

**UCSF
ON-LINE PAYROLL PERSONNEL SYSTEM
(OLPPS)**

**Accountability
Handbook**

University of California, San Francisco
Administration & Finance
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I. A Statement from the Chancellor

The administration of health sciences universities has grown increasingly complex in the last decade, in great part due to external forces such as the expansion of regulatory requirements in a climate of decreasing resources. As a result, the effective operation of departments, which is essential to UCSF's missions of education, research, patient care, and public service, has become a significantly greater challenge. In the face of this challenge, the university continues to streamline and simplify administrative processes while maintaining and strengthening accountability. One such effort is the On-Line Payroll/Personnel System (OLPPS).

This "Accountability Handbook" has been created to define the roles and responsibilities of all individuals on our campus who handle critical sensitive payroll/personnel issues, positions that require strong accountability standards. In an increasingly streamlined and decentralized environment, implementing and maintaining the procedures listed within these pages will lead to the assurance that university policies and procedures will consistently be applied within departments. This Handbook, complementing the UCSF Code of Conduct and the UCSF Administrative Policy Guide, will be extremely useful to departmental personnel, from entry/update processors to Chairs/Department Heads. I encourage you to refer to the resource documents in order to ensure sound and ethical departmental processes on the UCSF campus.

J. Michael Bishop, M.D.
Chancellor
University Professor

II. General Management Responsibilities

The Chancellor has delegated, through the Dean of each school, Vice Chancellor, and Medical Center Director, the administrative and financial responsibility for the operation of their departments to the Department Chairs/Heads of Units or equivalent management personnel. In this handbook, the term “Department Chair/Head of Unit” includes such positions as clinical and administrative officers in the Medical Center and the Campus.

Although the Department Chairs/Heads of Units can delegate some of the responsibilities listed below, “accountability” for each cannot be delegated. Department Chairs/Heads of Units are legally, ethically, and financially accountable for the following department activities:

1. Compliance with all applicable laws and regulations, University policies and procedures, and the terms and conditions of gifts, contracts, and grants;
2. Maintenance of sound financial condition of the department as well as good business practices;
3. Establishment of an effective system of internal controls;
4. Administration of a department that is consistent with established practices and has the principles of fairness, rationality, and due process;
5. Administration of human resources to effectively utilize employees and appropriately reflect the diversity of the work force; and,
6. Assurance that personnel action is taken, when appropriate, in response to violations of policy and procedure.

The Department Chairs/Heads of Unit may assign duties to the Business Officer/Management Services Officer (MSO) to assist in carrying out these administrative and financial responsibilities.

The Department Chair/Head of Unit and Business Officer/MSO are not expected or required to have in-depth knowledge of the myriad of laws, codes, and policies listed in the “Resource Documents” section of this handbook. Campus administrative support units are responsible for providing expertise and guidance in establishing systems and procedures to carry out the aforementioned responsibilities and for assistance with problem resolution.

Please Note: The responsibilities listed for the department chairs throughout this handbook are not all-inclusive, nor do they supplant a job description.

III. Specific OLPPS Roles and Responsibilities

Certain functional roles are defined for OLPPS. To support these roles, specific assignment of accountability and responsibility should be established by department managers so there are clear expectations and standards against which performance can be evaluated and employees can receive timely and honest feedback on their performance. With respect to issues of departmental accountability within OLPPS, particular focus is appropriate on the roles and responsibilities of the Department Chair/Head of Unit, Business Officer/Management Services Officer (MSO), and Payroll/Personnel Administrator, as well as the functions of “Preparer,” “Transaction Reviewer,” and “Ledger Reviewer.” These important roles are summarized below.

Department Chair/Head of Unit

The Department Chair/Head of Unit is responsible and accountable for establishing and implementing unit policies and procedures and for having administrative and financial responsibility for the operation of his/her unit. For purposes of OLPPS, the Department Chair/Head of Unit has the following specific responsibilities:

- Reviews and approves the delegation of responsibility structure to ensure it follows accepted principles including separation of duties while maintaining a current written listing of the separation of duties;
- Reviews official record of delegations on an annual basis or whenever major changes in delegation or personnel occur;
- Reviews and approves back-up plans including the assignment of backup personnel;
- Provides the environment necessary to support ethical and appropriate use of OLPPS;
- Is accountable and primarily responsible for ensuring that personnel responsible for OLPPS processing are supported in their duty to refuse to process a transaction that violates internal or external policy as well as ensures that transactions are processed in a timely and accurate manner and in compliance with internal and external policy; and,
- Is responsible for reporting allegations of misuse and misconduct to appropriate UCSF personnel.

