

Chairs' & Center Directors' Meeting Minutes

Date: December 3, 2012 (12:00 to 2:00 pm)

Location: WCH – Room 443

Attendees: Abbaschian, Reza
Bhuyan, Laxmi
Boretz, Mitch
Farrell, Jay
Garay, Javier
Haddon, Robert
Hartney, Pat
Matsumoto, Mark
Najjar, Walid
Ravi
Rodgers, Victor
Stahovich, Tom
Souder, Maggie
Vafai, Kambiz
Vernon, Russ
Wang, Albert

Absent: Barth, Matt
Bhanu, Bir
Myung, Nosang
Tan, Sheldon

The agenda for the meeting is shown in Appendix 1.

1. Welcome and call for agenda items - Reza

Reza noted that UCR's Interim Chancellor, Jane Conoley (currently Dean of UCSB's Gevirtz Graduate School of Education) will start on 1/1/13. Laxmi added the topic of building maintenance to the agenda.

2. Approval of Minutes - Pat

The minutes of the November 16th Chairs/Directors meeting were unanimously approved.

3. Department and Center Updates

MSE: Javier noted that the MSE Program will be receiving a \$32K diversity award from UCR's Grad Division. This funding will be used to support MSE grad students.

EE: Jay stated that the department is discussing ways to make its ABET process simpler.

UC Light: Albert mentioned that he will be meeting with a corporate sponsor this week to discuss UC Light's recent proposal.

ME: Tom reported that Roseanna Barron is leaving ME for an FAO III position in CHASS. The recruitment for her replacement will be started soon.

4. Staff & Faculty Appreciation (December 14) – Pat

Pat reminded participants that it was decided at the last Chairs/Directors meeting to hold this year's Staff Appreciation Luncheon on Friday, December 14th. He asked Chairs and Directors to help serve the lunch again this year and to be prepared to present their unit's Staff Employee of the Year award and ABET recognition award (to their ABET Coordinator). In addition, Dennis, Mitch and Maggie will receive ABET recognition awards. Mitch requested that Victor Hill also receive an ABET recognition award due to his noteworthy efforts during the recent ABET Review.

5. Graduate Education – Mark

Mark noted the documents attached to the agenda that compares the numbers of BCOE MS and PhD applications from the same periods in 2010 to 2012. The first comparison includes all grad student applications. The second comparison is for PhD applications only. Mark noted that the total number of BCOE grad student applications is about the same as last year at this time. He expects about 1,000 applications in December. He noted that the number of applications to some departments were lower than last year and that the total number of PhD applications decreased by 20-25% (mostly international applications). He noted that BCOE is piloting the Grad Division's new Hobsons Contact Management System and that the number of applications from GEM institutions has increased because of this use. However, there are a few problems with Hobsons that need to be addressed by C&C and the Grad Division. Reza stated that BCOE Grad Advisors need to be involved in recruitment efforts. Recruitment visits are being coordinated this year by Amy. Attendees are taking recruitment documents from all BCOE programs to these events.

6. Undergraduate Education – Ravi

Ravi noted that this year's UC undergraduate application period has ended. UCR will receive its applications in January. Acceptance decisions are made between mid-January and mid-February. BCOE may increase its AIS acceptance score from last year's 4,200. BCOE's rejection AIS score is 3,800. Ravi requested incoming freshmen targets from BCOE programs by early January. Ravi will use campus yield rates to project BCOE admits and will evaluate applicants between the reject and accept AIS scores to reach program targets. BCOE's overall incoming freshmen target will probably be around 550. BIEN and ME may use higher AIS scores to limit enrollments. BCOE's eventual goal is to admit 350 freshmen and 150 transfers each year. If awarded, Ravi noted that a new (STEP +) proposal may require BCOE to increase its number of transfer students to lead to a higher number of graduates.

On another issue, Ravi stated that the Academic Senate will base their reviews for BCOE undergraduate programs on the recent ABET reviews. However, departments should be prepared for the Academic Senate to request additional information to complete their reviews.

Also, Ravi stated that BCOE (upper class) students may have problems enrolling in BIO 5A this year. CNAS has reserved lab seats for (freshmen) Learning Community students which will impact the number of BIO 5A lab seats available this year for BCOE students. Long-term solutions could be for BCOE to request a lecture-only version of BIO 5A or for BCOE to teach its own version of this course.

7. Certificate Preparation – Ravi

Ravi has received a proposal from CSE for a Post-Baccalaureate Certification program via UNEX. He noted that UNEX is reporting strong interest from China for engineering programs so CSE should be able to be selective and ramp up slowly.

