asset (including cash or negotiable instruments) given with charitable intent and without consideration.

Types of Gift Funds

- *Current Use Funds*:
  Funds that may be expended completely, down to the last dollar in accordance with donor or other imposed restrictions.
- *Endowed Funds:*
  Gifts documented in such a manner to state that the original principal of the gift must be invested in perpetuity and allowing only a portion of the annual investment return to be spent for the purpose the gift was given.
- *Deferred Gifts*
  Gift funds that must "mature" before they become available to UCSD. They typically provide for a lifetime income stream to the donor and mature at the donors' death. Examples include charitable trusts, charitable gift annuities, life estate gifts. Ledgers are not available to fund holders on these funds.

Fiduciary responsibility

Fiduciaries at UCSD include all administrators, faculty and staff who provide services for gift administration. As fiduciaries, UC and the UC San Diego Foundation are governed by California trust law (Probate Code Section 18500 et seq.), the Uniform Management of Institutional Funds Act (UMIFA), and University of California policies and procedures in the management and use of gift funds.

Responsibilities of department personnel regarding new gifts

- Departments receiving extramural funds determine if the funds should be classified as a gift or a grant and forwarded without delay to the appropriate entity for processing: either Gift Processing or OGCA (See PPM 150-35). Awards which are not considered clearly definable gifts or fellowships by the Gift Administration Office will be immediately forwarded to the OCGA for additional review and classification.
- Gift Administration Office routinely sends all proposed gifts for research from private, for-profit sponsors to OCGA for review. OCGA has the authority for final determination of an award classification.
- Departments should ensure gifts are made to the proper entity (Regents or Foundation, as requested by the donor.
    - Gifts to the Regents typically include: One-time current use gifts; Gifts in kind; Real Estate; Gifts to previously established Regents funds; Fellowships; Bequests; Grants, Contracts or Business Agreements.
    - Gifts to the Foundation typically include: Most gifts solicited by development; Gifts made to previously established Foundation funds; Gifts in kind to be sold; Most endowed gifts; most gifts for capital projects.
- Departments should provide all gift documentation (e.g. a letter, email from the donor) to Gift Processing. Documentation demonstrates that the donor intended to make a donation or pledge for a specific fund or purpose to either the UC Regents or the UCSD Foundation.
- Gifts of $10,000 and above should be accompanied by a letter from the donor. Additional approvals and documentation may be required. Please consult with your Development Officer, or call Gift Processing (x44493).
- For gifts from faculty members to funds that may be under their own control, an economic interest statement from the faculty member is required (Form 700U).

Responsibilities of Gift Processing

- Serves as the UCSD office to record, receipt and report gifts properly.
- Reports private support given to the campus to UCOP, CAE and the campus.
- Ensures gifts meet IRS Regulations and UC and UCSD policy.
- Details about gift processing's procedures can be found on the Gift Processing website.

Responsibilities of Business Officers

- Maintain a familiarity with the status of the gift funds they manage.
- Serve as a resource for information about the terms of the gift agreements on their funds.
- Facilitate the appropriate and timely spending of gift funds.

Responsibilities of development officers

- Solicit private support
- Make disclosures to donors (e.g. the one-time 4% gift fee assessed on all gifts, tax deductibility of a gift)
- Obtain approvals and reviews for gift acceptance, namings, etc.

- Help Departments forward gifts to the Gift Processing office (MC0940) without delay.

Appropriate and timely expenditure of gift funds

- Gifts, including income from endowments, must be expended in accordance with the donor's instructions and/or any administrative allocation.
- Expenditures for purposes other than as set forth in the gift agreement, unless expressly authorized by the donor, are not permitted.
- If it is not possible to use money in a reasonable time or for the designated purpose, departments should contact Donor Stewardship to request a review of the terms of the gift. This may involve seeking permission from the donor.

Spending a Regents Gift

Gifts may be spent from the ledger, according to the terms and conditions of the gift agreement.

Spending a Foundation Gift

Departments request use of Foundation funds by lump sum transfers to the University. There is a request form on the Foundation accounting website. Foundation accounting personnel place the requested funds in a "transfer fund" at the University. Departmental personnel then expend the funds in the same manner as other University funds.

Appropriate and Timely Expenditure of Gift Funds:

- Expendable gifts, including current use funds and payout from endowment, should be used within a reasonable timeframe (1-3 years, is preferred. UC General Counsel advises that accumulations for endowment payout not exceed 5 years). Donors may believe that a shorter timeframe for expenditure is reasonable to expect.
- Accumulation may only be justified if:
  1) a justified specific purpose exists that is consistent with the terms of the gift, such as a costly equipment purchase; or
  2) if the donor and the institution have agreed to the accumulation.
- Simply deciding not to spend the funds without a reason or because the money may be more useful at a later date is not justified. Additionally, it may be harmful to the university's relationship with our donors and adversely effect future fundraising efforts.
- The unjustified failure to expend gift funds, including endowment payout, may constitute a breach of the university's fiduciary duty under trust law.

Stewardship of gift funds

At UCSD, careful stewardship of gift funds is an institutional priority. The office of Donor Stewardship and the Office of Donor Relations are primarily responsible for assuring that stewardship practices are followed. UCSD strives to:

- Preserve donor trust.
- Be accountable to donors for the appropriate, ethical, and timely use of gifts.
- Be transparent and forthcoming with full and timely disclosures to donors.
- Provide information to donors about how their gifts have helped us to accomplish our goals
- Thank our donors regularly.

Endowed fund advisory reports
The Donor Stewardship office prepares and sends a report to donors annually on the financial status of endowed funds. The reports are prepared on a fiscal-year-end basis and delivered to donors each fall (usually during October and November).

The reports show the endowed fund's market value, gift inflows, and payout. Donors are also provided with information about how their gifts are being used at the university.

Annual accumulated income reports
The Office of Donor Stewardship prepares an annual report to identify endowment funds with accumulated income balances that exceed five-year's worth of income. These comprehensive reports are reviewed by strategic members of campus fiscal leadership.

Oversight
The UCSD Foundation Board Committee on Donor Stewardship serves as an oversight body to regularly review funds and note excess accumulations of income. The Board serves as an advocate for funds when there is no longer a living donor or family interest. They support the University in its responsibility to continue to steward these funds.

Donor contact
Please consult your Development officer whenever you interact with a donor. A brief written summary of your contact should be provided to your Development Officer for institutional recordkeeping purposes. If you do not have a Development Officer, please contact the Donor Stewardship Office.

Naming and Chairs
Gift funds sometimes request the naming of facilities or endowed chairs. Namings of facilities and endowed chairs are governed by their own procedures. Development officers are informed about these processes. Any naming (whether gift related or not) requires administrative approval. If you are involved in a naming, please contact the Donor Stewardship office or your Development Officer. For details, consult PPM 420-1.

Resources
UC Development Policy Manual: http://www.ucop.edu/ucophome/policies/devpol/
This manual includes a wealth of information about gift administration.

Administrative Guidelines for Allocation, Reallocation and Administration of Gifts and Bequests Received by The Regents and the Campus Foundations, issued by UCOP, Sept 2006 **http://www.ucop.edu/ucophome/coordrev/policy/PP091106-Guidelines.pdf**
Includes directives about the appropriate review of accumulated income:

UCSD Policy and Procedures Manual:
Regents Gift Policy: PPM 410-1
Foundation Gift Policy: PPM 410-2
UCSD Gift Fee Policy: PPM 410-3

Policy and Guidelines for Minimum Gift Levels and Naming Opportunities: PPM 410-4
Naming UCSD Facilities, Programs, and Properties: PPM 420-1
Classification, Acceptance, and Administration of Awards from Private Sources: PPM 150-35
Endowed Chairs and Professorships: PPM 230-8

Gift Acceptance Form(s) and other resources about gifts: http://www-er.ucsd.edu/giftprocessing/

Foundation Accounting Website: http://www-er.ucsd.edu/fdnweb
FAQs about foundation accounting, gift funds, endowment basics and access to the foundation accounting ledgers.

Foundation fund information sheets, signature authorizations: http://www-er.ucsd.edu/foundationDir/FDN-ACT/fundfrms/Forms

Contact Information:
Foundation Accounting: I-Ju Tracy, Foundation Controller, (858) 534-1038, itracy@ucsd.edu
Gift Processing: Sandra Stewart, Gift Processing Manager, (858) 534-4493, sstewart@ucsd.edu
Donor Stewardship: Susan Quinn, Interim Manager, (858) 534-0630, sequinn@ucsd.edu

Academic Personnel

Overview:

The process and procedures for appointment and advancement of ladder-rank (i.e. tenured and tenure-track) faculty and other academic appointees is one of the most important areas in which to become well-versed for any academic Business Officer. A working familiarity with academic personnel policy and practice is essential to accomplishing both the research and teaching mission of an academic unit. Academic Personnel processing involves a complex interaction between the Department Chair, the Academic Senate Committee on Academic Personnel (CAP), Academic Personnel Services (APS), Divisional Deans and Assistant Deans, Dean's office academic personnel officers, and the Senior Vice Chancellor of Academic Affairs. Our goal in describing this process is to provide a general guide to understanding the guidelines and goals of the policy and process, since the details of processing are often subject to change.

A) Ladder Rank Faculty (Professor Series)

i. Recruitment-Retention-Replacement

Allocating of Faculty Recruitment FTEs

In order for a department or unit to recruit new faculty, a Full Time Equivalent (FTE) provision must be approved and allocated to the unit. The process usually starts with new allocations made to the campus based on growth or projected growth. The Senior Vice Chancellor of Academic Affairs (SVCAA) then allocates these to Deans or Directors. Deans may use their discretion to further allocate to the departments in the division according to resource models, growth formulas and programmatic justifications. In the past few allocation cycles, departments have been asked to prepare 3-year plans (Charting the Course) which have detailed areas of existing strength as well as proposed initiatives to build on those strengths.

In addition to the allocation of new FTEs, replacement FTEs are also available when retirement or other separations of permanent faculty occur. These replacement FTEs are usually allocated at the same dollar value as the new FTEs, no matter what salary was held by the departing academic appointee. Exceptions should be negotiated with the Dean’s office.

Faculty retention salary increases are expected to be funded from this same pot of money. Retention files can be submitted at any time of the year and receive the same high priority for timeliness as new recruitments and generally follow the same procedures.

Recruitment ads – Affirmative Action Approval

Per PPM 230-6, all faculty recruitment advertisements need to be reviewed by the Office of Academic Diversity and Equal Opportunity (OADEO) and approved by the Dean before being submitted to various publications and professional associations. Ads should be placed in a variety of venues and should state the rank of the position, describe the discipline and required skills/knowledge/experience of the position, and indicate the application process. .

Faculty Review and Candidate Visits

Every unit will have its own process for reviewing the candidate files. Whatever process is used, there is an expectation that all of the files should be reviewed by a broad cross-section of the faculty to ensure fairness to all candidates. Once the faculty selects a short list of candidates, these candidates are typically invited to the campus to meet faculty and give a talk.

Faculty Vote and Department Chair/Dean Negotiation

After the selected candidate(s) is/are identified, the members of the department typically vote to approve the proposed appointment level that will be recommended to campus reviewers. The Department Chair typically informs the candidate that the faculty have decided to recommend a certain appointment level and salary which will be submitted to the campus administration for final approval. In close consultation with the Dean, the Chair also negotiates other issues including the start-up package. These packages can include equipment, research funds, course releases, moving expense reimbursement, and housing allowances. Requests that exceed the department's allocated start-up budget need to be further negotiated with the divisional Dean.

Appointment File Submission and Processing

When the faculty have decided on one or more candidates and voted either for one candidate or for a ranked slate, a Selection Report should be submitted to the OADEO for review and subsequent approval by the dean. This is accompanied by a letter from the search committee chair that lists the selection criteria used to screen candidates, describes the selection process, and explains why the selected candidate(s) was/were selected over other qualified candidates. The department prepares an appointment file according to PPM 230-20 and submits it to the Dean's Office along with the approved affirmative action report.

Upon completion of the analysis and review at the Dean's level, the file is then forwarded to APO for further campus consideration, which includes review by the Academic Senate Committee on Academic Personnel (CAP), Provosts, and finally, the Senior Vice Chancellor, Academic Affairs (SVCAA). If there is agreement with the department's recommendation, the file is forwarded to the SVCAA's office to produce the official offer letter. If there is disagreement, the department will be sent a preliminary decision letter and may appeal to campus reviewers. Once the candidate receives the offer letter, they have a deadline to officially accept/decline the offer.

New Faculty Start-up Packages

Start-up packages are an essential part of the new faculty recruitment process and are negotiated with the candidate as part of the hiring process. Start-up packages typically include funds for removal (cost of moving a household), a recruitment allowance (money that can be used for down payment to purchase a home), space for a research lab and renovation costs (if needed), and equipment, with the remainder of the package available for various discretionary research needs (summer support, graduate student support, travel reimbursement, etc.).

UC and UCSD offer a variety of housing programs to assist with the recruitment and retention of faculty. A Home Loan Program Coordinator in the Office of the SVCAA administers these programs for faculty.

- Mortgage Origination Program (MOP), which offers a variable interest rate loan, with up to a 40-year term. Eligible participants can take advantage of convenient financing at terms that are generally more attractive than those offered by most lending institutions. Loan rates for this program generally fluctuate less than most indices used by other commercial lenders.