Business Officer/Management Services Officer (MSO)

The Business Officer/Management Services Officer (MSO) serves as the chief business and financial officer for the department/unit and is expected to provide financial advice and assistance to the Department Chair/Head of Unit in fulfilling management responsibilities. Specific Business Officer/MSO responsibilities related to OLPPS include:

- Determining which personnel will be delegated the responsibility for entering/reviewing OLPPS transactions and ensuring they are appropriately skilled, knowledgeable, and have the necessary computer hardware and software;
- Monitoring the effectiveness of the delegations to ensure they are secure, accurate, current, and in compliance with policies;
- Ensuring that personnel responsible for OLPPS transactions receive OLPPS training and understand and perform their functions in accordance with all policies, guidelines, laws, and regulations;
- Establishing policies and procedures for processing, documenting, and recording actions associated with or preceding OLPPS transactions;
- Periodically reviewing departmental procedures to ensure that processes are performed as designed;
- Providing support for personnel responsible for OLPPS transactions if pressure is brought to bear on them to process an inappropriate transaction. It is the responsibility of the Business Officer/MSO to support the right and duty of the processor to refuse to process an inappropriate transaction. If necessary, the Business Officer/MSO will elicit and receive support of the Department Chair/Head of Unit for support of ethical and appropriate actions. If further support is necessary, responsibility and accountability rests successively up the chain of command. No one in the chain of command will be disciplined for refusing to transact an inappropriate, unethical, or illegal action. Support for ethical decisions should be included in performance standards and be addressed in performance reviews; and,
- Ensuring that all necessary steps are taken to correct OLPPS transaction inaccuracies in combination with personnel actions deemed appropriate.

Payroll/Personnel Administrator

The Payroll/Personnel Administrator is responsible for accurate and timely processing of salary, benefits, and personnel actions for the unit or department. In a large department, this person may supervise a number of staff who perform the actual processing. In a small department this role may be one of many performed by the Business Officer/MSO.

For the purposes of OLPPS, the Payroll/Personnel Administrator is the departmental lead functional expert, providing payroll/personnel policy, procedure, and processing expertise to others in the unit. The Payroll/Personnel Administrator is the point person for communication to and from central administrative units regarding payroll/personnel matters and will be expected to communicate pertinent information to affected personnel in their unit.

Entry/Update Preparer, Mandatory Reviewer, and Ledger Reviewer

OLPPS relies on a post-audit system of transactions. Consequently, proper checks and balances need to be in place to ensure effective internal controls.

Responsibility for OLPPS must be divided between a minimum of three people: a Preparer, a Mandatory Reviewer, and Ledger Reviewer. Access levels within OLPPS must ensure that this segregation is maintained so that no one person has the ability to both enter or update and approve payroll/personnel data. In addition, individuals cannot enter, update, or approve their own payroll/personnel data. The roles and responsibilities are outlined below.

Entry/Update Preparer

- Must have a written document assigning preparer responsibilities (e.g. job description or memorandum).
- Must have obtained “Entry/Update Preparer” certification through the campus “Entry/Update” course offered through Human Resources–Development & Training.
- Must understand basic policy and other regulatory requirements.
- Must understand the purpose of the transaction.
- Must review written documents to ensure transactions have been authorized by the appropriate department, school, and/or campus agency via written approval prior to executing the transaction. Without written approval, it must not be assumed that a senior manager or Department Chair/Head of Unit has approved the transaction. Without written documentation of approval, data cannot be entered into OLPPS.
- Must ensure appropriate and accurate data are entered into the system.
- Must have necessary knowledge to respond to on-line edits or error messages.
- Is accountable for transactions entered into the system and for maintaining integrity of his/her log-on ID;
- Must maintain and file appropriate records of actions associated with or preceding OLPPS transactions.
- It is the responsibility and duty of the Preparer to refuse to process an inappropriate transaction.
- Is responsible for reporting allegations of misuse and misconduct to appropriate UCSF personnel.
- Arranges for back-up coverage during absences with assigned Back-up Entry/Update Preparer.