8. On-line Masters Program Update – Kambiz

Kambiz stated that lecturers for the Winter quarter business courses (ENGR 201 and ENGR 202) have been selected. The MSOL website is up and is being updated with input from students currently enrolled in ENGR 203. Kambiz and Mark will be meeting with campus representatives to discuss admissions criteria for the Program. Additional specializations are being discussed in MSE, ME and Chem E. Kambiz will be meeting with EE to discuss possible specializations. It was noted that UCB has developed an on-line MS degree in Integrated Circuits. ENGR 203 has 26 students enrolled this quarter.

9. Ethics & Compliance Risk and Audit Controls – Pat

Pat handed out a summary of findings from a recent federal audit of UCSB. Two findings are of particular applicability to BCOE. The first is the overcharging of faculty summer salaries. Pat noted that the charging of 100% of a PI's salary during any one month in the summer to a federal award can raise red flags during an audit since it precludes the PI from other activities during that month. As such, it's recommended that PI's spread summer salary support over the three-month summer period if possible. After discussion, Chairs recommended that they be alerted by department/center staff of a PI requesting that 100% of his/her salary for a summer month be charged to a contract/grant. The second issue is inappropriate cost transfers to federal contracts/grants. Pat stated that most of these problems occur during the final period of contracts/grants when PI's are trying to spend out remaining balances. In response to a question on the audit's cost share finding, Pat noted that UCR is piloting a new Payroll Certification process through its PIWRS financial reporting system. This process is intended to replace the previous Effort Reporting System. PIWRS will eventually be updated to include cost share information which can also be certified monthly by the PI through the Payroll Certification process.

10. CANRA Mandated Report – Pat

Pat distributed information on the California Child Abuse and Neglect Reporting Act. This information has already been shared with BCOE FAOs and MSOs. This Act requires employees that come into regular contact with children (as a part of their UC employment) to be trained and sign an acknowledgement that they will report any instances of child abuse or neglect. Only a few BCOE employees have had to sign this acknowledgement so far but this number could increase depending on further information and guidance from UCOP. This UCOP guidance is expected in early 2013.

11. Research Center Opportunities – Mitch

Mitch called attention to the document entitled "Major engineering research opportunities in the first quarter of 2013" attached to the agenda. These opportunities are: NSF ERC, NIST Center of Excellence and DOE Electricity Systems Hub.

NSF ERC: The BCOE Dean's Office will invite ERC pre-proposals from faculty this week. 1-3 of these pre-proposals will be selected for full proposal efforts before the January NSF ERC solicitation. Reza added that BCOE may be able to provide support to faculty to work on these proposal efforts. Also, departments could provide course relief to these faculty members.

NIST Center of Excellence: A Center of Excellence solicitation is expected to be released by NIST in Spring 2013 for measurement science, validation and standardization.

DOE Electricity Systems Hub: A solicitation is expected in Spring 2013 for establishment of 2-3 regional Electricity Systems Hubs for modernizing the US electricity grid.

12. Commencement Speaker – Mitch

Mitch stated that BCOE still needs to identify its 2013 Commencement speaker. Possible speakers include Elon Musk (Tesla) and Mike Huerta (FAA).

13. LADA/Regents Settlement Agreement – Russ Vernon

Russ Vernon distributed a list of UCR PI Roles and Responsibilities (for Chemistry and Biochemistry) and a list of UC Regents Agreement Compliance Resources. Russ stated that a fatal accident in a UCLA lab two years ago has resulted in a settlement agreement between the Los Angeles District Attorney's office and the UC Regents. This agreement requires all UC campuses to reach specified levels of lab safety compliance for Chemistry and Biochemistry labs. An initial compliance deadline is 1/24/13. BCOE faculty that have joint appointments (not cooperating faculty appointments) in Chemistry and Biochemistry fall under this agreement. Only those labs located in Chemistry or Biochemistry department spaces fall under the initial compliance deadline. The campus will be providing about \$625K in funds to support compliance including purchase of personal protective equipment. It was noted that Bioengineering and Chemical Engineering labs should work towards compliance quickly. The agreement only covers employees, not students. However, departments should establish Standard Operating Procedures (S.O.P.'s) for student labs for each course. These S.O.P.'s should be signed by the TA's in charge of the lab courses. Russ will send Chairs/Directors electronic copies of his handouts.

14. Other Matters

Building Maintenance: It was noted that the recent foul smells in WCH were caused by dried out water traps in the ventilation system which have now been fixed. Also, there are foul smells coming from some BCOE rest rooms. UCR students have voiced that WCH and Bourns Hall have the worst rest rooms on campus. Part of this problem may be caused by inadequate cleaning by janitors. It was recommended that Physical Plant clean BCOE rest rooms on Monday mornings since there are several activities in BCOE spaces during weekends. In response to a question from Tom S., Russ noted that UCOP has a machine shop safety officer that visits UCR periodically. He will ask this individual visit ME's machine shop and work with ME to develop machine shop S.O.P.'s and safety training programs.