- Faculty Recruitment Allowance Program (FRAP), a cash payment to assist with the down payment requirement for purchasing a home. The FRAP is paid through the payroll system, and therefore is subject to withholding taxes. In addition, the new faculty member must produce evidence of being in escrow before these funds can be paid.
- La Jolla Del Sol Apartments, a priority waiting list at a conveniently located University owned rental community.

The Deans typically allocate a set amount of start-up per FTE for each department. The negotiations with the candidate can be a rather delicate dance between the candidate, Department Chair, Dean, Assistant Dean and Business Officer, with the goal of achieving a successful recruitment within reasonable resource limitations.

Many prospective new faculty also need to accommodate the employment needs of their spouses/partners before they can agree to the offer. Sometimes this “two-body problem” involves negotiating another faculty appointment for the spouse, often in another department at UCSD. In these cases, higher-level negotiations must be conducted at the level of the Deans, Department Chairs, and the SVCAA or sometimes other Vice Chancellors to settle on the funding of the FTE, acceptability of the spouse’s academic file, and all other details associated with the hire. For spouses/partners who have employment needs that do not require an academic FTE, the SVCAA office has established the Partner Opportunities Program. This is a valuable service that has proven extremely helpful for assisting with the employment needs of spouses/partners of new faculty recruits.

ii. Academic Review Process

Schedule of Eligibility

In general, Assistant Professors are reviewed/reappointed every two years and are normally considered for promotion to the Associate level in their 6^{th} year of appointment.. Associate Professors are reviewed on a 2-year cycle unless at the crossover steps and Full Professors are reviewed on a 3-year cycle until a Professor achieves Step 9, at which time the cycle changes to 4 years.

Department/Campus Processing

Faculty under review are required to submit updated materials for their files to the Chair. Departments typically establish internal deadlines, but official campus policy allows updates up to a final campus deadline of October 15. Typically, a departmental Ad Hoc Committee composed of faculty familiar with the merit candidate’s field will be assigned to review the research/teaching/service accomplishments. This committee will prepare a report to the Department Chair recommending a proposed merit action. Depending on the recommended action, the recommendation is discussed and voted upon, if necessary, by the eligible faculty and the file is submitted with the Departmental recommendation.

Review files have various deadlines for submission to the Dean’s office depending on the type of merit recommendation (i.e., Normal Merit, Accelerations, Promotion, Career Review, etc.). Deans and the Office of Research Affairs have approval authority for certain actions and all others are sent to the Academic Personnel Office (APO) for CAP review and SVC decision. If campus reviewers disagree with the departmental recommendation, a preliminary decision is issued. The department, and the candidate may respond to the preliminary decision prior to a final decision being made.

Pay/Service Periods
On the general campus, faculty are hired for research, teaching and service during the traditional academic year and are not expected to give service during the summer. The University of California pays that 9-month service period salary over 12 months to provide consistent, year-round income and to maintain employer-paid benefits. Thus, there is a discrepancy between pay periods and service periods. Since each quarter of the academic year is represented by 4 months on pay, each quarter of leave represents a 4 month pay period, which often doesn't coincide with the three 3-month service period affiliated with that quarter. For example, the pay period for the fall quarter is 7/1 to 10/31, whereas the actual service period spans from mid to late September until approximately December 8th.

iii. Academic Leave Policy

Faculty members are eligible for various types of approved leave during the academic year.

Sabbatical Leave
For every quarter of service at 50% or more time, a ladder-rank faculty member accrues one sabbatical leave credit. The university provides these credits as a means of giving faculty members periods during which they may receive full pay in order to pursue their research goals. Faculty applying for Sabbatical Leave are expected to state their research plans as part of their application for leave approval and report their accomplishments after returning. Sabbatical credits may also be used for full or partial pay during quarters of leave, according to the guidelines.

Other Academic Leaves
Other types of faculty leaves may be taken which are described in the UCSD Policy and Procedures Manual (). Faculty with academic year appointments may also apply for an extended leave during the academic year for research collaboration or to attend a conference. The Dean may approve these leaves with pay for up to 10 service days (or 14 calendar days). If the extended leave is longer than 2 weeks, either pay or sabbatical credit must be forfeited. Any absences planned during final exam week also require advance approval by the Committee on Educational Policy (CEP).

Familly Accommodation Policies
Family accommodation policies for ladder-rank faculty provide benefits that meet or exceed Family and Medical Leave Act and California Family Rights Act requirements. These include paid childbearing leave, work accommodations during pregnancy, periods of active service with modified duties, parental leave without pay, extension of the probationary period for assistant-level faculty, deferral of merit reviews, and periods of flexible workload for assistant-level faculty.

iv. Conflict of Commitment

The University of California policy on Conflict of Commitment is outlined in APM-025. To quote from the policy:

"This policy affirms faculty responsibilities as members of the University of California and provides mechanisms to ensure that activities outside the University do not interfere with fulfillment of these responsibilities."

Ladder-rank faculty may pursue compensated and uncompensated outside activities, however in order to ensure that these outside activities do not conflict with University obligations, the faculty must obtain pre-approval to engage in certain compensated activities, and they complete an annual Conflict of Commitment disclosure report each year (due no later than November 1st of each year). The types of activities that must be pre-approved and/or reported annually are outlined in the policy.

In general, the policy allows a faculty member to engage in compensated outside professional activities for up to 39 days between start of fall quarter and end of spring quarter for academic-year appointees, with no restriction on the summer months unless University compensation is being received; and 48 days during the months of active service for fiscal-year appointees, with no restrictions during periods of vacation leave unless University compensation is received. In the case of summer compensation, the one-day per week limit will apply during the period of compensation.

Departments will be audited from time to time to ensure that all faculty have complied with APM-025. The Business Officer should work with the department chair to ensure that all faculty comply with this annual reporting requirement, and appropriately obtain pre-approval for compensated outside activities as necessary.

v. Summer Salary

The policies governing summer salary can be found in the PPM 230-43, and a guideline for processing the payroll transaction is available from the Academic Compensation and Data Reporting office. Even though an academic year academic appointee may have their 9-month annual salary paid over 12 months, they are still eligible for an additional 1/9 of their annual salary per month (to total no more than 3/9ths) of additional summer compensation from a variety of grants or summer teaching sources during any fiscal year.

vi. Retirement & Recall

When a faculty member is ready to retire, s/he should inform his/her department and division as well as consult with the Benefits Representatives at Human Resources. Any faculty who retires at the Associate or Full Professor rank will acquire the title of Emeritus Faculty.

Recall of faculty to active duty is possible when a faculty member has retired, and the department has programmatic needs that would be benefited by re-hiring that faculty member, on a part-time basis, to teach one or more classes. The PPM 230-20 or the PPM 230-28 are good places to start for policy regarding appointments and re-appointments in this series. The UCOP site is also helpful regarding UCRP waivers.

B) Other Academic Appointments

i. Non-Senate Academic Appointees

Non-Senate academic appointees include Lecturers, Academic Coordinators, Academic Administrators, student academic titles, Research Scientists, Project Scientists , Specialists, Librarians, Cooperative Extension Specialists Cooperative Extension Advisors, Continuing Education Specialists, Coordinator of Public Programs, Adjunct Professors, and Clinical Professors.

Visiting ladder-rank faculty must have a permanent appointment at another institution.

The Lecturer series (which is distinguished from the Lecturer, Security of Employment series) and and several other non-Senate series are represented by collective bargaining units.

ii. Recruitment/Review Processes

In general, the recruitment/review processes for non-Senate appointees are virtually identical to the tenure-track faculty processes described earlier. See specific policy guidelines for each title to note any exceptions.

iii. Funding Sources

Temporary Teaching FTE and Released Salary

The SVCAA meets regularly with the Program Review Committee (PRC). The PRC consists of the campus Deans, SVCAA staff, Academic Senate Committee members, and one representative each from the Provosts, Library, undergraduate students, graduate students, and academic business officers.

A subcommittee of the PRC establishes a formula for calculating the Temporary Teaching FTE allocation for each Division. The Deans then make further allocations to the departments. This formula is based on the number of courses, some of them weighted, Faculty FTE, course loads per faculty, and courses expected to be taught by various disciplines.

When ladder-rank faculty elect to take partial sabbaticals or leaves without pay, 60% of the released salary savings are allowed to be kept by the department to pay for temporary teaching support or colloquia speaker honoraria. The SVCAA office tracks these amounts and periodically sends a reconciliation report to the department to ensure accuracy.

Extramural Funds

Faculty may use contract and grant funding to pay non-teaching academic appointments like postdoctoral scholars or research scientists. Fund managers typically coordinate with academic personnel staff to prepare the advertisements, when necessary, the appointment file and input the payroll actions.

Academic Personnel Strategies for Success

- Establish a good working relationship with your Dean's Office, keeping them informed of special circumstances or needs in advance, so that all communication with candidates or faculty under review is appropriate and strategic.

- Encourage your Chair to establish and enforce departmental deadlines which allow for proper processing time to meet important deadlines and due dates.

- Learn the specific elements of the TA FTE and the Temp FTE formulas so that you can evaluate the implications of changes to the formula and be in a position to recommend departmental strategies to enhance resources.

- Establish good working relationships with your counterparts in other campus offices and understand when issues are most effectively communicated at the staff level to facilitate communications between your Chair and faculty administrators.

- Be honest in all communications as your credibility is your most valuable asset.

Intellectual Property

Overview

What is Intellectual Property? According to the UCSD Technology Transfer and Intellectual Property Services Office (TechTIPS), "Intellectual property (IP) is an umbrella term for various legal entitlements which attach to certain types of information, ideas, or other intangibles in their expressed form." In lay terms, Intellectual Property is the thinking behind an invention or a creative work, while the invention or creative work itself is the tangible expression of that thinking.

Intellectual property is protected by a number of legal instruments. The three most recognized are patents, copyrights and trademarks.

Patents apply to inventions. An invention is a design, composition or method. A Coca-Cola bottle is an example of a design. A "recipe" for making a rubber tire is a method. Some inventions can be classified as more than a single type. For example, a drug can be classified as a composition (i.e. it is composed of various elements or substances) or a method (i.e. for treating a particular condition).

Copyrights and trademarks apply to creative work. Creative works and trademarks are intellectual properties that have been reduced to a tangible medium of some sort. Examples of copyrightable intellectual property are books, photographs, sheet music, paintings, sculpture, and computer programs. The tangible medium may be paper, canvas, film or video. So, for example, a choreographed work (a dance) is not copyrightable, but a film or video of the dance is copyrightable.

A) What is Technology Transfer?

Technology Transfer is the process of managing the commercial development and utilization of technologies that result from research activities on campus for the public good. The goal of the university is to nurture a highly proactive culture committed to transferring innovations from campus to the private sector for the benefit of society. (from the Technology Transfer and Intellectual Property Services (TTIPS) website).

The management of the technology transfer process is crucial to the faculty inventor, the inventor's research operation, the department and the University. The potential exists for generation of significant financial resources (e.g., the May 2005 distribution of technology transfer income included an allocation of over $260,000 for one faculty member's laboratory).

Technology transfer applies to 1) new inventions or discoveries including such subject matters as new methods, new compositions of matter, new uses of existing materials, new devices, or combinations of the above, and 2) writings, program codes, images, or architectural designs and layouts and other works of creative authorship. (from the TTIPS website)

B) Conflict of Interest

i. What Constitutes a Conflict of Interest

Historically, there has been a philosophical conflict within the academic community regarding technology transfer. The academic world is guided by the principle of academic freedom and unrestrained exchange of ideas. The academic world is simultaneously guided by the principle of improving the human condition without regard to personal gain. The technology transfer process attempts to balance those principles with the practicality of utilizing faculty discovery for financial benefit to the University and the faculty member.

The distinction between the academic and commercial worlds is dissolving. Modern faculty members are often founders, directors or advisors to commercial organizations. Thirty years ago this dual-role would have been unthinkable and actively discouraged within the academic world. Today, this combination of academic and corporate interests is vigorously encouraged. Modern faculty members are expected to embrace the entrepreneurial spirit previously found exclusively in the commercial world, but are simultaneously expected to not provide the resources of the University to the commercial sector. As a result, the development of technology transfer as a component of the academic world has led to the need for the development of conflict of interest management system.

ii. Situations Where Conflicts of Interest Occur

The University's Conflict of Interest policy illustrates instances the university determines violate the appropriate conduct expected from faculty employed as faculty for the UC. The responsibility for management of potential conflicts of interest lies with the UCSD Conflict of Interest Office. Some examples of such Conflicts of Interest are below:

- When an opportunity arises to influence UCSD's business decisions, which produces personal financial gain for an academic employee, thus potentially compromising the integrity of decisions they may make as researchers, teachers, and providers of patient care in consideration of personal financial interests.
- When an employee has a significant financial interest in a company that is providing funding for the employee's research or other University activity.
- When research directly and significantly affects the financial interest of an employee responsible for the conduct of their research project, and the mere appearance of a conflict of interest can undermine public trust in ways that may not be adequately restored even when the mitigating facts of situation are revealed.

C) Material Transfer Agreements

Material transfer is the sharing of research materials between scientists at Non Profit Entities, companies and the Federal government. Before such materials can be transferred, the providing entity often requests that an authorized representative of the provider and the recipient entity sign a formal document. This formal document is called a Material Transfer Agreement (MTA).