Mandatory Reviewer

- Must have a written document assigning mandatory reviewer responsibilities (e.g. job description or memorandum).
- Reviews entries for approval, appropriateness, and accuracy against source documents.
- Documents, in writing, the approval of a transaction, with date of approval.
- Promptly resolves questions that arise from a transaction review.
- Ensures that erroneous transactions are corrected promptly.
- Arranges for back-up coverage during absences with assigned Back-up Reviewer.
- Maintains a record of all post-authorization notices for all transactions.

Ledger Reviewer

- Must have a written document assigning ledger reviewer responsibilities (e.g. job description or memorandum).

- Reviews transactions, monthly, as they appear in the ledger compared against original source documents and/or budget projections.
- Resolves questions, promptly, that arise from the ledger review.
- Ensures that erroneous transactions are corrected promptly.
- Arranges for ledger review back-up coverage during absences with assigned Back-up Ledger Reviewer.

Backup Entry/Update Preparer/Mandatory Reviewer/Ledger Reviewer

The Backup Entry/Update Preparer/Mandatory Reviewer/Ledger Reviewer must be able to fulfill the roles and responsibilities previously described for each position (these roles are not to be performed simultaneously by the same individual). The use of preparers and reviewers that serve more than one department is known as “clustering” and is beneficial to smaller departments where the separation of duties is not possible. Schools may be able to provide departments with back-up in their Deans’ offices. In any case, back-up arrangements should be made at the same time as primary assignments so that coverage is in place in the event of illness or emergency.

In addition to backup roles, departments should make arrangements for backup workstations in the event of computer or network failure.

Central Campus Departments

In Central Campus Departments such as Academic Personnel, Human Resources, and Payroll, staff provides a variety of services to assist departments. Those services include expertise in providing assistance in interpreting policy and legal requirements, formal and informal training, and compliance monitoring. A summary of the pertinent central campus departments and the services they offer are included in the “Resource Departments” section of this handbook.

Who Should Have OLPPS Access

Access should be limited to those who have a business need to see the information available in the OLPPS and other administrative applications. This would include payroll/personnel processors, mandatory reviewers, decision-makers, and staff who support decision-makers.

Individual Accountability

Access to the OLPPS is granted to employees by the Department Manager for the performance of payroll/personnel related job duties. Access is provided by the department’s “Access Administrator” via a written request from the Department Manager. Individual accountability is described below.

- OLPPS access is provided only after an employee has taken related training courses through Human Resources–Development and Training: Inquiry for Inquiry access only and both Inquiry and Entry/Update for updating access.
- For Entry/Update, access is only provided after the employee provides

certification documentation.

- An OLPPS userid is considered equivalent to a signature. It is not to be given or shared with any other person. An employee is responsible for all access and entries made under his/her userid.
- Proper password security is to be maintained. Passwords should not be shared. Passwords are to be changed on a routine basis, by the user, as prompted by the system (or more frequently, if the user prefers).
- Computer terminals are to be used only for the legitimate University business that an employee has been explicitly authorized to perform as stated in his/her job description.
- Proper physical security of the University payroll system is to be maintained by locking the computer or logging off when leaving a workstation/terminal unattended.
- Privacy and confidentiality of all accessible data is to be maintained and is not to be shared.
- When logging into OLPPS, users acknowledge that they understand and agree to abide by the above policies.
- It is against University policy for employees to seek out or use personal or confidential information relating to others for their own interest or advantage.

Policy Compliance

Departments are accountable for policy compliance and full understanding of all relevant policies. Failure to comply with UCSF policies, rules, and applicable regulations is a serious breach of responsibility and may result in disciplinary action up to and including dismissal. Further, any violation of local state or federal laws may carry the additional consequence of prosecution under the law, where judicial action may result in specific fines or imprisonment, or both; plus the costs of litigation or the payment of damages or both; or all.

It is a fundamental policy that no UCSF Department Chair/Head of Unit, Business Officer/MSO, or manager/supervisor shall ask or expect an employee to do anything that is in conflict with the law or University of California policy.

IV. Informal Conflict Resolution - *Addressing Issues and Concerns*

Employees are encouraged to discuss questions or concerns with their immediate supervisor. If this is not practical or issues or conflicts arise that cannot be resolved between the individual and the immediate supervisor, the individual should raise the concerns through the department administrative or academic hierarchy. This may include the next level of manager, the department head, and the office of the dean or vice chancellor where the unit reports. Faculty with concerns or questions should discuss them with the department chair. MSOs and department chairs encountering ethical conflicts involving any campus member are expected to work through the associate dean of the school or the office of the vice chancellor to which they report.

