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Personnel Policies for Staff Members

Employment

21.E. Appointment - Background Checks - Systemwide Guidelines on Designating Critical Positions

September 1, 2006

Local procedures shall be implemented in accordance with the following Systemwide Guidelines on Designating Critical Positions.

Critical Elements of Critical Positions	Examples of Occupations/Positions to guide determination of Individual Critical Positions*	Examples of Critical Position Functions or Tasks*	Required Background Checks**
1. Master key access to residence and other facilities.	<ul style="list-style-type: none"> ⌘ Building Engineers ⌘ Custodians ⌘ Facilities personnel ⌘ Locksmiths ⌘ Network/IT personnel ⌘ SMG positions (as appropriate) ⌘ Telecommunications Services Managers 	<ul style="list-style-type: none"> ⌘ Access to Master Keys ⌘ Access to offices for equipment repair ⌘ Access to residences and other facilities for ongoing maintenance ⌘ Maintain building security 	Criminal Conviction Record
2. Direct responsibility for the care, safety and security of humans or animals; or the safety and security of personal and University	<ul style="list-style-type: none"> ⌘ Animal care personnel ⌘ Camp counselors ⌘ Childcare services personnel ⌘ Coaches ⌘ Counseling Services personnel ⌘ Dispatchers ⌘ Health and Safety personnel ⌘ Recreation instructors ⌘ Resident hall 	<ul style="list-style-type: none"> ⌘ Access to laboratories ⌘ Access to computers and other valuable equipment ⌘ Oversee 4-H Activities ⌘ Provide employee or student counseling and 	Criminal Conviction Record

property.	<ul style="list-style-type: none"> managers ⌘ SMG positions (as appropriate) ⌘ Student Affairs Officers 	<ul style="list-style-type: none"> advice services ⌘ Provide services for children and minors ⌘ Provide emergency care services ⌘ Work with research animals 	
3. Direct access to or responsibility for cash and cash equivalents (as defined by Business and Finance Bulletin, BUS-49) or University property disbursements or receipt.	<ul style="list-style-type: none"> ⌘ Business and Accounting Managers ⌘ Cashiers ⌘ Collection Managers ⌘ Mail Services ⌘ Management Services Officers ⌘ SMG positions (as appropriate) ⌘ Storekeepers 	<ul style="list-style-type: none"> ⌘ Cashiering ⌘ Check printing ⌘ Check writing ⌘ Distribution of employee salary or reimbursement checks ⌘ Handling/receipt of development funds ⌘ Invoice approval and payment ⌘ Petty cash disbursement ⌘ Postage meter use 	Criminal Conviction Record
4. Direct access to or responsibility for controlled substances or hazardous materials.	<ul style="list-style-type: none"> ⌘ Custodians ⌘ Dentists ⌘ Lab personnel ⌘ Nurses ⌘ Pharmaceutical services staff ⌘ Physicians ⌘ Staff research associates 	<ul style="list-style-type: none"> ⌘ Access to drugs in clinical or research environments ⌘ Access to potentially hazardous chemicals ⌘ Access to radioactive and nuclear materials ⌘ Dispense prescription medication ⌘ Maintain drug formulary 	Criminal Conviction Record
5. Extensive authority for committing the financial resources of the University.	<ul style="list-style-type: none"> ⌘ Architects ⌘ Buyers ⌘ Controllers or Financial Managers ⌘ Deans of Administration ⌘ Directors/Managers of Purchasing, Computing, and Contracts ⌘ Engineers ⌘ Other SMG positions 	<ul style="list-style-type: none"> ⌘ Approve insurance payments ⌘ Approval of contracts ⌘ Bid and RFP approvals ⌘ Commit funds for programs and projects ⌘ Vendor or product 	Criminal Conviction Record

	(as appropriate)	approval	
	<ul style="list-style-type: none"> ⌘ Senior Managers (UCOP) ⌘ Vice Chancellor of Admin/budget 		
6. Responsibility for operating commercial vehicles, machinery or toxic systems that could cause accidental death, injury, or health problems.	<ul style="list-style-type: none"> ⌘ Automotive technicians ⌘ Equipment Operators ⌘ Environmental Health and Safety Officers ⌘ Groundskeepers ⌘ Transit drivers 	<ul style="list-style-type: none"> ⌘ Operation of heavy duty equipment or machinery ⌘ Operation of commercial vehicles ⌘ Responders to emergencies involving potentially hazardous substances 	DMV record and license class verification
7. A requirement for a professional license, certificate, or degree, the absence of which would expose the University to legal liability and/or adverse public reaction.	<ul style="list-style-type: none"> ⌘ Architects ⌘ Attorneys ⌘ Dentists ⌘ Employee Assistance Counselors ⌘ Engineers ⌘ Nurses ⌘ Firefighters ⌘ Police Officers ⌘ Pharmacists ⌘ Physicians ⌘ Psychologists ⌘ SMG positions (as appropriate) 	<ul style="list-style-type: none"> ⌘ Counsel employees or students ⌘ Design or build facilities and offices ⌘ Patent licensing ⌘ Provide legal advice ⌘ Real estate transactions ⌘ Render medical services 	Verification of the credential, license, certificate, and/or degree
8. Direct access to and/or responsibility for information affecting national security.	<ul style="list-style-type: none"> ⌘ Department of Energy Lab positions ⌘ Employees whose position requires a government security clearance ⌘ SMG positions (as appropriate) 	<ul style="list-style-type: none"> ⌘ As defined by agency granting clearance 	Government Security Clearance
9. Direct access to and/or responsibility for protected, personal, or other sensitive data	<ul style="list-style-type: none"> ⌘ Auditors ⌘ Development Officers and Staff ⌘ Information Systems personnel ⌘ HR and payroll staff ⌘ Nurses ⌘ Patient intake and billing staff ⌘ PC Coordinators 	<ul style="list-style-type: none"> ⌘ Access to donor info ⌘ Access to employee or student records ⌘ Access to personal or other restricted sensitive or confidential 	Criminal Conviction Record

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|------------------------|------------------|
| ⌘ Physicians | data |
| ⌘ Programmers | ⌘ Access to |
| ⌘ Registrars | protected health |
| ⌘ Staff research | information |
| associates | ⌘ Access to |
| ⌘ Student Affairs | restricted data |
| Officers | (as defined in |
| ⌘ Voc Rehab Counselors | IS-3 Electronic |
| | Information |
| | Resources) |
| | ⌘ Maintain |
| | inventories of |
| | restricted data |
| | ⌘ Systems |
| | maintenance |

* The tasks and positions listed do not include all positions, functions, or tasks which may require a background check. All Medical Center positions are considered critical and subject to background checks.

PPSM 21.E applies to all employees and applicants for staff positions. Many Senior Management Group positions will be designated as critical in accordance with the position elements, functions, or tasks identified above.

** A criminal conviction background check will document any felony or misdemeanor convictions. Locations utilize either: a campus or local police department or human resources department to conduct Live Scan fingerprinting and initiate a Department of Justice (California) and/or FBI (national) criminal conviction background check; or a Consumer Reporting Agency (e.g. ChoicePoint, Kroll Inc.) to conduct a criminal conviction background check.

In addition to the background checks listed within the systemwide guidelines, other types of background checks may be required (in line with operational needs, legal requirements and other relevant considerations). For example, a location elects to conduct a credit report on an employee in a critical position who has direct access to cash and cash equivalents. The types of background checks that a location may utilize include, but are not limited to: employment and reference checks; credit reports; Department of Motor Vehicles pull notice program; and required health screenings (e.g. TB test or other tests pursuant to DOT regulations).



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