Chairs' & Center Directors' Meeting

December 3, 2012

Agenda

Winston Chung Hall – Room 443

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| 1. | Welcome - Request for Agenda Items from the Floor | Reza |
| 2. | Approval of Minutes from November 16, 2012 Meeting | Pat |
| 3. | Department and Center Updates | All |
| 4. | Staff & Faculty Appreciation (December 14) | Pat |
| 5. | Graduate Education | Mark |
| 6. | Undergraduate Education | Ravi |
| 7. | Certificate Preparation | Ravi |
| 8. | On-line Masters Program Update | Kambiz |
| 9. | Ethics & Compliance Risk and Audit Controls | Pat |
| 10. | CANRA Mandated Report | Pat |
| 11. | Research Center Opportunities | Mitch |
| 12. | Commencement Speaker | Mitch/Mark |
| 13. | LASA/Regents Settlement Agreement | Russ Vernon |
| 14. | Other Matters | |

Future Meeting Dates

2012	2013
Monday, October 15	Monday, January 14
Monday, October 29	Monday, January 28
Friday, November 16	Monday, February 11
Monday, December 3	Monday, February 25
Monday, December 17	Monday, March 11
	Monday, March 25
	Monday, April 8
	Monday, April 22
	Monday, May 6
	Monday, May 20
	Monday, June 3
	Friday, June 14
	Monday, July 1

BCOE MS/PhD Graduate Applications as of:

Program	12/2/2010			12/5/2011			12/3/2012			% Difference		
	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total
BIEN	32	8	40	40	7	47	50	21	71	25%	200%	51%
CEE	82	35	117	82	41	123	66	30	96	-20%	-27%	-22%
CPSC	185	59	244	225	118	343	229	117	346	2%	-1%	1%
ELEN	151	79	230	217	110	327	198	91	289	-9%	-17%	-12%
MSE	29	15	44	41	17	58	44	17	61	7%	0%	5%
MCEN	36	20	56	52	39	91	59	20	79	13%	-49%	-13%
BCOE	515	216	731	657	332	989	646	296	942	-2%	-11%	-5%

Domestic Applications as of:

Program	12/2/2010			12/5/2011			12/3/2012			% Difference		
	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total
BIEN	18	2	20	27	5	32	31	11	42	15%	120%	31%
CEE	24	10	34	25	6	31	19	8	27	-24%	33%	-13%
CPSC	34	8	42	43	12	55	31	7	38	-28%	-42%	-31%
ELEN	29	1	30	19	7	26	22	9	31	16%	29%	19%
MSE	11	4	15	7	3	10	13	2	15	86%	-33%	50%
MCEN	13	6	19	9	8	17	15	5	20	67%	-38%	18%
BCOE	129	31	160	130	41	171	131	42	173	1%	2%	1%

International Applications as of:

Program	12/2/2010			12/5/2011			12/3/2012			% Difference		
	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total
BIEN	14	6	20	13	2	15	19	10	29	46%	400%	93%
CEE	58	25	83	57	35	92	47	22	69	-18%	-37%	-25%
CPSC	151	51	202	182	106	288	198	110	308	9%	4%	7%
ELEN	122	78	200	198	103	301	176	82	258	-11%	-20%	-14%
MSE	18	11	29	34	14	48	31	15	46	-9%	7%	-4%
MCEN	23	14	37	43	31	74	44	15	59	2%	-52%	-20%
BCOE	386	185	571	527	291	818	515	254	769	-2%	-13%	-6%

BCOE PhD Applications as of:

Program	12/2/2010			12/5/2011			12/5/2012			% Difference		
	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total
BIEN	16	4	20	19	1	20	24	11	35	26%	1000%	75%
CEE	59	24	83	58	30	88	41	25	66	-29%	-17%	-25%
CPSC	98	29	127	84	40	124	77	31	108	-8%	-23%	-13%
ELEN	74	37	111	103	52	155	71	29	100	-31%	-44%	-35%
MSE	23	10	33	26	14	40	25	12	37	-4%	-14%	-8%
MCEN	14	11	25	24	19	43	20	12	32	-17%	-37%	-26%
BCOE	284	115	399	314	156	470	258	120	378	-18%	-23%	-20%

Domestic Applications as of:

Program	12/2/2010			12/5/2011			12/3/2012			% Difference		
	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total
BIEN	8	0	8	11	1	12	13	6	19	18%	500%	58%
CEE	16	8	24	15	5	20	13	5	18	-13%	0%	-10%
CPSC	21	4	25	21	6	27	14	2	16	-33%	-67%	-41%
ELEN	13	0	13	11	3	14	7	7	14	-36%	133%	0%
MSE	9	3	12	2	1	3	9	1	10	350%	0%	233%
MCEN	3	2	5	3	4	7	7	3	10	133%	-25%	43%
BCOE	70	17	87	63	20	83	63	24	87	0%	20%	5%