The terms of the MTA define the rights and obligations of the provider and the recipient with respect to the materials and any derivatives of the materials made by the recipient. Biological materials (e.g. reagents, cell lines, plasmids, and vectors) are the most frequently transferred materials, but material transfers may also be used for other research tools such as chemical compounds, software, databases, gene chips, and small devices.
The following categories of MTAs are most common at academic institutions:

- o Transfers from one academic or research institution to another
- o Transfers from academia to industry
- o Transfers from industry to academia.

The terms and conditions required for the transfer of research materials in each of the above categories may differ significantly. Whether the provider and the recipient are able to negotiate and agree on acceptable terms depends on the objectives and expectations of the parties involved.
The office responsible for the management of MTAs depends on whether the material is coming to UCSD or leaving from UCSD. For the former, the responsible office is the Office of Contract and Grant Administration. For the latter, the responsible office is TechTIPS.

D) Royalty Income

Royalty income is generated by the patenting and licensing of inventions or through copyrights or trademarks of creative works. As noted above, royalty income can be significant; therefore, understanding how royalty income is distributed is important.
Royalty income generated by patents and licenses on inventions is distributed as follows:

% distributed to the inventor(s) 35%
% distributed to the inventor(s) labs(s) and department(s) 15%
The balance is retained in Chancellor-controlled accounts

Royalty income generated by copyrights and trademarks on creative works are distributed as follows:

% distributed to the author(s) 33.33%
% distributed to the author(s) department(s) 33.33%
% distributed to campus 33.33%

Tech Transfer Resources

The responsibilities of the Technology Transfer Office can be found at
http://invent.ucsd.edu/about/index.htm

The policies governing Intellectual Property and Technology Transfer can be found at:
http://invent.ucsd.edu/faculty/policies.htm

The Office of the President maintains a Frequently Asked Questions website at:
http://www.ucop.edu/ott/tech.html

The UCSD TechTIPS Office offers an online newsletter at:
http://invent.ucsd.edu/news/newsletter.htm

Intellectual Property Strategies for Success

- Understand the policies and procedures of technology transfer and be able to communicate which scenarios potentially compromise the exclusive ownership of the discovery (e.g., publication, presentation at scientific meetings).

- Also, understand the University's conflict of interest policies and procedures well enough to clearly articulate them with the specific purpose of assisting faculty members to either avoid potential conflicts of interest or develop a plan to manage the potential conflict of interest.

- Be able to communicate to faculty members the process of distributing technology transfer income.

- Be able to clearly understand and communicate to faculty members the process of material transfer, understanding the time-sensitivity of material transfer agreements in terms of not delaying the faculty member's research. Speedy processing of material transfer agreements is critical; faculty members view any delays in processing as University-imposed bureaucratic obstacles to their research.

Student Affairs

Overview:

Academic Business Officers need to have a comprehensive understanding of a department's curriculum, both graduate and undergraduate, in order to manage and plan for the use of educational program resources such as temporary faculty FTE, faculty salary savings, TAFTE, block grant funding, and fellowship funds. Current and proposed academic programs need to be evaluated in order to develop and implement strategies to accomplish academic program goals. This requires knowledge of relevant policy and funding formulas, as well as coordination with a variety of campus units, such as the Academic Senate Office, Office of Graduate Studies, Office of Research Affairs, Admissions and Registrar, Job Opportunities Program, and many others which have a significant impact on the delivery of student services and support. The business officer should closely collaborate with faculty administrators in the department and departmental student affairs staff to ensure the needs of the unit's academic programs are articulated and adequate resources are provided.

Student Affairs in an academic department includes both undergraduate and graduate programs, which are governed by academic rules set by the Academic Senate. The Senate "exercises direct control over the authorization and supervision of all courses and curricula, determination of admission and graduation requirements, and approval of all manuscripts published by the University of California Press."

Additionally, each department defines their governance to fit the structure of their organization. It is not unusual for departments to have Undergraduate and/or Graduate Committees. These committees are usually responsible for curriculum development and management and to implement infrastructures to deliver the curriculum. Committee membership may be composed of faculty, lecturers, staff, academic advisors and, in some cases, the Business Officer, as an ex officio member.

Student Affairs in the six undergraduate colleges is under the purview of the Provost, but is funded by the Vice Chancellor of Student Affairs (VCSA). The Student Affairs units in the colleges are responsible for student programming and student integrity issues. The Residential Life units in the colleges also report to the Dean of Student Affairs. The Academic Advising, Student Affairs, Provost, Business Office, Residential Life, and Writing Program units collaborate to give students an optimal college experience.

The following sections will discuss overall Student Affairs responsibilities with respect to the undergraduate and graduate program. The undergraduate component will be discussed first.

A) Undergraduate Program

i. Outreach and Recruitment

Outreach and recruitment is centrally "administered" by the Office of Admissions and Relations with Schools (OARS). Outreach officers visit high schools and community colleges and other student venues to promote UCSD. Departments and colleges also participate in these endeavors by contributing to the Discover Brochure, UCSD's recruitment medium, and coordinating presentations for Preview Day in the Fall and Admit Day in the Spring. Departments are "showcased" to potential and admitted students and their family members in the hope that they will choose UCSD. This brochure and other applicable links can be found on the "About UCSD" page for prospective students

ii. Admissions

Admissions is centrally administered by the Office of Admissions and Relations with Schools (OARS). Students apply through a centralized UC application process in the fall (UC Pathways) and their application is evaluated by the campus OARS. Students are admitted based on a comprehensive review and admissions targets. UCSD sets enrollment targets in which divisions and colleges may be invited to participate in defining those admissions targets. Comprehensive review considers a combination of academic and personal achievement factors. Students are admitted to UCSD as either first year students (i.e. freshman) or transfer students. Transfer students usually come from community colleges in which they meet certain admissions criteria for entry to UCSD through Transfer Agreement Program (TAG), Intersegmental General Education Transfer Curriculum (IGETC) or UC Breadth Agreement.

For more information, please visit the Registrar's webpage or consult the Undergraduate Admissions, Policies and Procedures section of the UCSD Catalog.

iii. Degree Requirements

When students come to UCSD, they are admitted into one of the six colleges: Roger Revelle, John Muir, Thurgood Marshall, Earl Warren, Eleanor Roosevelt or Sixth College. (Please see Appendix A that describes the system).

Each college has a set of general education requirements that students must fulfill in addition to their major requirements. (Please see UCSD Catalog section, "Choosing A College").

Major requirements are defined by the individual departments offering BA or BS degrees. In addition, certain colleges require a student to complete a minor or area of concentration. The composition of a minor is determined by the department.

For more information on degree requirements, please see the Academic Regulations section of the UCSD Catalog.

iv. Academic Advising

The Colleges and the academic departments provide faculty and staff advising services on matters related to student academic plans and curriculum requirements.

v. Orientation

The colleges provide orientation programs to acquaint students with UCSD's six college systems and to show students how to accommodate a variety of requirements set by the university, the colleges, and the academic departments. Students are exposed to the many opportunities that are offered at UCSD and they receive a great deal of guidance in choosing their courses and in learning how to use TritonLink to register for their first quarter of classes.

vi. Degree Checks

Academic advisors in the colleges and the departments routinely perform degree checks for students to give them feedback concerning their academic progress or lack thereof. College and departmental requirements are mapped out for students. Any deviation from these requirements must be petitioned through the General Student Petition process. The petition process is extensively discussed in the Degree Audit Reporting System (DARS), accessible through Tritonlink. DARS is an automated degree check audit that is designed to give students an up-to-date degree progress report. Both college and departmental student advising staff participate in ensuring that DARS is coded correctly to provide accurate information.

vii. Academic Program Management

Each department is responsible for the creation and management of its own curriculum, which includes ensuring that there will be an appropriate amount of course offerings to satisfy enrollment demands--as well as ensuring reasonably spaced availability of necessary course sequences that are required for its majors to graduate in a timely fashion. The campus goal for all students is to be able to get their undergraduate degrees in four years. Therefore, academic programs are expected to design curricula and schedule offerings to make that possible.

New courses or changes to courses or major degree programs must be submitted to the Academic Senate's Committee on Courses and Education (CEP) for approval. All course changes (including prerequisites, units awarded, etc.) are submitted via the Course Approval process.

Additional course restrictions must be explicitly included on the course approval form. The course approval process takes time, so one needs to allow for two quarters for approval before the class is offered. Additionally, course approvals must be submitted by November for inclusion in the UCSD Catalog.

viii. Course Workload and Penner Ratio

Each department sets their course workload. Often, a four-unit course is assigned a 1.0 course load and a 6-unit lab, 1.5 course load respectively. In addition, each department sets their faculty workload (for example, some departments may require that each faculty member teach two undergraduate courses and two graduate courses or that the Chair may be relieved of one or all of their teaching responsibilities during his/her Chair tenure.) Each department is required to report their faculty workload to the SVCAA.

Departmental instructional workload is measured by the Penner Ratio which assumes an average ratio of 1 faculty member to 28 students. If a department has a Penner Ratio at 1.0, it is assumed they have enough permanent faculty FTE to teach the required workload. If the ratio is above 1.0, the student enrollment demand is assumed to be more than can be taught by the budgeted faculty and more Faculty FTE could be justified.

The instructional load ratios are based on Fall, Winter, Spring and Summer third week enrollments (measured in student credit hours). Upper division courses are "weighted" by multiplying by 1.5. The Penner Ratio is calculated quarterly by the Analytical Studies and Space Planning Office, which contacts each department quarterly to review their instructional workload before finalizing the report. For more information, please see Campus Planning website and the instructions for how the Penner Ratio is calculated on the quarterly report supplied to each department.

ix. Course Scheduling

Departmental student affairs staff must closely coordinate with faculty and the OARS scheduling office to produce the quarterly departmental schedule. It is critical that all possible conflicts are addressed (e.g. certain courses that can not be scheduled at the same time) and that enrollment is projected as accurately as possible. Teaching space is a limited commodity on campus, so the scheduling office may move courses around as necessary to accommodate campus needs. The initial course scheduling process normally begins two quarters before a class is offered. Once the schedule has been set, the course appears on TritonLink for students to enroll.

x. Course Enrollment

Students begin to enroll for the subsequent quarter starting at the sixth week of the prior quarter. Priority is determined by the student's number of completed units and their academic standing, (e.g. seniors and Regents scholars have first priority enrollment followed by juniors, sophomores, and freshman respectively). Other UCSD affiliates who have no undergraduate or graduate student status may take courses in the department during the academic year by matriculating through the Extension Office by a process called Concurrent Enrollment. Departments receive a per student allocation for accommodating these "space available" concurrent enrollment students.

xi. TA's/Tutors/Readers

TA's, Tutors, and Readers can provide instructional support to teaching faculty. Please see Appendix B for Sample TA/Tutors/Readers Job Descriptions and Responsibilities. The department allocates TA/Tutor/Reader support for each course and ensures that TA funds are optimally appropriated. TA Funds originate from the Vice Chancellor's Office.

The TAFTE Formula is:

> TAFTE Formula=(AVG three quarter enrollment – Faculty FTE Debit) divide by PRC Ratio multiplied by 4.
>
> TA Funds =TAFTE multiply by the annual TA salary rate

PRC Ratio is set for each department or for each division, which is essentially the number of students per section

The philosophy for this formula is that the average 3-quarter enrollment is reduced on the assumption that every budgeted faculty FTE would teach at least 20 students without TA support. Further, the denominator assumes that this enrollment is divided by one TA FTE load (for instance, 4 sections of 30). For more information on TA funds, please see FINANCIAL ADMINISTRATION, TA Allocation section and Appendix D.

xii. Integrity Issues and Grading Policy

Scholarship Integrity is essential in preserving the university's work and all faculty, students and staff are expected to honor the principles of scholarship integrity. For more details, please consult the UCSD Catalog, Academic Regulations, Grading Policy and UCSD Policy of Integrity of Scholarship sections.

xiii. Computing Support for Courses

Academic Computing Services (ACS) provides computing support for undergraduate classes. Every June, a call letter is sent to the departments from ACS asking each department to provide projected computing needs for undergraduate courses for the next year. The completed request form guides ACS to plan for desired software packages and the necessary basis to create or augment student accounts, issue codes for lab access, and set up TA accounts.

xiv. Office for Students with Disabilities (OSD)

Students with special needs often ask faculty for special accommodations. Before any accommodation is granted, the student must register with the Office for Students with Disabilities (OSD) for certification of disability accommodations. OSD will make recommendations to the department concerning students' needs.

xv. Instructional Improvement Grants

Instructional Improvement funds are available to support faculty efforts to improve undergraduate instruction and are awarded on an annual basis via a proposal call that is typically announced in March or April. Proposals are reviewed by the Instructional Improvement Committee, chaired by the Associate Vice Chancellor of Undergraduate Education. The final allocation decisions are made by the Senior Vice Chancellor of Academic Affairs.

xvi. Scholarship and Financial Aid

The purpose of the Undergraduate Scholarship Program at UCSD is to recognize outstanding achievement, to encourage academic excellence, and to offer support to meritorious students. All financial assistance, including scholarships, for undergraduate and medical students and need-based aid for graduate students is administered by the UCSD Financial Aid Office (FAO).

xvii. Summer Session

Summer session classes are administered through the Summer Session Office which works with the individual departments in identifying courses to be offered, instructors and TA's for such courses. All course administration and logistics are currently administered through that office. Discussions are underway to provide funding to departments to handle more of the summer session administration functions, similar to how FWS of the academic year are administered. For funding formula related to summer session, please see Appendix E.

xviii. Special Programs

One-Unit Freshman Seminars

Beginning in winter quarter 2003, UCSD began offering one-unit Freshman Seminars to provide a platform for improving undergraduate education as part of a university –wide effort to enhance the experience of freshman students. This program provides an opportunity to reach incoming students in an ideal teaching environment: small class settings, discussion of a topic of mutual interest between students and faculty. Freshmen have priority enrollment in all Freshman Seminars. Most Freshman Seminars have an enrollment limit of 20 students, and therefore early registration is encouraged. Students may complete up to four Freshman Seminars with the stipulation that none of the seminars are repeated. Similar seminar courses are being developed for Transfer students starting Fall of 2005.