Students with questions or concerns should speak with their faculty of record or advisor, contact the Student Affairs Office in their school, or contact the Office of Student Relations for assistance.

Under University policy, individuals are encouraged to use the University Whistleblowing Policy if they have a good faith belief that an activity occurred or is continuing to occur that is not in compliance with federal or state law or University policy. Such individuals are protected from retaliation for making such a ‘protected disclosure’. A confidential “protected disclosure” may be made to the campus Whistleblower Coordinator, Compliance Program for the UCSF School of Medicine and the UCSF Clinical Enterprise, or any campus administrator, director, manager, or supervisor. Any supervisor or manager who receives a “protected disclosure” is expected to consult with UCSF’s Whistleblower Coordinator. Details on this policy may be found at the following campus web site address: <http://whistleblower.ucsf.edu/>.

Additional campus resources for discussing these concerns are listed in “Resource Departments” and “Resource Documents” sections of this manual. Contact points for reporting some common concerns are as follows:

Medicare/Medi-Cal Billing	
Clinical Compliance Program	502-2790
Misuse of University Resources	
Audit and Management Services	476-3851

Scientific Misconduct

Academic Associate Deans

School of Dentistry 476-4637

School of Medicine 476-1977

School of Nursing 476-4320

School of Pharmacy 476-4637

Vice Chancellor, Academic Affairs 476-4451

UCSF Whistleblower Coordinator

3333 California St., Ste. 305 (Laurel Heights)

Box 0832

1-877-256-9372 (toll free)

Confidential Fax: (415) 514-0400

V. Resource Departments

Academic Personnel

<http://www.ucsf.edu/acpers/>

Academic Personnel is part of the UCSF Academic Affairs Office. This office provides resources to schools and departments and works in concert with academic Deans on issues relating to personnel and programmatic actions, including academic personnel reviews, compensation plans, interpreting and communicating policy, space allocation, and monitoring appropriateness of time committed to outside professional activities.

Contact: Academic Personnel
C116 (Clinical Sciences Bldg.; 521 Parnassus Avenue)
476-4574; 476-8123; Box 0652 (fax: 476-5989)

Accounting Office (including Payroll Services)

<http://acctg.ucsf.edu/>

The Accounting Office provides financial and payroll services in support of the University's mission of instruction, research, patient care, and public service. This office is responsible for the operation of the On-Line Payroll/Personnel System and the On-Line Financial System which both include the following functions: payroll and non-payroll disbursements; cash management for student loans, governmental, and private funding sources; maintaining the General Ledger, the official book of accounts and required supporting documents; preparing and distributing financial reports; providing guidance and training to the campus on all applicable policies, procedures, and regulations relating to the On-Line Payroll/Personnel System and On-Line Financial System.

Contact: Accounting Office
1855 Folsom St., Room 425 (Mission Center Building)
476-1247; Box 0812 (fax: 476-9978)

Affirmative Action, Equal Opportunity & Diversity, Office of

<http://www.aaeo.ucsf.edu/>

This department fosters equal opportunity for all persons involved with UCSF, promotes diversity, and provides consultation and advice on the application of relevant laws, regulations, and policies. It is the goal of the Department of Affirmative Action, Equal Opportunity & Diversity to support the implementation of diversity at all levels of the campus community.

This Office can be contacted for assistance with compliance monitoring and interpreting policy and legal requirements.

Contact: Office of Affirmative Action, Equal Opportunity & Diversity
3333 California St., Ste. 101 (Laurel Heights)
476-4752; Box 0988 (fax: 476-6299)

Audit & Management Services

<http://www.ucsf.edu/ams/>

Internal audit is campus management's independent review and advisory function. The objective of the internal audit program is to strengthen management effectiveness by identifying opportunities to improve UCSF's operating efficiency while promoting a cost-effective control environment. Audit Services also coordinates and monitors all external audits conducted at UCSF to help ensure fair, consistent, and equitable results for the campus, the individual department/auditee, and the auditor.

Contact: Audit & Management Services
 1855 Folsom St., Room 107 (Mission Center Building)
 476-3851; Box 0818 (fax: 476-3326)

Compliance Program for the UCSF School of Medicine and the UCSF Clinical Enterprise

<http://www.som.ucsf.edu/som/admin/compliance/>

The Compliance Program has been developed to ensure that guidelines issued by payers (Medicare, Medi-Cal, etc.) delineating requirements for billing in an academic medical center are an integral part of the business practice of all faculty, house staff, employees and billing agents. It is within this framework of integrity and ethical behavior that the Compliance Program reiterates and clarifies the policies concerning billing for the provision of professional patient care services. This Office investigates and resolves questions pertaining to potential noncompliance. Any health care provider or staff member may call the Compliance Program office to report concerns or solicit advice.

Contact: Compliance Program
 1855 Folsom St., Room 506 (Mission Center Building)
 502-2790; Box 1350 (fax: 502-4020)
 Compliance hotline for anonymous reporting: 502-8448

Faculty Relations

Faculty Relations is part of the UCSF Academic Affairs Office. This office administers/coordinates University policies and procedures relating to academic employee relations including: terms and conditions of academic employment, faculty rights, privileges and responsibilities, faculty misconduct, discipline, and related ethical and legal issues, and the academic review process.

As the academic and administrative leader of a department, the Chair/Head of Unit has overall responsibility for the management of the department.

Contact: Faculty Relations
 S115 (Medical Sciences Bldg.; 513 Parnassus Avenue)
 514-0266; Box 0400 (fax: 476-0816)

Human Resources - Campus

<http://ucsfhr.ucsf.edu/>

Benefits and Financial Planning (Employee Support Services)

Benefits and Financial Planning is the primary resource on matters relating to university sponsored health and welfare plans and retirement and savings programs. To staff responsible for benefits administration in each department, Benefits/Financial Planning provides training on UC's Group Insurance Regulations and Plan content; guidance on Retirement System rules and regulations; disseminates current information about the UC sponsored plans and programs so that there is updated reference material available in each department; and resolves problems or answers department questions relating to benefits eligibility. Benefits/Financial Planning also conducts benefits orientation for employees newly eligible for benefits and presents programs to all faculty and staff on topics such as financial education and retirement planning. Benefits/Financial Planning provides individual counseling to faculty and staff on retirement, disability, and financial planning.

Contact: Human Resources-Benefits/Financial Planning
3333 California St., Ste. 330 (Laurel Heights)
476-1400; Box 0918 (fax: 476-2328)

Compensation Services (Client Services Center)

This unit serves as a resource to departments on questions related to staff personnel transactions and coordinates the processing of merit and range adjustments and performance awards. This unit calculates service points for layoff and processes Unemployment Insurance claims.

Contact: Human Resources-Client Services Center, Compensation Services
3333 California St., Ste. 305 (Laurel Heights)
476-3905; Box 1202 (fax: 476-4449)

Development and Training

Development and Training offers courses and programs designed specifically for UCSF staff employees to increase their effectiveness in their current positions as well as to contribute to their professional development. In addition to numerous short courses, the unit provides departmentally-customized workshops and consultations, the Management Skills Assessment Program, the Supervisory Training Program, and the Management Certificate Program for business managers. A current listing of training and development courses is circulated through a quarterly bulletin and is also published in the campus newspaper, Newsbreak. The Management Planning Guide describes the yearly course offerings.

Contact: Human Resources-Development & Training
3333 California St., Ste. 305 (Laurel Heights)
476-4032; Box 0834 (fax: 476-6276)

Disability Management Services (Employee Support Services)

The Disability Management Services unit coordinates services and activities directed toward disability prevention as well as the retention and rehabilitation of

disabled employees. In addition, vocational rehabilitation services are provided to eligible employees who can be productively retrained and/or reemployed. Development of rehabilitation/reemployment plans is undertaken by the staff for employees receiving Workers' Compensation, Short/Long Term Disability, and UCRP Disability Income. This unit provides technical assistance and information regarding workers' compensation and related issues such as extended sick leave, claim management, policies about return-to-work, limited duty and rehabilitation, and risk analysis.

Contact: Human Resources-Disability Management Services
3333 California St., Ste. 330 (Laurel Heights)
476-2621; Box 0964 (fax: 476-2328)

Faculty and Staff Assistance Program (Employee Support Services)

The Faculty and Staff Assistance Program (FSAP) is a confidential assessment and referral service, within HR, designed to assist faculty and staff employees whose personal problems may be adversely affecting their work performance. Limited counseling sessions are also available to UCSF students and family members. Consultation services are available to assist supervisors and managers in resolving staff conflicts and offer advice on how to effectively approach and refer an employee with personal problems.