Academic Internship Program (AIP)

The AIP offers qualified juniors and seniors the opportunity to acquire valuable work experience related to academic and career interests. Students intern a minimum of ten hours per week and can earn units of upper-division credit ranging from one to twelve. Internship opportunities are available locally and worldwide.

B) Graduate Program

The Office of Graduate Studies (OGS) is administered by the Dean of Graduate Studies who is responsible for graduate admissions; graduate degree programs; the administration of fellowships, traineeships, and other graduate student support; the development of new programs; and the maintenance of common standards of high quality in graduate programs across the campus.

i. Outreach and Recruitment

Both OGS and the individual departments conduct active outreach and recruitment. OGS and academic departments often attend conferences and outreach forums to recruit undergraduates. They also produce posters and brochures which are sent to undergraduate institutions for the purpose of promoting the graduate programs. Departments also subscribe to the Peterson's Guide, which is a graduate listing agency. Faculty members are often involved with outreach efforts because they get to know prospective graduate students either through interactions with them or through their colleagues' referrals. Some departments also hold "Admit Events" or "Open House" events whereby they invite admitted students to visit so that they may showcase the department's academic graduate programs. These visits normally involve the prospective students meeting with other graduate students and faculty. It is also an opportunity for departments to "showcase" the different research and teaching programs that they offer.

ii. Admissions

Prospective students apply on-line to a particular graduate program through OGS. Departments either directly use OGS's database or they interface with OGS's database and download applications' data to their own computing system. Some departments create an Admissions Committee, which is normally comprised of faculty and staff whose charge is to determine the optimal number of admitted students and identifying these admits. Departments conduct individual reviews of the applications, but the application must meet the campus minimum requirements to be considered.

iii. Degree Requirements And Academic Advising

UCSD offers Master of Advanced Study (M.A.S), Master of Arts (M.A), Masters of Science (M.S) Master of Business Administration (MBA), Master of Education (M.Ed) Master of Engineering (M.Eng) Master of Fine Arts (M.F.A) Master of Pacific International Affairs (M.P.I.A) and the following doctoral degrees: Doctor of Audiology (Au.D) Doctor of Education (Ed.D), Doctor of Education (Ed.D.), Doctor of Musical Arts (D.M.A) and Doctor of Philosophy (Ph.D). Furthermore, UCSD offers Special Degree Programs such as Graduate Programs in the Health Sciences, Ph.D.-M.D. Program and Joint Doctoral Program. For more information, please refer to the Graduate Studies Section of the UCSD Catalog and/or refer to the OGS Deadlines Page or the Academic Advisors Manual.

iv. Academic Program Management

(Please see Undergraduate Section.)

v. Graduate Financial Support

Departments normally support their graduate students through a combination of funding which may encompass Block Grant, fellowships, TA FTE and departmental grants (in the form of GSR's or training grants). Graduate students must be registered full-time and must be in good academic standing in order to receive full support. Student's appointments must not exceed 50% time during the academic year. The Dean of OGS may occasionally grant an exception to this limit.

Block Grant Funding

The Vice Chancellor of Graduate Studies awards the Block Grant to the department on a per student basis for the purpose of outreach, recruitment and enrichment programs. Most departments use these funds to support fees, tuition and stipend. Block Grant funds may be used to finance outreach and recruitment programs such as Admit Events or producing promotional materials. A department's graduate fellowship (block grant) allocation is negatively affected by students not registered (fees not paid) and students registered in fewer than 12 units by the end of the third week. Any unspent Block Grant fund may be carried forward upon approval by the Dean of OGS. (Please note: Academic programs within ORU's do not receive Block Grant but they do get some support from the Office of Research Affairs.)

Fellowships

OGS offers a number of fellowship opportunities for which students can apply. For example, OGS offers San Diego Fellowships to incoming students for the purpose of increasing campus diversity.

Additionally, a student may come with their own fellowships such as NSF, Fulbright, NASA, etc. Departments or Divisions sometimes allocate fellowships to students. A comprehensive listing of OGS fellowships is available and Appendix C also contains application deadlines for certain fellowships.

Graduate Student Researcher Appointments

Graduate Student Researcher (GSR) positions are typically appointed by the professor who is the holder of the research grant or allocated by departments who have GSR funding. Students typically work 25% (10 hours/week) to 49.99% (20 hours/week) as GSR's. These appointments usually pay for fees and tuition (if applicable) and salary. GSR appointments that are at least 25% time must come with the corresponding fees and tuition (if applicable.) Grants can not directly pay fees and tuition, instead, each grant contributes into a GSRTF pool in which fees and tuition are paid. OGS works with departments to make sure that the GSRTF is balanced and it is adjusted annually. Individual GSRTF rates are available online.

Teaching Assistantships

Students typically work for 25% (10 hours/week) or 50% (20 hours/week) as TA's. These appointments usually come with a fee subsidy. For more information, please see Appendix B for TA Duties and Responsibilities. OGS also has a list of TA opportunities. Please note that all first time TA's must undergo TA training. The Center for Teaching Education offers a quarterly first time TA training and some departments offer complementary training sessions customized to their TA needs. CTD information can also be found online.

Other Academic Titles

Graduate students may work under different payroll titles such as tutors, readers, and Associate In. For comprehensive list of academic title and pay rate, please see OGS's list.

Facilities/Safety

Overview:

Along with financial and human resources, space is a precious resource on campus. And because few business officers come into their positions with significant prior experience in this area, managing facilities and space can be quite challenging. Business officers are involved in the planning process for new space, overseeing renovations and alterations to existing space, managing the allocation of space to departmental faculty, staff and students and ensuring that departmental facilities are safe and properly maintained. This section describes the Business Officer's role in the management of departmental facilities and space.

A) Space Management

i. Space Utilization Categories/Reports

The campus provides a web-based tool for tracking space data called Facilities Link. This website includes maps, floor plans of university buildings and space inventory tables. There is information about size, function, and occupancy of every room in every building on campus.

Business officers are responsible for ensuring that space inventory tables are accurate and up to date. In addition, periodically the campus asks departments to update their space inventory for function and use, usually in preparation for indirect cost rate negotiations.

ii. Departmental Space Policy & Assignment

Many departments have a written policy that dictates how space allocation decisions are made. Typically these decisions are made by the chair or a faculty space committee in compliance with departmental space use guidelines. These guidelines usually include criteria such as to who is eligible for space assignments (ladder rank faculty only? Emeriti? Visitors?), how priority in space assignment is determined, how much space various members of the community are typically assigned, and an outline of the process by which space allocations are made.

iii. Space Requests:

If your unit is growing and you believe you need additional space assigned, you will need to request and justify this space via the space planning group in the Senior Vice Chancellor's office. The SVCAA staff will work with Resource Management staff to analyze your request in terms of California Public Educational Commission (CPEC) standards and local UCSD standards. If the additional space is justified and available, it may be assigned to your unit

iv. Departmental Moves

If your department is given new space or needs to reorganize existing space, orchestrating and sequencing moves can be a significant challenge. Issues involved include costs associated with the physical move, possible purchase of new furnishings, transferring telephone lines and internet connections, and scheduling the move to minimize disruption of essential activities.

v. Off campus space

Some programs may have to lease off-campus space for various reasons including unique programmatic objectives, or the lack of availability of campus space. Authority to sign leases is not delegated to the departments at UCSD. If you need to lease space, contact the Real Estate Development office at 534-1488. Their website is http://www-red.ucsd.edu/.

vi. Retail Services

Departments who wish to bring retail services, such as a coffee cart, into their facility must contact the Real Estate Development office. All retail and commercial activities must conform with the UCSD Retail Services Study.

B) Renovations and Alterations

Although renovations and alterations of existing space are typically not performed by department personnel, the Business Officer plays an important role in the planning, oversight and financial management of these projects.

i. Scope of Work and how it affects who can do it

The scope of work for a project determines much about the procedure that must be followed. Some of the regulations include:

- Projects with a total cost under $20,000 (with some exclusions noted on the Renovations and Alternations Form (R&A)) can generally be done via purchase order or work order. http://capital.ucsd.edu/Projects/1205RAForm.pdf

- Projects over $35,000 must use non-19900A funds and will be handled through a plant account.

- Projects over $50,000 cannot be performed by University employees; they must be performed by contractors.

    - At this level, University employees cannot work on any aspect of the project unless it is an emergency or involves safety.
    - One exception is if the project is installing unique research equipment.

- Projects over $100,000 require competitive bidding through Facilities Design and Construction (FD&C).

If you need help with determining the scope of work for a particular project, contact Facilities Management (FM). Describe the project on a work order and FM will assign a Project Manager to provide an estimate and the R&A form (if needed). Depending upon the scope of the project, an approved R&A form may be needed before work can begin. Critical parts of this process include identifying the source of funding and a required timeline for completion. The SVCAA's office can serve as a valuable resource when planning these projects

Some units have a departmental facilities manager to oversee renovation and alteration projects. For most units, however, the business officer should be prepared to spend a fair amount of time attending to them. From gaining some understanding of how to read blueprints to meeting with the FM project manager or directly with the contractors, it's crucial to stay involved with the progress of the project.

C) Building Maintenance

Facilities Management takes primary responsibility to maintenance and repair of campus buildings. But the Business Officer often serves as the primary liaison between the department and FM, communicating issues that need attention, initiating work orders and ensuring problems are addressed in a timely manner.

i. Custodial Services

UCSD Building Services provides cleaning and specialty maintenance services to the campus. A basic level of services is provided for state-funded areas. See the list of UCSD Cleaning Services online.

It's important to be aware of the advertised standards for floor cleaning and waxing, carpet cleaning or window washing, which are often performed as regular service on an annual basis. Special requests for more frequent service or service during specific timeframes may result in a charge to the department.

ii. Reporting an Urgent Problem--Buildings/Grounds

For urgent needs, contact the FM Customer Relations Service Referral Desk at (858) 534-2930. After hours requests will be directed to central plant operators for an emergency assessment. For less urgent needs, submit an on-line work order.

iii. Operations Upkeep

Facilities Management is responsible for maintenance of building systems and the buildings themselves. See the list of these services on Blink.
Due to funding limitations, the campus has a large backlog of deferred maintenance projects. The campus is actively seeking ways to address this backlog, but it is important that the Business Officer stay on top of maintenance/repair issues and notify FM of situations requiring immediate attention.

D) Safety Concerns

i. Environment, Health, and Safety (EH&S)

EH&S is the department dedicated to the reduction of risks within the UCSD community, and to the promotion of safety as a value on campus. They provide health, safety, and environmental services and training to the campus community. A list of services is available at the EH&S website. If you don't find what you're looking for, contact the main EH&S number, (858) 534-3660.

ii. Emergency Planning (Earthquake safety, etc.)

Every department is required to have an Emergency Action Plan, to address the specific needs of faculty, staff, and students during emergency situations, such as fires, hazardous spills, earthquakes, flooding, explosion, and civil disorder. They are an integral part of UCSD's campus-wide Emergency Operations Plan and preparedness effort. Larger departments occupying different locations may decide they need individual plans for each facility they occupy. Information on creating these plans as well as other valuable emergency resources is available on The Emergency Planning Resources Menu.

The campus Emergency Guide contains essential phone numbers and "what to do in case of...?" information for UCSD employees and students. The Emergency Guide also contains a Planning Checklist.

E) New Construction – Capital Planning Project Process

Any Business Officer who has been involved in the planning for a new building will tell you that it is an exciting task, but an extremely work-intensive one. Business Officers typically play a supporting role in the planning of new buildings, working with various individuals on campus to provide justification for the space. Once construction nears completion, however, the Business Officer takes a lead role in planning for the physical move.

i. Funding New Construction

State funding for new buildings is justified on the basis of CPEC standards and are typically planned over a 7-10 year horizon. Funding is usually provided by voter-approved bond issues and may not be certain until shortly before the project is scheduled to begin. Thus much of the planning process, which often takes 4-5 years or more, occurs before funding is confirmed.

Non-state funded buildings may be paid for by private gifts or projected campus indirect cost return generated by research which will occur in the building (these buildings are often referred to as Garamendi buildings).

ii. Capital Planning Project Process

The capital planning project process is a long and detailed process that involves a large number of individuals both on and off-campus who shepherd a new building from planning to completion. A short summary of the major steps in this process are provided below.

1. *Building Advisory Committee (BAC).* The Chancellor appoints a BAC, generally chaired by a senior academic or administrative official and including representatives of the departments or units to be housed in the facility, among others. Staff from Capital Planning and Budgeting, Environment Health and Safety, Facilities Design and Construction, Physical Planning, and Facilities Management provide assistance and technical advice to the BAC. The work of the BAC includes the preparation of a Project Planning Guide (PPG), which describes the justification for the facility, its role in the overall campus space plan and the scope, general location, cost and schedule for the facility. To support the preparation of the PPG, a Detailed Project Program (DPP) or architectural program is typically developed, which addresses building organization and functions, design goals and criteria, and detailed room requirements. The entire BAC reviews the DPP document.

2. *Selection of the Building Site on Campus*. The Campus/Community Planning Committee (C/CPC) is responsible for recommending to the Chancellor a specific site for each building on campus.

3. *Executive Architect* is selected.

4. *Building Design Review*. The Design Review Board (DRB) reviews all projects for such issues as signage, colors, graphics, etc.

5. *Preparation of Preliminary Plans and Working Drawings*. After design approval, the Executive Architect prepares Preliminary Plans and Working Drawings to ensure that the facility meets the programmatic needs of the client, achieves the campus wide goals expressed in the Master Plan study and follows the approved design.

6. *Project Construction*. After Working Drawings are completed, project specifications are made available to the public and contractors submit bids for construction work. The lowest bidder who meets all applicable University regulations is selected. Construction proceeds under the supervision of Facilities Design and Construction.

7. *Project Equipment*. State funded capital projects with associated movable equipment needs require a separate PPG, prepared by Capital Planning and Budget, in consultation with the BAC. The PPG includes a complete equipment inventory for each room, including equipment to be purchased or equipment already existing and being moved to the new building. The Business Officer typically plays a key role in utilizing the designated equipment budget to make purchases that best meet the requirements of the department.

8. *Project Occupancy*. Prior to the occupancy of a new building or renovated area, Facilities Design and Construction is responsible for inspecting the project for conformance with the construction documents and specifying work items that must be completed before the project is accepted by the campus. The Business Officer plays a primary role in planning for the move into a new building, working with outside contractors to ensure a smooth move of people and equipment that minimally disrupts the operation of the unit.

Information Assets

Overview:

With our increasing reliance on computers as vital tools in our daily work lives, computer security, and the management of information assets, is of increasing concern to the business officer. This section of the handbook will provide you with a general summary of your role as a business officer as it relates to the management of information assets, focusing on three major components of information asset management: People (IT staff and administrative staff who work with computers), IT infrastructure (hardware, software, networks and systems), and Data (departmental databases, electronic records and files). The Appendix following this section lists a wide variety of resources and more detailed information to assist you and your staff in the daily management of these assets.

A) Management of Staff Members' Information Assets

i. Management of Staff Computing

Virtually all administrative staff work with computers for at least a portion of their job. Some complete a large majority of their work on a computer. As a business officer it is your responsibility to ensure not only that your staff know how to complete their work on their computers, but that they are also using those computers responsibly. This can be accomplished with training and education on the utilization of pre-packaged software (such as the Microsoft Office suite), UCSD on-line business systems, as well the policies and procedures concerning appropriate use of University computers and systems. These items are discussed in further detail in this section of the handbook, but keep in mind that this training and education is a continuous and never-ending process.

ii. Management of IT staff

If you are the manager of a small, non-technical unit it is very possible that you will not have direct supervisory responsibility for IT staff; your technical support will probably be provided by a central or outside group. But business officers in large and/or technical units normally supervise a technical staff of one or more. The management of technical staff can present unique challenges for the business officer, particularly those who do not have a strong technical background. In many cases technical staff members are intense individuals who like to perform their work in a self-directed manner, often preferring non-traditional work schedules. They may view attempts to provide direction as interference and resist.

As a business officer, it is not imperative that you be the person who is best able to perform a specific task or that you even be the most knowledgeable about that task. Far more important is your ability to see that a task actually gets done by qualified people. As the manager of a technically oriented staff you must maintain a sufficient level of knowledge to understand the issues which those staff members face. But you should not feel compelled to provide the answer to every question asked by the technical staff. It is far more important that you are able to establish a positive direction and to see that resources are provided that will enable the solutions to problems and the answers to questions.

iii. Developing Responsible Computing Use Policies

You mish wish to establish a “Responsible Computing Use” policy for your department that is distributed to all employees upon hire (you may ask them to sign it as part of their hiring paperwork). This policy provides guidelines for the appropriate usage of computer hardware, software and data in your department. See Appendix G for examples of statements you might want to include in such a policy.

iv. Training

It is important for staff members, both technical and non-technical, to keep up with evolving technologies and new business systems as they affect their jobs. ACT, Network Operations and the UCSD Staff Training and Development office provide a wide variety of classes, workshops and resources to all computer users on campus. All staff members should be encouraged to take advantage of these resources as appropriate for their position. And you should keep in mind that because of the rapidly evolving technological landscape, your IT staff especially will need to be provided refresher training on a regular and recurring basis.

B) Management of IT Infrastructure

i. Hardware

Hardware security

Physical security prevents attackers from accessing a computer physically (as opposed to through the network). It is at least as important as network security, but is often overlooked by users and administrators. As a unit head it is your responsibility to ensure that your computing hardware is properly secured. Tips on securing hardware (both office machines and laptops) can be found in the Computing Appendix.

Replacement cycles

After 3 or 4 years, most computers start becoming unreliable, with increasing maintenance costs. As a result, some units have put the replacement of faculty, staff, and lab computers on pre-determined cycles. Typically computers are placed on a three-to-four-year replacement cycle, meaning that each year, one-fourth to one-third of these computers are replaced. (A 3-year cycle may make sense if you purchase computers with 3-year warranties.) Not only do replacement cycles introduce a level of predictability to your annual computer hardware costs, they also enable users to have the latest computer technology and the most recent operating systems and application versions.

ii. Software

Software security

In most cases you need a combination of software solutions to protect your computers from various threats. These include, at minimum, antivirus software, a firewall and a plan for keeping operating systems and software up to date with security patches. Antispyware and antispam utilities can also help keep your computers safe.

1. Anti-virus software

If you connect to the Internet at all, you are a target for a computer virus or worm. While most attacks target Microsoft Windows–based PCs, there have been attacks against Mac OS and Linux systems as well. No matter which operating system you use, all of your unit's computers should have up-to-date antivirus programs installed on them.

Sophos Antivirus Software is available at no charge to the UCSD community. The software may be downloaded for home or on-campus workstations for running a wide variety of operating systems. Licenses may be used at home by the same user. But remember that an antivirus package is only as good as its last update. Activate the auto-update features of these packages to stay on top of the latest threats.

2. Firewalls

Firewalls help protect computers and systems from viruses and other potential security threats. Firewall software installed on a particular machine and configured to protect that machine is considered "host-based." (The "host" is the device connected to a network such as the Internet.) Host-based firewall protection is included in current versions of the major supported operating systems (Windows XP and Mac OS X) and should be activated for all of your machines.

3. Operating system patches and upgrades

Security patches are updates to software that eliminate vulnerabilities that can compromise the security of your computer. These updates are required for both operating systems and application software. The majority of computers that are compromised are done so through the exploitation of a security vulnerability that could have been eliminated with an already-released security patch. You should ensure that all machines in your area are installed with automatic updating services for operating systems and trusted applications.

4. Email and SPAM

Employees who use UCSD's electronic mail facilities should be aware of UCSD's e-mail policy and practices. The University's Electronic Mail policy applies to all electronic mail services provided by UCSD, all e-mail users and all University records in the form of electronic mail.

SPAM is unsolicited bulk e-mail, including commercial solicitations, advertisements, chain letters, pyramid schemes and fraudulent offers. If you've received e-mail, you've received SPAM. UCSD is attacking spam with SpamAssassin software and has created detailed instructions for setting up personal spam filters in several e-mail programs, including Eudora, Outlook and Netscape. Staff should be educated in the usage of these SPAM filters, which can help them sift through this unwanted email in an efficient manner.

Electronic mailing lists provide a convenient way for members of the campus community to notify, converse with, and respond to people in e-mail format. UCSD hosts and allows the creation of electronic mailing lists on a wide variety of topics. Your local email server may also provide for the creation and utilization of these lists.

5. Software licensing

It is against the law to copy software that is protected by copyright, licenses and other contractual agreements, and which has not been placed in the public domain or distributed as freeware. When installing software purchased for your unit you should ensure that is being installed in accordance with its license agreement, which will include language about how many machines on which it may be installed. The campus has secured licenses for several popular software packages; many software companies also offer bulk discounts for the licensing of software on multiple machines.

C) Networking

i. Network Security

Because of the growing risk from virus attacks on UCSD's information technology infrastructure, UCSD developed network security standards for any device connected to the UCSD network. The minimum standards include anti-virus software and firewall protection. Devices that do not meet the new standards are subject to disconnection from the UCSD network. You should check with your system administrators to see if the machines in your unit are policy-compliant and, if not, what steps need to be taken to make them compliant.

UCSD allows anyone working in a UCSD office or lab to connect their computer to the UCSD network and the Internet beyond. They must follow various UCSD usage policies when doing so in order to retain this privilege. To connect a computer, you need a live connection in your office and an IP address for your computer. A wireless network is also available in most public areas of UCSD, allowing connection to campus resources and the Internet when not connected by a hard line. UCSD faculty, staff and students may access the wireless network by using their campus network username and password.

You or your employees may also wish to access UCSD's computer resources from home or while traveling. The campus provides several options for accessing these resources and the Internet from off campus.

- The UCSD Modem Service provides a relatively inexpensive alternative to connect from an off-site computer using a modem and standard phone line. The service has local access numbers located throughout San Diego county and provides 56kbps connections. Busy signals are extremely rare.
- UCSD Web-based protected resources, such as library journals and databases, may be accessed from any ISP (such as high-speed cable or DSL) using the UCSD proxy server.
- If you wish to use non-Web-based protected services, such as file-sharing to campus, or if you want an extra measure of security, you may opt to use the UCSD VPN (Virtual Private Network). You need VPN software to access certain Microsoft networks and services (including Exchange using Outlook) from off campus. VPNs use security mechanisms to ensure authorized users can access the network and that the data cannot be intercepted. The VPN client works over analog modem, cable modem, ISDN, DSL and LAN connections.

D) UCSD Computerized Business Systems

i. The Role of Your Department Security Administrator (DSA)

Each UCSD department has a Departmental Security Administrator (DSA) who sets up and maintains departmental access to UCSD's computing, networking and information resources. DSAs and their alternates coordinate with ACT to approve all access to and use of core data by individuals within their departments or units. They also set up and maintain “hierarchies” that guide the approval process for various business system transactions. A technical support staff member often fills the DSA role, but in smaller units a staff member working in fiscal support, student affairs or some other administrative area, may assume the role. In any event, it is important that your DSA have fairly strong computer skills; it is also useful if they are familiar with UCSD business processes.

ii. Access to campus systems/accounts

The mechanism by which employees are provided access to the multitude of electronic systems on campus is by way of an account. Upon hire, employees may request a user ID and password to access e-mail and UCSD Business Systems (departmental DSAs coordinate this process). In some cases staff members will be required to complete certain courses or training sessions prior to being granted access to a particular system.

Campus user accounts cannot exist without passwords or other secure authentication system. UCSD has set guidelines for the development and usage of passwords. Those resources can be found in the additional resources listings at the end of this section.

With Single Sign-On, one ID and password authenticates your identity and access rights, and gives you entry to a set of campus Business Systems. Under the new process, you sign in once and don't have to sign in again until you sign out, remain idle for a period of time, or close the browser session.

E) Data Management

i. Data security

Federal and state Legislation impacts how the campus uses and protects personal information. According to state law, UCSD would need to notify individuals if their computerized personal information is (or may have been) disclosed or acquired by an unauthorized person. Personal information is an individual's first name or first initial and last name, combined with one or more of the following data elements, when either the name or the data elements are not encrypted:

- Social Security number
- Driver’s License number or California Identification Card number
- Credit or debit card number, combined with any required security code, access code, or password that would permit access to an individual's financial account

In order to conduct UCSD's business, there is a legitimate need for private data to exist in many places and be handled by many people, but ensuring the proper handling of private information cannot solely be done centrally. Therefore, if your unit handles any private data, the University relies on your cooperation and support to ensure compliance with the law. Upon hire you should check with your staff to ascertain if any private data is being handled improperly and act accordingly. You should repeat this process at least annually to ensure proper data management.

ii. Records Management

UCSD has a Records Management Program to ensure that administrative records are appropriately managed, preserved, secured, and can be retrieved as needed. As a business officer, you are responsible for keeping your department's "Office of Record" documents (both forms and paperless transactions) physically secure and readily retrievable. These documents must be retained for the periods specified in the University Records Disposition Schedules Manual. Administrative Records coordinates the campus program and provides advice on these issues. In addition, Staff Education and Development provides courses to help you and your staff better understand your role in handling UCSD records.

Information Assets Strategies for Success

- Please see Appendix G for a large compilation of computing-related links, resources, and sample text.