Contact: Human Resources-Faculty and Staff Assistance Program
3333 California St., Ste. 293 (Laurel Heights)
476-8279; Box 0938 (fax: 476-6183)

Labor/Employee Relations (Client Services Center)

The Labor/Employee Relations unit of Human Resources is the primary resource to department Business Officer's/MSO and other department personnel charged with the responsibility for the administration of Human Resources policies and labor contracts. This unit provides advice and counsel concerning policy interpretation and legal requirements, ongoing practices, appropriate application of policy and procedures, changes in policy and law, and grievance and administrative appeals. The Labor/Employee Relations unit is responsible for advising and recommending disciplinary/corrective actions and also functions as an advocate in arbitration and hearings before outside agencies on behalf of the University.

Contact: Human Resources-Client Services Center, Labor/Employee Relations
3333 California St., Ste. 305 (Laurel Heights)
476-3905; Box 1202 (fax: 476-3278)

Staffing Unit (Client Services Center)

The Staffing unit of Human Resources has ultimate responsibility for the assignment of classifications to individual positions, as well as approving exceptions to normal pay practices in all categories of staff employment. Departments describe the duties and responsibilities of a particular position, and the Staffing unit classifies the position, ensuring classification equity and consistency on campus. The unit assesses the external labor markets and makes recommendations to the Office of the President to effect systematic changes or to

establish or modify job classes to address changes dictated by operational needs of the campus. This unit is also responsible for staff recruitment, applicant screening, and placement for staff employees, in compliance with UC policies as well as federal and state laws and regulations. The unit also coordinates staff transfers, promotions, and preferential rehires as well as administering the Temporary Employment Program.

Contact: Human Resources-Client Services Center, Staffing Unit
3333 California St., Ste. 305 (Laurel Heights)
476-3905; Box 1202 (fax: 476-4449)

Human Resources – Medical Center

<http://hr.ucsfmedicalcenter.org/>

Contact: Medical Center Human Resources
2233 Post St., Ste. 302
353-4688; Box 1795 (fax: 353-4690)

Contact: Medical Center Human Resources
350 Parnassus Ave., Ste. 210
514-4689; Box 0914 (fax: 514-4912)

Information Technology Services (ITS) Customer Support

<http://www.ucsf.edu/its/help/>

ITS Customer Support facilitates effective and efficient use of On-Line Administrative Systems in support of campus departmental missions. In support of the Customer Support mission, ITS Customer Support will: Efficiently resolve, or facilitate resolution of, clients' problems regarding use of On-Line Administrative Systems (i.e. On-Line Payroll/Personnel System and On-Line Financial System); develop and maintain, in association with Customer Support's clients, Service Level Agreements which specify services and support available to Administrative Systems users; meet mutually-defined client needs for accurate and timely functional information and technical support for all ITS supported computing products and services; develop and/or modify existing support methodologies as the campus implements additional administrative or financial computing systems; coordinate user support drawn from service providers in separate organization units across the organization; track problems and problem resolution; and, coordinate development and facilitate distribution of up-to-date user documentation.

Contact: Information Technology Services – Customer Support
250 Executive Park Blvd., Ste. 200
502-3727; Box 0704 (email: itscs@its.ucsf.edu)

Internal Controls and Accountability Unit

The Internal Controls and Accountability Unit promotes the development and performance of effective internal controls over UCSF's business operations. The unit also provides training in ethics and internal controls as well as reviews policies and procedures for control efficacy.

Contact: Internal Controls and Accountability
3333 California Street, Suite 295 (Laurel Heights)
514-2886; Box 1338 (fax: 502-7476)

Legal Affairs

The Office of Legal Affairs is responsible for providing legal counsel to campus offices and departments, in coordination with the Office of General Counsel to the Regents. This office reviews and/or drafts agreements and other documents used on campus. Additional functions performed are conflict of interest coordination and information practices matters such as personal privacy and access to records containing personal information.

Contact: Office of Legal Affairs
MU 249E (Millberry Union; 500 Parnassus Avenue)
476-5003; Box 0986 (fax: 476-0832)

Payroll Services (see "Accounting Office")

<http://acctg.ucsf.edu/>

Problem Resolution Center

<http://www.ucsf.edu/resolve/>

The Problem Resolution Center (PRC) was launched under the Campus-wide Supportive Work Environment Initiative and is committed to providing individuals with a safe, neutral process for the resolution of conflict. The PRC is the nucleus for an exchange of activities, programs, services and teachings on conflict management, prevention, and resolution. As such, it is a resource for all individuals of the campus community and collaborates with various professionals to help all levels of the university hone skills that are useful in work and life. One program provided by the PRC is the Campus Mediation Program.