Leadership

Overview:

Among the many skills and knowledge required to be an effective manager, the truly successful academic business officer will definitely need to develop and enhance their leadership skills. Leadership skills are especially critical for the academic business officer because of the decentralized nature of our university environment. Every department typically has its own culture, customs, and set of needs particular to each academic discipline. Even within the department there are diverse and sometimes conflicting needs among the academics, students, and staff. In order to achieve overall departmental goals, the business officer must be able to understand these needs and communicate a common direction to all constituents within the department as well as to other departments and supporting units outside the department.

The university's collaborative, consensus-driven environment often requires many partners working together in order to produce results. While this presents leadership challenges, it also creates opportunities for a wide range of effective leadership styles. In this section we will provide some definitions of leadership, give examples of various leadership styles, explain how leadership skills can impact effective management, and describe how and why developing effective leadership skills is essential to the success of an academic business officer.

A) Definitions of Leadership

Stephen Covey defines leadership as "communicating to people their worth and potential so clearly that they come to see it in themselves"1

Leadership is the principal dynamic force that stimulates, motivates, and coordinates the organization in the accomplishment of its objectives.

Aspects of leadership include challenging the process, inspiring a shared vision, enabling others to act, modeling the way, and encouraging the heart.

Leadership is the art of influencing people by persuasion or example to follow a line of action.

True leadership not only creates change and achieves goals within the environment, but changes the people involved in the necessary actions for the better as well: both followers and leaders are ennobled.

Great leaders serve the group they lead, by creating and maintaining an environment that encourages and supports everyone in maximizing their potential, especially vis-à-vis group goals.

Leadership is interested in how people can be brought to work together for a common end effectively and happily.

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[1] The 8th Habit, Stephen Covey, P 98

Leadership is about establishing direction, aligning people, motivating and inspiring, in a way that produces useful, dramatic change.

Leadership consists of such actions by group members as those which aid in setting group goals, moving the group toward its goals, improving the quality of interactions among the members, building the cohesiveness of the group, or making resources available to the group.

Leaders lead by pulling rather than pushing, by inspiring rather than ordering, by creating achievable, though challenging, expectations and rewarding progress toward them rather than by manipulating, and by enabling people to use their own initiative and experience rather than by denying or constraining their experiences and actions.

B) *How Leadership Relates to Management*

Leadership is one aspect of management, but a very important one. It's been said that leadership is about vision and people and management is about organizing and analyzing tangible things and processes. A truly successful manager must do both.

The quality of a leader's skills and style has a significant impact on the workplace environment that is being managed. An otherwise good manager can be unaware of how their leadership style is affecting productivity. There is a continual balance between ensuring the enforcement of workplace rules and standards and allowing individual creativity to flourish. There are pressures inside and outside the unit that must be responded to, as well as individual variations in employee temperaments and expectations. The art of finding and striking this balance to sustain a productive and well-managed unit is the leadership aspect of management.

C) *Defining Your Leadership Style*

Leadership style can be defined as the manner and approach of providing direction, implementing plans and motivating people.

Examples of various styles include: Authoritarian, Participatory, and Delegating. Some of these basic styles are inherent to the personality of the leader and some can be adopted in certain situations. An effective manager should develop the leadership skills to be flexible about their style.

What is your style? You must first figure out what your style is before you can maximize the strengths of that style and compensate for its weaknesses. The way to learn about and enhance your leadership style is through knowledge and self-awareness. Take advantage of every leadership training opportunity you're offered and proactively seek them out.

1. Explore leadership training through Staff Education and Development, especially the topics available under Leadership, Communication and Interpersonal Effectiveness.

2. Staff Education and Development also has Certificate Programs for Supervision and Work Leaders that are very helpful.

3. The Academic Business Officer website also lists various programs including:
   ABA Mentorship Program
   Business Officers Institute
   The UC Academic Business Officer Group annual conference
   Management Skills Assessment Program

Professional Development opportunities are also listed on the Academic Affairs website. See Training section.

D) *Why Leadership Is Essential for the Academic MSO*

The role of the MSO is to serve the instructional and research goals of faculty by:
1. Facilitating faculty vision
2. Stewarding staff
3. Interfacing with central administration

A primary role of the academic business officer is to facilitate and implement faculty initiatives in an effective manner, help develop and implement the department's mission and strategic goals, and facilitate the implementation of internal and external rules and regulations with proper accountability and controls. Leadership skills enable the business officer to communicate effectively with many diverse constituencies to achieve unit and campus goals.

A truly successful leader also encourages and develops the leadership skills of all of their staff in order to increase their individual effectiveness. In our decentralized environment, the entire department benefits when each staff member understands their role, authority and boundaries and can negotiate effectively to achieve departmental goals.

E) *Leadership Skills to Help Get Things Done at UCSD*

1. Understand the UC environment—especially the incentives involved for the many players and their roles.

2. Develop political acumen to navigate the environment.

3. Find out who the key decision makers are that impact your department and what are their goals and motivations.

4. Recognize what and where are the pitfalls.

5. Understand decentralized decision-making – especially the responsibilities and implications.

6. Recognize the importance of participating on committees and teams in terms of making important contacts and developing collaborative and collegial relationships.

7. Find out what resources are available to you and how to manage them.

8. Understand how your department's actions will impact other areas.

9. Develop effective negotiation and communication skills.

10. Find ways to make others look good while accomplishing your objectives.

Leadership Strategies for Success:

- Appreciate little things that people do . . . often and loudly.
- Keep your eye on the big picture, but remember that the devil is often in the details.
- Know who you are and what you stand for (core values), but be flexible. Flexibility wins.
- No favorites – You will naturally tend to enjoy some people more than others. Don't let that interfere with your professionalism and decision-making.
- Walk your talk.
- Inspire and be positive even if you don't feel like it.
- The effectiveness of your communication is measured by the response you get.
- Take the initiative and research policies for flexibility in fulfilling your department's goals.
- Set the tone and culture; mentor and advocate for staff.
- Develop the department's vision (where is department going), mission and strategic goals (how will department get there, workload management, reorganization, streamlining for efficiencies), and values (trust, confidentiality and mutual respect).
- Develop all staff - some will be developed reluctantly. Don't give up on anyone. Don't allow anyone to be marginalized.
- Interpret the impact of policies and procedures on your department, facilitate the implementation of the policies and procedures and provide feedback to central administration regarding effectiveness of implementation. Helpful questions might be: "What is the intent of this policy/procedure/decision?" or "How and why was this policy/procedure/decision made?"
- Remember that strong leaders are essential to the efficient running of any organization – they inspire the people they supervise, lead by example, are accessible, supportive, clear in their communications, and reasonable in their expectations.

List of Appendices

A) *Sample Student Affairs Timeline:*

2005-2006 Student Affairs Calendar			
Date	**Event**	**Committee**	**Details/Comments**
September 2005			
2	ACM Dissertation Award Application Deadline	Graduate	www.acm.org
12	CRA Taulbee Survey Call Letter Received	Graduate/Under graduate	
13			
14	Graduate Orientation	Graduate	
21	Undergraduate Orientation	Undergraduate	
22	Fall 2005 Instruction Begins	Undergraduate	
30	Sp05 Freshman Seminar Proposal Deadline	Undergraduate	
October			
7	Fa05 2nd Week Deadline to Add Courses	Undergraduate/ Graduate	
	Wi05 Textbook Deadline		
12	Winter 2006 Final Schedule Changes Deadline	Undergraduate	
14	Fall 2005 Grad Coordinators Meeting NSF Graduate Research Fellowship Application Deadline	Graduate	https://www.fastlane.nsf.gov/jsp/homepage/grad_research_fel.jsp
21	Fa05 4th Week Deadline: Change Grading Option, Change Units, & Drop Classes Without a "W" Deadline	Undergraduate	
31	Hertz Foundation Fellowship Deadline	Graduate	http://www.hertzfoundation.org/awards.shtml
November			
1	CRA Taulbee Survey		http://www.cra.org/statistics/
2	Catalog Copy Changes (Curriculum, course approvals) Due	Graduate/Under graduate	
	Winter 2006 Course Enrollment Begins	Graduate/Under graduate	
4	Spring 2006 Preliminary Schedule Deadline	Undergraduate	
	Spring 2006 New Course Approvals Deadline 2006 Summer Session Course Proposal Deadline	Undergraduate	
7	Fall 2005 Final Exam Initial Schedule to Dept	Undergraduate	

2005-2006 Student Affairs Calendar			
Date	**Event**	**Committee**	**Details/Comments**
14	TAP Fellowship and Awards for Women Application Deadline Admissions Target for Fall 2005 due to Dean	Graduate	http://women.cs.cmu.edu/ada/history.php
	DeadlineNPSC Fellowship Application		http://www.npsc.org/
18	Wi05 Tutor/Reader Application Deadline	Undergraduate	
21	Week of Nov. 22 (Fall 2005 TA Evaluations/Grad Courses Evaluations)	Graduate	
28	Fall 2005 9th Week Deadline: Drop Without Penalty of "F" Grades Deadline	Undergraduate	http://pdsoros.org/
29	ASEE Survey Due Paul and Daisy Soros Fellowship Application Deadline	Graduate/Undergraduate	
December			
1	Ford Foundation Fellowship Application Deadline	Graduate	http://www7.nationalacademies.org/fellowships/
	IBM Fellowship Nomination Deadline from Faculty to Gradcom		http://www-3.ibm.com/software/info/university/fellowship/phd/
2	Fall 2005 Instruction Ends	Undergraduate	& SA Office
5	Fall 2005 Final Exams (12/05 to 12/10)	Undergraduate	& SA Office
12	Fall 2005 File Request to Receive Grade Incomplete Deadline		
13	Fall 2005 Grade Sheets Due	Undergraduate	& SA Office
	Spring 2005 Replacing Incompletes Deadline		
16	IBM Fellowship Nomination Deadline	Graduate	
18	Fellowship Allocations from JSOE Dean	Graduate	
January 2004			
5	NDSEG Fellowship Application Deadline	Graduate	
	Grad admissions deadline; Begin domestic and foreign PhD review	Graduate	http://www.asee.org/ndseg/
9	Winter 2006 Instruction Begins	Undergraduate	
16	AT& T Fellowship Deadline	Graduate	http://www.research.att.com/academic/alfp.html
	Block Grant Allocation from OGSR Dean	Graduate	
	Krell Institue DOE Computational Science Fellowship Deadline		http://www.krellinst.org/csgf/
	Deadline for supporting grad app documents; domestic PhD "stars" admitted	Graduate	

2005-2006 Student Affairs Calendar			
Date	**Event**	**Committee**	**Details/Comments**
23	Campuswide Engineering Forum	Undergraduate	
24	Spring 2006 Schedule Changes Due at Registrar's Begin SD Fellowship review	Undergraduate/ Graduate	
27	Begin S.D. Fellowship review	Graduate	
February			
1	2006 - 2006 Courseload by Dept Chair Deadline	Undergraduate	
2			
3	Sp05 Textbook Deadline	Undergraduate	
	Winter 2006 4th Week Deadline: Change Grading Option, Change Units, & Drop Without "W"	Undergraduate	
13	Winter 2006 Request for Changes to Final Exam Schedules Sent to Dept	Undergraduate	
15	Admit Day for Undergraduates	Undergraduate	
	Spring 2006 Class Enrollment Begins	Undergraduate	
24	Sp05 Tutor/Ready Application Deadline	Undergraduate	
27	Week of Feb 28 (Winter 2006 TA Evaluations/Grad Courses Evaluations)	Graduate	
March			
3	Fa05 Freshman Proposal Deadline	Undergraduate	
6	Graduate Visit Days	Graduate	
7	Graduate Visit Days	Graduate	
10	Winter 2006 9th Week Deadline: Drop Without Penalty	Undergraduate	
	of "F" Deadline		
17	Winter 2006 Instruction Ends Winter 2006 Final Exams (3/17 to 3/25)	Undergraduate	
20	Intel Fellowship Deadline	Graduate	http://www.intelscholarships.org
22	Winter 2006 File Request to Receive Grade Incomplete Deadline	Undergraduate	
25	Final Cota Robles fellowship decisions	Graduate	
28	Winter 2006 Grade Sheets Due	Undergraduate	
	Fall 2005 Replacing Incompletes Deadline	Undergraduate	
April			
3	Spring 2006 Instruction Begins	Undergraduate	
14	Spring 2006 2nd Week Deadline to Add Courses Admitted Applicant Response Deadline	Graduate	
28	Spring 2006 4th Week Deadline:	Undergraduate	

2005-2006 Student Affairs Calendar			
Date	**Event**	**Committee**	**Details/Comments**
	Change Grading Option, Change Units, & Drop Without "W"		
	DeadlineSummer 2006 Textbook Deadline	Undergraduate	
May			
3	Fa05 Textbook Deadline	Undergraduate	
8	Spring 2006 Request for Changes to Final Exam Schedules Sent to Dept	Undergraduate	
13	Week of May 13 (PhD Grads Spring 2006 Review)	Graduate	
19	Fa05 Tutor/Reader Application Deadline	Undergraduate	
20	Transfer Admit Day		
22	Week of May 22 (Spring 2006 TA Evaluations/Grad Courses Evaluations)	Graduate	
27	Spring 2006 9th Week Deadline: Drop Without Penalty of "F" Grade Deadline	Undergraduate	
June			
1	2006 - 2007 CINFO Deadline	Undergraduate	
2	Wi06 Freshman Proposal Deadline	Undergraduate	
9	Spring 2006 Instruction Ends	Undergraduate	
11	**Undergraduate Day Ceremonies**		
12	Spring 2006 Final Exams (6/12 to 6/16)		
	Graduation Day Ceremony	Graduate	
16	Spring 2006 Request Incomplete Deadline	Undergraduate	
20	Winter 2006 Replacing Incompletes Deadline	Undergraduate	
	Spring 2006 Grade Sheets Due	Undergraduate	
July			
August			
1	Month of August (send Recruitment Materials)	Graduate	Posters, Brochures, Webpages
25	Wi06 Preliminary Schedule of Classes	Undergraduate	

B) The College System:

Council of Provosts 6/2/04

The Undergraduate Colleges and the College System at UCSD

The University of California, San Diego has one of the most ambitious designs for undergraduate colleges in the country. Our system is distinctive because it combines

- a general education program with
- general, four year academic advising, and
- student life programs based in the college, and
- a residential college environment

At UCSD, the inclusion of general education programs unique to each college, has strengthened the connection between the colleges and academic departments and programs of the University. Through general education and academic advising, the colleges are actively involved in developing students' intellectual curiosity and their academic program. By contrast, most undergraduate colleges within public or research universities are either exclusively residential or combine residential and academic advising programs, with student life and general education programs managed by the larger campus. At UCSD, the collaborative relationship between Student Affairs and Academic Affairs under a single college umbrella (which does not exist on other campuses) increases the college's capacity to help students develop a comprehensive educational experience throughout their two or four years at the University.