Contact: Problem Resolution Center (UCSF Work~Life Resource Center)
3333 California St., Ste. 309 (Laurel Heights)
502-1082; Box 1264 (fax: 502-9675)

UCSF Campus Administration

<http://www.ucsf.edu/administration/index.html>

UCSF Medical Center Administration

<http://www.ucsfhealth.org/adult/about/index.html>

UCSF Medical Center – Compliance Program

<http://www.ucsfhealth.org/adult/compliance/index.html>

See description under “Compliance Program for the UCSF School of Medicine and the UCSF Clinical Enterprise.”

Contact: Compliance Program
1855 Folsom St., Room 506 (Mission Center Building)
502-2790; Box 1350 (fax: 502-4020)
Compliance hotline for anonymous reporting: 502-8448

Whistleblowing Coordination

<http://whistleblower.ucsf.edu/>

Any person may make a confidential good faith report alleging improper activity (a “protected activity”) under this policy. Improper activity is defined as any activity by UC or a UC employee that violates any state or federal law or regulation (e.g., corruption, malfeasance, bribery, theft or misuse of government property, fraud, coercion, or conversion); or wastes money, or involves gross misconduct, incompetency, or inefficiency.

A “protected disclosure” may be made to the campus Whistleblower Coordinator or any campus administrator, director, manager, or supervisor. This may be done either in writing or orally and may be anonymous. A disclosure should provide as much specific factual information as possible. Confidentiality will be maintained to the extent possible.

The Whistleblower Coordinator has the responsibility and authority to determine if an investigation is warranted, assign cases to investigators, receive findings and recommendations from investigations, extend time frames, make final decisions, and communicate findings to affected parties.

Protection from retaliation: If you believe you have been retaliated against for whistleblowing, you may file a complaint with the Human Resources department, Academic Personnel Office, or your supervisor.

Whistleblowing Resources: Academic Personnel Office 476-4574; 476-8123
Human Resources 476-3905

To report an improper activity: UCSF Whistleblower Coordinator
3333 California St., Ste. 305 (Laurel Heights)
Box 0832
1-877-256-9372 (toll free)
Confidential Fax: (415) 514-0400

VI. Resource Documents

Code of Conduct Handbook: <http://ucsfhr.ucsf.edu/policies/finalcc.pdf>

Conflict of Interest: Full copies of the material can be obtained from the office of the Vice President . Academic Affairs and UC System wide Human Resources if not readily located through other University sources.

- Conflict of Interest (APG #150-10) (<http://policies.ucsf.edu/>)
- Conflict of Interest Code (financial) (<http://www.ucop.edu/ogc/coi/econinterest.html>)
- Fair Political Practices Act (FPPA)
- Independent Consultants, Business and Finance Bulletin BUS-34
- Instructions to Review and Appraisal Committees, Academic Personnel Manual
- Internal Audit Code of Ethics
- Policies on Appointment of Near Relatives
- Policy on Additional Compensation for Services as Faculty Consultant, Academic Personnel Manual
- Policy on Outside Professional Activities for Faculty Members
- Policy on Outside Professional Activities for Senior Management Group Members
- University of California Police Rules and Regulations
- University Policy on Faculty Conduct and Administration of Discipline, including the Faculty Code of Conduct
- University Regulation No. 3, Privileges and Duties of Members of the Faculty
- University Regulation No. 4, Special Services to Individuals & Organizations
- University Regulation No. 5, Academic Freedom

General

- UCSF Campus Administrative Policies (<http://policies.ucsf.edu/>)
- UCSF Employee Handbook (<http://ucsfhr.ucsf.edu/pubs/eehandbo.pdf>)
- UCSF Human Resources - Client Services Guide (<http://ucsfhr.ucsf.edu/pubs/newguide.html>)
- University of California Business & Finance Bulletin (<http://www.ucop.edu/ucophome/policies/bfb/>)
- University of California Accounting Manual (<http://www.ucop.edu/ucophome/policies/acctman/>)

Government Contracts and Grants

- Contract and Grant Manual (<http://www.abs.uci.edu/depts/mailrec/uci-ppm/procs/700/721-11a.html>)
- PHS Grants Policy Statement
- HHS Departmental Grants Administration Manual
- Office of Management & Budget Circulars:
 - ◆ A-21 Cost Principles for Education Institutions
 - ◆ A-110 Grants and Agreements with Institutions of Higher Education, Hospitals and other Nonprofit Organizations
 - ◆ A-133 Audits of Institutions of Higher Education
- UCSF Cost Transfer Manual for Government Funds