Writing Programs and core courses, Academic Advising, Student Affairs, and Residential Life all report to the Provost. Although funded through different vice chancellors, their co-location in the college and the reporting structure to the Provost enable the colleges to develop integrated services which complement one another.

General Goals and Responsibilities of the Colleges

The University's decision to design and deliver general education through the colleges makes each college distinctive based on its general education program, coupled with the student body that program attracts. The overall goals of the college system further shape the programs of the colleges and the several staff units within them. These shared goals lead to many similar programs and services, while the distinctive character of each college also introduces variability.

The general goals and responsibilities of the colleges are summarized below. Under the leadership of the Provost, the Writing Program/core courses, Academic Advising, Student Affairs, and Residential Life staffs are responsible, individually or in collaboration with one another, for specific programs that are designed to achieve each one of these goals. No one goal is the exclusive province of a single unit in the college. The colleges seek to:

- Encourage, develop and support broad intellectual curiosity and active engagement in the undergraduate educational experience.

- Serve as a “home base” for students within the University, acting as a centralized locus for students to receive integrated academic and student life services, individualized attention, and appropriate referral to central campus services throughout their years at UCSD. Provide a first node of “belonging” in the institution and through social programs, cultivate camaraderie and facilitate students’ identification with other students, the college, and the University.

- Collaborate with faculty of the college to develop and oversee general education programs in the college; encourage faculty-student interaction in the colleges and departments; and work with faculty on pedagogy, curriculum development, and programs that support undergraduate education and the undergraduate student population.

- As a home base, clarify and enforce campus-wide academic and student conduct policies and regulations as they affect individual students; as necessary, propose changes in them; collaborate with other campus offices in policy enforcement and modification.

- Facilitate students’ developmental transitions from high school to university and through university to professional and graduate school and the world of work; support students and facilitate mature decision-making in these transitions.

- Encourage and support students’ active engagement in leadership activities, and community service programs which develop in them the knowledge, civic skills and attitudes appropriate to active citizenship in a diverse, democratic society.

Serve as the principal UCSD liaison to parents of currently enrolled students, informing parents about the campus and the college and collaborating with them to provide appropriate support to students.

C) Prerequisite Policy

ACADEMIC SENATE: SAN DIEGO DIVISION, 0002
UCSD, LA JOLLA, CA 92093-0002

August 10, 2005

DEPARTMENT CHAIRS & PROGRAM DIRECTORS
SUBJECT: Course Prerequisites

During the 2003-2004 academic year, CEP was asked to resolve confusion as to whether course prerequisites are *required* preparation for a course or merely optional preparation for a course. CEP ruled that, effective Fall 2004, prerequisites are those courses or conditions determined by a department or program to be necessary preparation for a course (e.g., courses, AP scores, SAT scores, student academic level). Therefore, if a course approval form designates a prerequisite(s) and is approved by the CEP Subcommittee on Undergraduate Courses and/or the Graduate Council, students are *required* to have successfully completed all of the prerequisites prior to attending the course.

Hence, it is critical that departments/programs carefully determine what preparation is necessary for a course as opposed to, perhaps, strongly recommended. Of course, faculty and departments may, on a case-by-case basis, grant exceptions to any prerequisites.

In the near future a number of revisions to the course approval form will be made, including those that conform to and implement CEP's ruling with respect to prerequisites. Previously only prerequisites listed in the "Enforcement" box were enforced while those in the "Course Description" box, although printed in the UCSD General Catalog, were not enforced via Webreg. For your information, the section titled "Enforcement" on the course approval form will soon be eliminated; all prerequisites indicated on the approved course approval form will be enforced. The revised form will also allow departments/programs to indicate course preparation that is recommended rather than required.

Maria Charles, Chair
Committee on Educational Policy

c: M. Appelbaum
J. Jones
J. B. Minster
C. Perrin
J. Pierce
B. Sawrey
MSOs
Graduate Coordinators
Undergraduate Coordinators
D. Tuzin
ChronFile

D) Sample T.A. Duties & Responsibilities

The Role of the TA and the Instructor
Teaching Assistants enhance the learning experience of UCSD students by complementing the activities of the course instructor. TAs receive training under the mentorship and supervision of the instructor.

Duties
Specific job responsibilities will vary with teaching assignment, and the instructor will communicate the specific responsibilities expected of the TA at the beginning of the quarter. The TA and the instructor share joint responsibility for ensuring that each understands the division of work responsibilities.

TA duties may include, but are not limited to, the following: facilitate a discussion section or tutorial; hold weekly office hours; e-mail contact; grade homework, programming assignments, exams, or projects; keep records; distribute and copy reading materials; prepare answer keys or supplementary notes; and act as course web-master. TAs may be required to attend the instructor's lecture regularly.

Training
In accordance with University rules, all TAs are required to participate in the TA training program provided by the Center for Teaching Development. This requirement will not be waived regardless of prior teaching experience.
Faculty should periodically evaluate the TA's performance and provide the TA with constructive feedback. Faculty and senior TA may provide training in developing teaching skills in relations to the duties stated above.

Workload
A TA with a 50% appointment shall not be assigned a workload of more than 220 hours per quarter. This rule applies proportionally to 25% appointments. In addition, a TA shall not be assigned a workload of more than 40 hours in any one week. The number of hours worked in excess of 20 hours per week may not total more than 50 hours per quarter.

A TA may not be employed as a substitute instructor, where the effect is to relieve the instructor of his or her teaching responsibilities. (This is specifically prohibited by University Policy.) In case an instructor is absent from school, they will normally ask another faculty member to act as a substitute. However, in the event of an emergency, the Department Chair may ask the TA to substitute for the instructor. A TA may decline to substitute for the instructor if doing so would interfere with their studies (e.g. a class), or if they feel unprepared to lecture. *Whenever a TA serves as a substitute lecturer, a faculty member shall be appointed to supervise.*

Disputes regarding workload are not subject to Article 11, Grievance and Arbitration of the Union Contract Agreement. For workload complaint procedure, please see Article 30, Workload.

E) <u>TA FTE Formulas</u>

The TA FTE formulas have changed a little over time, but the basic assumptions are:

1. The numerator contains the 3-quarter average of student enrollment minus the budgeted Faculty FTE times 20.

This assumes that not all of a department's undergraduate enrollment will need the services of a graduate teaching assistant. Therefore, it's assumed that 20 students can be taught by each of your teaching faculty members (Permanent and Temporary). That number is then subtracted from the overall student enrollment number for each department.

2. The denominator contains the department ratio times 4.

The assumption here is that one TA teaches 4 sections. The ratio is the number of students per section. Department ratios are usually around 30-35, but some departments have claimed that their ratio needed to be lower because of the nature of how their discipline is taught. Thus, the Lab Sciences have had 28.20 for a long time because labs require fewer students per TA for safety reasons. Languages have also made a case that learning languages requires fewer students per TA because of the need for greater one-on-one instruction. Similar arguments have been made for writing, etc.

The ratios have changed very little over the years except in the early 90's when Engineering succeeded in getting its ratio lowered to 18 because of the TA-intensive requirements of their courses. In 2001, the TA FTE Committee decided to lower some ratios that had not been changed in a long time from 34 to 30, in recognition of the need to accommodate growth.

<u>Graduate Course Support</u>

Also in 2001, the TA FTE Committee began a program to provide a small amount of funding to provide TA support for large graduate courses.

That formula only counts graduate courses over 20 and the total enrollment in those courses is reduced by the number of courses times 20, then divided by 3 to get the average quarterly enrollment. The assumption there is that, up to 20 students, the course wouldn't need TA support. The denominator uses the same departmental ratio times 4 as in the regular TAFTE formula.

F) Summer Session

Summer Session
Funding Formula

Course Budget

Student Fees

Students pay a per unit fee. Fee levels are implemented according to the University's Budget. In addition to the standard per unit course fee, fees may be charged to cover other expenses as approved through the course proposal review process. The Instructional Technology (IT) fee covers the costs of computer laboratory use managed by ACS (Academic Computing Services) and Media Services. Laboratory and materials fees cover costs that are charged to Summer Session course accounts or reimbursed to departments that have directly incurred such things as special laboratory related costs. Enrichment fees are used to cover exceptional costs charged to Summer Session course accounts.

Funds Allocated to Departments

Departmental Administrative Services Pilot Program

For all departments participating in the Departmental Administrative Services Pilot Program, the department is given $500 per course and $10 per student enrollment. All enrollment-based bonuses will be determined after the 100% refund deadline per session. Additionally, The 2006 Summer Session will continue bonus payments to departments. Departments will receive $25 per student per course based on final enrollments at the end of the first week of the session (July 7 for Session I, and August 11 for Session II). All enrollment-based bonuses will be determined after the 100% refund deadline per session.

Course Supplies & Expense Budget

New for 2006, funding for Supplies and Expenses for course materials is block-funded to departments.

Instructional Support (Teaching Assistants / Readers/Tutors)

Each department takes responsibility to recruit, select, and allocate TAs and Readers/Tutors. TA/Reader/Tutor support will be block-funded to departments based on projected course enrollment. Typically 20 hours per week is considered a 50% time appointment, and 40 hours per week is considered a 100% time appointment.

Instructor Compensation & Teaching Agreements

Standard Compensation

Summer Session compensation is based on a percentage of the instructor's nine-month salary as of June 30, 2006, exclusive of administrative stipends, above-scale payments, staff appointments, increases in pay effective after June 30, 2006, or other compensation.

The maximum salary is $9,000 per course, not including any bonus.
Annual salary rates are subject to confirmation by the Summer Session Office.
Visiting faculty compensation cannot exceed the salary established for UC San Diego faculty members with the same rank and teaching assignment and is based on appropriate personnel policy.
With the exception of courses approved contingent upon enrollment, the following formula is used to determine instructor compensation:

50% appointment (**one** 3-6 unit course in one Session) = 8.5% of nine-month salary, not to exceed maximum $9,000 per course.

100% appointment (**two** 3-6 unit courses in one Session) =17% of nine-month salary, not to exceed maximum $9,000 per course.

Instructor compensation is prorated for 1-2 unit courses.

Faculty Bonuses

Course Schedule Bonus

Summer Session will continue to provide a $250 bonus to instructors for courses that begin before 10:00 a.m. or end after 5:00 p.m.

Course Enrollment Bonus

On a per course basis, instructors receive a bonus of $20 per student for enrollments 51-100, and $40 per student for enrollments above 100. All enrollment-based bonuses will be determined after the 100% refund deadline per session.

Contingent Compensation

Courses that are projected to have low enrollment often will only be offered with a compensation agreement that is contingent on actual enrollments. For a course offered based on a contingency compensation agreement, instructor salaries are based on a percentage of course fees collected, up to a maximum of 8.5% of their nine-month salary, or $9,000 per course, whichever is less.

Compensation Policies and Limits for UCSD based Instructors. University of California faculty members are limited to a maximum of three-ninths of their nine-month salary for all activities engaged in during the three-month summer period. It is the faculty members' responsibility to ensure that their research, summer teaching and other forms of support (faculty fellowships, etc.) do not exceed the limit. Maximum compensation allowed for teaching Summer Session is 33% of an instructor's nine-month academic year salary.

UCSD faculty teaching in Summer Session may teach a maximum of two 3-6 unit courses in one session to earn up to 17% of annual salary, and a maximum of two courses in each of the first and second sessions to earn up to a maximum of 33% of their nine-month salary, provided compensation does not exceed $9,000 per course.

Courses taught for shorter or longer periods of time (non-five week courses) are held to the same payroll policies. Instructors adjust class-meeting times to meet the required contact time of a minimum of 30 hours for a typical four-unit lecture course.

For VERIP/Emeritus faculty, compensation is based on the VERIP formula up to a maximum of $9,000 per course.

Instructors with UCSD Staff or Research titles must follow Academic Personnel guidelines for teaching Summer Session courses.