Policy Manuals/Handbooks

- Academic Personnel Manual (<http://www.ucop.edu/acadadv/acadpers/apm/welcome.html>)
- Academic Senate Manual (<http://www.ucop.edu/senate/manual/mantoc.html>)
- Campus Code of Conduct (<http://ucsfhr.ucsf.edu/policies/finalcc.pdf>)
- Collective Bargaining Agreements (<http://ucsfhr.ucsf.edu/policies/cbas.html>) (<http://ucsfhr.ucsf.edu/policies/othrindx.htm>)
- Faculty Handbook (<http://www.ucop.edu/acadadv/acadpers/handbook/welcome.html>)
- On-Line Financial Systems Manual (<http://acctg.ucsf.edu/>)
- Personnel Policies for Staff Members (<http://www.ucop.edu/humres/policies/ppsm.html>)
- Senior Management Personnel Policies (PPSM-Appendix II) (<http://www.ucop.edu/humres/policies/app2toc.html>)
- OLPPS Weblinks Manual (<http://acctg.ucsf.edu/>)

Other Policies

- Affirmative Action Plan (http://www.aaeo.ucsf.edu/AA_Plan.htm)
- By Laws and Standing Orders of the Regents (<http://www.ucop.edu/regents/bylaws/>)
- Complaint Resolution – Campus Guideline to PPSM 70 (<http://ucsfhr.ucsf.edu/policies/ppsm70cover.html>)
- Critical Position Background Check (APG #150-18) (<http://policies.ucsf.edu/>)
- Department of Motor Vehicles Pull Notice System (APG #150-22) (<http://policies.ucsf.edu/>)
- Electronic Communications Policy (<http://www.ucop.edu/ucophome/policies/ec/>)
- Records Management Disposition Schedules (records retention) (<http://www.abs.uci.edu/depts/mailrec/uci-ppm/procs/700/721-11a.html>)
- Search Firm Guidelines and Procedures (<http://ucsfhr.ucsf.edu/policies/searchfirm.html>)
- Sexual Harassment Policy (<http://www.ucsf.edu/oshpr/fullpoli.html>)
- Sexual Violence Policy (APG #150-29) (<http://policies.ucsf.edu/>)
- Staffing, Classification, and Compensation Guidelines (<http://ucsfhr.ucsf.edu/staffing/scguidelines.html>)
- Substance Abuse in the Workplace (APG #150-11) (<http://policies.ucsf.edu/>)

- Title and Pay Plans (<http://ucsfhr.ucsf.edu/staffing/tpp/>)
- Whistleblower/Retaliation Policy: Reporting Improper Governmental Activities and Protection Against Retaliation (<http://whistleblower.ucsf.edu/>)
- Workers' Compensation Information (<http://ucsfhr.ucsf.edu/dismgmt/workcomp/index.html>)
- Zero Tolerance Standard for Workplace Violence (<http://ucsfhr.ucsf.edu/policies/zerotolr.html>)

Laws

- Age Discrimination in Employment Act of 1967
- Americans with Disabilities Act of 1990
- California Fair Employment & Housing Act
- Civil Rights Act of 1991
- Equal Pay Act
- Executive Order 11246
- Fair Labor Standards Act
- Pregnancy Discrimination Act of 1979
- The Higher Education Employer-Employee Relations Act
- Title VII of the Civil Rights Act of 1964
- Vietnam Era Veterans Readjustment Act of 1974
- Sections 503 and 504 of the Vocational Rehabilitation Act of 1973
- Family and Medical Leave Act

Note: Some of the above listed “Laws” require mandatory posting. A “5-in-1” poster is available, for campus staff, through the Human Resources-Client Services Center at 476-3905 and, for Medical Center staff, via Medical Center Human Resources at 353-4688 to fulfill this requirement. This poster must be posted in visible employee locations (e.g. lobbies, break rooms, etc). The “5-in-1” poster includes the following labor laws:

- Consolidated Equal Employment Opportunity information;
- Employee Polygraph Protection Act of 1988;
- Family and Medical Leave Act of 1993.
- Federal minimum wage plus Fair Labor Standards Act (FLSA) information; and,
- Occupational Safety and Health Act of 1970.

Failure to post this information may result in Federal penalties for non-compliance.