For UCSD faculty, the relevant compensation policies for Summer Session teaching are set forth in APM 660, 661, and 662, as well as PPM 230-43.

Taxes

The tax rate for compensation during summer depends on appointment type. Summer Session faculty with a concurrent fiscal-year appointment will be taxed based on W-4 allowances.

• Summer Session faculty with a 9/12 appointment are subject to supplemental wage taxes and are taxed at a flat rate of 25% for federal and 6% for state.

Benefits

In general, most faculty members are not eligible for benefits during summer. Benefits are based on an eligible appointment or hours worked. Summer Session appointments are not considered benefits eligible appointments. The hours worked during Summer Session do not contribute towards the hours required to maintain benefits eligibility. Faculty with a regular, ongoing benefits eligible appointment will continue to receive benefits during the summer. However, faculty and lecturers with regular appointments that end on June 30th will not receive benefits for their Summer Session appointment. COBRA and the benefits bridge are available as options to continue benefits.

For more information on benefit eligibility, please contact the benefits representative assigned to your vice chancellor area. Visit Blink's site, for a complete list of benefits representatives.

G) *Additional Computing Resources*

ADDITIONAL COMPUTING RESOURCES: LINKS, TIPS AND SAMPLE TEXT

Computer security – general
- BLINK Menu: Security: http://blink.ucsd.edu/go/security

Hardware security
- Physical Security: http://www-no.ucsd.edu/security/minstds/Physical.html
- BLINK: Securing Your Data and Work Space: http://blink.ucsd.edu/Blink/External/Topics/How_To/0,1260,16060,00.html
- BLINK: Computer Security for Laptops: http://blink.ucsd.edu/go/laptopsecurity

Tips for Securing Office Machines
- Close and lock doors of unoccupied spaces, even when you intend to be gone for only a moment.
- Install physical barriers, including door and window locks, tamper-resistant hinges, alarm systems, and other anti-theft devices.
- Install fasteners to protect equipment against earthquake damage.
- Make sure that UCSD equipment is identified via inventory stickers or other markings.
- Maintain strict key control, including the use of codes and ID cards to access spaces.
- Don't leave empty boxes outside an office or room after installing new equipment.
- Protect and back up important data on your computer. Follow safe password practices.
- Manage data in a way that reflects its sensitivity. Be aware of data that is sensitive and legally protected, whether it is displayed on screen, downloaded or printed.
- Back up data on your machine regularly and store it in a secure location separate from your computer.
- Do not overwrite backup media unless you are sure that you have a more recent, readable backup.
- Situate your computer screen so others can't easily see what is displayed on the monitor.
- Update software regularly, including anti-virus and security patches.
- Register your computer and use your assigned IP address.

Tips for Securing Laptops & other Mobile Hardware
- Set up passwords, choosing them carefully
- Safeguard data. Back up key data frequently onto floppy disks, recordable CDs, ZIP disks, or networks. Carry all backup disks separately from the laptop. Do not keep any sensitive data (e.g., Social Security number, credit cards, or other personal information) stored on your machine.
- Take defensive measures. Turn off the computer, or disconnect from the Internet, when you're not working for long periods. Use a Virtual Private Network (VPN) and a firewall if connecting from off campus. This prevents hackers from getting into your computer or the UCSD network.
- Lock up your Personal Computer Memory Card International Association (PCMCIA) card when you're not using the computer. If you need help with this, ask your desktop support person.
- Discourage thieves. These precautions make your laptop less desirable: labels and tags, alarms, cable locks, a docking station and tracking and recovery programs.

- Use special care in public or while traveling. Keep it out of sight. What thieves can't see, they can't steal. When you're not using the device, it should be in a locked area.
- Take responsibility. You're responsible for the safekeeping of UCSD-related data whenever you use the UCSD network. Follow the same policies and procedures you would if you were working on campus.

Software security (anti-virus, firewalls, security patches)

- Campus Notice: Software Sharing at UCSD: http://adminrecords.ucsd.edu/notices/2004/2004-12-13-2.html
- Security Patch Updates: http://www-no.ucsd.edu/security/minstds/Software-Patch.html
- BLINK: Keeping Your Computer Virus-Free: http://blink.ucsd.edu/Blink/External/Topics/How_To/0,1260,2469,00.html
- Order Sophos Antivirus Software: http://software.ucsd.edu/sophos/
- ACS Software Distribution Information: http://software.ucsd.edu/
- UCSD Departmental Network-based Firewall Statement: http://www-no.ucsd.edu/security/ucsd-firewalls.html
- NetOps Documentation – Firewalls: http://www-no.ucsd.edu/documentation/firewall/
- Host-Based Firewall Software: http://www-no.ucsd.edu/security/minstds/Firewalls.html

Network security

- Network Security: http://security.ucsd.edu
- Network Security: Minimum Standards: http://blink.ucsd.edu/go/networkstandards
- UCSD Minimum Network Connection Standards: http://blink.ucsd.edu/Blink/Files/newstds.pdf
- Implementing Guidelines for Minimum Standards: N http://www-no.ucsd.edu/security/minstds/impl.guide.html
- Network Security Resources: http://blink.ucsd.edu/go/networkresources
- Network Security Policy (PPM135-3): http://adminrecords.ucsd.edu/PPM/docs/135-3.pdf
- Campus Notice: Minimum Network Security Requirements: http://adminrecords.ucsd.edu/Notices/2004/2004-6-10-1.html

Data security

- Campus Notices: Your Responsibility for Securing Private Information: http://adminrecords.ucsd.edu/Notices/2003/2003-11-19-2.html and http://adminrecords.ucsd.edu/Notices/2003/2003-5-20-1.html
- BLINK: Preventing Identity Theft — Securing Personal Information: http://blink.ucsd.edu/go/idtheft
- Handling Records Containing Information on Individuals (PPM 480-3): http://adminrecords.ucsd.edu/PPM/docs/480-3.HTML
- Protection of Electronic Personal Identity Information: http://www-act.ucsd.edu/actonly/security/privatedataprocedures.pdf
- Security for Electronic Information Policy (PPM135-7): http://adminrecords.ucsd.edu/PPM/docs/135-7.pdf
- UC Business and Finance Bulletin - Electronic Information Security: http://www.ucop.edu/ucophome/policies/bfb/is3.pdf

Email and SPAM

- UC Electronic Communications Policy: http://www.ucop.edu/ucophome/policies/ec/html/
- UCSD Email Procedures and Practices: http://www.ucsd.edu/email.html
- Blink Menu: Email: http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,1970,00.html
- Managing SPAM at UCSD: http://www-no.ucsd.edu/documentation/spam/
- Access to Another Person's Email: Realities, Legalities & Proper Procedures: Booklet may be obtained by emailing postmistress@ucsd.edu

Connecting to the UCSD network

- BLINK Menu: Networks: http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,1922,00.html
- Connecting a computer from your office or lab: http://www-no.ucsd.edu/services/offices_and_labs.html
- UCSD Wireless Networking: http://www-no.ucsd.edu/wireless/
- UCSD Dial-In Service: http://www-no.ucsd.edu/dialinfo/dialinfo.html
- Virtual Private Networking (VPN) at UCSD: http://www-no.ucsd.edu/documentation/vpn/
- Configure Your Home Computer to Read E-Mail: http://www-no.ucsd.edu/documentation/application/index.html

- Tips for Connecting When Traveling: http://www-no.ucsd.edu/documentation/guides/connecting.html

UCSD computerized business systems

- Obtaining a network username and password: http://www-no.ucsd.edu/services/netusername.html
- BLINK: Creating Passwords: http://blink.ucsd.edu/Blink/External/Topics/How_To/0,1260,13716,00.html
- Passwords: http://www-no.ucsd.edu/security/minstds/Passwords.html
- BLINK: Single Sign-On: http://blink.ucsd.edu/go/sso
- BLINK: Secure System Access: http://blink.ucsd.edu/go/secure3270
- BLINK: Departmental Security Administrator (DSA): http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,2298,FF.html

Records Retention

- UC Records Management Policies: http://www.ucop.edu/ucophome/policies/bfb/bfbrmp.html
- UC Records Disposition Schedules Manual: http://www.policies.uci.edu/adm/records/721-11a.html
    - Searchable database: http://www.ucop.edu/recordsretention/

Responsible computing use

- BLINK: Responsible Computing Use Policy: http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,1815,00.html
- ACS Acceptable Use Policies: http://acs.ucsd.edu/lib/aup.php

Examples of statements you might want to include in such a policy:

- Disclosure of confidential information: It is against UCSD policy to seek out or use personal or confidential information relating to others for personal interest or advantage. Employees responsible for the collection, maintenance, use, and dissemination of information about individuals that relates to individuals' personal lives, including employment, medical history, financial transactions, marital status, and dependents, must hold this information in confidence. Unauthorized disclosure of confidential information may result in charges of invasion of privacy.
- Employees who maliciously access, alter, delete, damage, or destroy any computer system, network, computer program, or data may be charged with a felony.
- You may only use those facilities which have been authorized for your use. You are not to make your password available to others. You may not use any account set up for another user or make your own account available to other users.
- You may only use authorized facilities for authorized purposes. For example, facilities made available for teaching or research may not be used for private gain.
- You must honor the law of personal property and copyright as it affects computer software. Software must not be copied except with the express permission of the copyright owner.
- You must respect the privacy of other users. You may not attempt to access or copy information belonging to other users without their express permission.
- You may not attempt to interfere with the operation of computing or networking resources.
- You may not attempt to subvert the security of any of the University's computing or networking facilities.
- You may not use the University's computing facilities to send obscene, offensive or harassing messages.
- Failure to abide by the above rules and following conduct guidelines will be treated as misconduct and may result in disciplinary action including denial of access to university computing resources, and/or disciplinary action, including release from employment.

Methods for problem solving and change management in an environment for which you lack expertise and education:

Information gathering

- Fact find every possible element of the issue / question / change. Scrutinize each data point.
- Separate or break a whole into its many parts to discover their nature, function and relationship. Every action has an equal reaction.
- Don't be shy, ask lots of questions for clarification. Goal is to probe assumptions / reasons / evidence. Make each question probe the implications / consequences of responses. Use the old stand by of "who, what, when, where, why".
- Recognize assumptions and challenge them. Draw conclusions or inferences that are supported in or justified only by the evidence.
- Take multiple perspectives and view points on a problem. Be sure to talk with those people who have the most to gain and most to lose from any changes. Find out who your allies and enemies are.
- Recognize differences and similarities among things or situations and distinguish carefully as to category or rank.
- Recognize the importance of the existing environment and its impact on what viable options are available and / or effective.
- Think of the long-term implications and have a future-oriented approach in any resolution. Will this action / solution last for "x" amount of time or is what we are doing just a temporary Band-Aid. Include discussing planning for any consequences.

- Find relationships of data points and as needed, convert function and form to derive optimal outcome. In other words, consider the whole situation and environment relevant to outcomes.
- Research past actions to address issues and find out where / why they failed or succeeded.
- Find out what resources are available to help. Consult experts in other units to understand how they have approached a similar decision.
- What is the cost to make a decision / change, both in terms of financial, human, environmental and capital costs.
- Identify threats (human, operational, procedural, project, reputation, financial, technical, political).

Methods for Gaining Confidence / Respect from IT Staff

- Find the balance between assurance / confidence of one's reasoning abilities yet know when to rely on others input.
- Acknowledge that this is not your area of expertise, but that you expect them to help you come up to speed so that YOU can reach a decision.
- Establish a basic trust and respect through active communication.
- Share information about the big picture and ask them what they think about other issues.
- Acknowledge their ideas and plans and give them concrete feedback about why you have made a decision either for or against a suggestion.
- Open the lines of communication between your technical folks and other staff who report to you and put them on the team.

Take Action

- Map out how to rollout the change or decision, including incremental steps.
- What structural changes need to take place before the rollout / decision.
- What personnel will be impacted with rollout / decision.
- At every stage of rollout / decision, evaluate successes and failures and make modifications as necessary.
- Do a post-mortem of the actions / decisions as necessary.

UC / Other campus sites

- UC IT Policies: http://www.ucop.edu/irc/policy/
- Legislative Guidance (Internet Piracy, Anti-SPAM, etc.): http://www.ucop.edu/irc/services/itrvw.html
- Security: http://www.ucop.edu/irc/itsec/
- UC Berkeley IT Policies: http://socrates.berkeley.edu:7015/privacy/guidelines.html

State and federal legislation

- Identity Theft (AB46): http://www.leginfo.ca.gov/pub/03-04/bill/asm/ab_0001-0050/ab_46_bill_20030708_amended_sen.pdf
- Personal Information Security (SB25): http://www.leginfo.ca.gov/pub/03-04/bill/sen/sb_0001-0050/sb_25_bill_20031012_chaptered.pdf

- Personal Information Privacy (SB1386): http://www.leginfo.ca.gov/pub/01-02/bill/sen/sb_1351-1400/sb_1386_bill_20020926_chaptered.pdf
- Grahm-Leech Bliley Act (Protection of nonpublic personal information): http://www.ftc.gov/privacy/glbact/glbsub1.htm
- Family Educational Rights and Privacy Act (FERPA): http://www.ed.gov/offices/OM/fpco/ferpa/
- Federal Privacy Act of 1974: http://www.usdoj.gov/foia/privstat.htm