International Applications as of:

Program	12/2/2010			12/5/2011			12/3/2012			% Difference		
	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total	Saved	Submit	Total
BIEN	8	4	12	8	0	8	11	5	16	38%	#DIV/0!	100%
CEE	43	16	59	43	25	68	28	20	48	-35%	-20%	-29%
CPSC	77	25	102	63	34	97	63	29	92	0%	-15%	-5%
ELEN	61	37	98	92	49	141	64	22	86	-30%	-55%	-39%
MSE	14	7	21	24	13	37	16	11	27	-33%	-15%	-27%
MCEN	11	9	20	21	15	36	13	9	22	-38%	-40%	-39%
BCOE	214	98	312	251	136	387	195	96	291	-22%	-29%	-25%

Major engineering research opportunities in the first quarter of 2013

December 2, 2012. For internal use only.

Three center-scale funding opportunities are expected to open up within the next four months:

1. NSF Engineering Research Center. The next solicitation is expected in January 2013. Details on when pre-proposals and full proposals will be due are not yet available. We have no indication that this will be specialized; thus any “engineered system” would be suitable as a topic. After discussion with the chairs, BCOE will solicit brief statements of interest from the faculty, then hold a brainstorming session before December 14. This will give us the opportunity to recruit prospective academic, industry, and other partners so we are ready when the solicitation comes out.

2. NIST Center of Excellence. NIST centers are collaborations between the academic community, industry, and NIST labs aimed at expanding the agency’s science and technology research capabilities. NIST emphasizes measurement science, validation, and standardization. It is expected that NIST will release a solicitation for Centers of Excellence in spring 2013, **most likely in cyber-physical systems or advanced manufacturing.** (It is possible, but less likely, that other topics of interest would be advanced communications; advanced manufacturing; biomanufacturing; big data; human-robotic integration; materials modeling/design; quantitative biology; or telecommunications.)

3. Department of Energy: Electricity Systems Hub. The Department of Energy is still formulating its approach to modernizing the U.S. electricity grid. It is expected that DOE will establish two or three Electricity Systems Hubs that take a regional focus to this issue. Hubs will be expected to heavily engage industry and particularly utility companies – the organizations that will actually build and operate the next grid. A solicitation is expected in March 2013 or later.

**University of California, Riverside
Finance and Business Operations**

Ethics and Compliance Risk and Audit Controls Committee (ECRAC)

**National Science Foundation audit of UC Santa Barbara
NSF Audit Expenditures from January 1, 2008 to December 31, 2010**

**** DRAFT ****

November 14th, 2012

Background

The NSF audit questioned \$6,325,483 of the costs claimed by UCSB to NSF because UCSB allegedly did not comply with Federal and NSF award requirements. Specifically, observations are as follows:

- \$1,913,474 of overcharged summer salaries
- \$2,821,676 of excess Federal Cash disbursements due to UCSB not fulfilling its grant cost share requirements
- \$496,466 of inappropriate cost transfers into NSF awards
- \$473,465 of indirect cost overcharges to NSF grants
- \$440,148 of unallowable costs charged to NSF grants
- The utilization of \$180,255 of remaining fellowship funds for non-award purposes

Importantly, UCSB is currently engaged in a dialog with NSF to develop a resolution to the audit findings (the audit finding was issued on September 28th). The complete audit can be found at the following web address: www.nsf.gov/oig/UCSB_12-1-005.pdf

UCSB's Response

Prior to the audit being completed, UCSB challenged virtually all of the findings and asked that they be redacted. NSF chose not to do so, and the aforementioned audit-resolution process is underway. UCSB specifically cited the following:

- *Staffing Changes at NSF.* The audit took two years and there was several NSF staffing (auditor) changes during that time. UCSB is stating that there are factual errors in the audit that are primary due to these staffing changes.
- *Audit Process / Methodology.* The audit was based on 100s of data requests to campus departments. The decentralized process resulted in (for example) departments responding to data requests for awards NOT under their scope of responsibility. Again, UCSB is challenging the quality of the data used in the audit.
- *Interactions with UCSB's Central Organizations.* NSF provided UCSB with virtually no opportunity to review the findings and respond PRIOR to issuance of the audit. UCSB prepared

formal responses to virtually all the findings, but NSF issued the audit and included these responses as an appendix (rather than changing the audit's findings).

UC Riverside's Review

Although UCSB's response raises serious issues about the audit's methods, data, and findings, UC Riverside is nevertheless reviewing the audit's findings and comparing / contrasting them to UCR current practices. This effort may result in various enhancements to UCR's local practices (a meeting on this subject including the Provost, VCRED, Interim VC FBO, AVC RP&B, and AVC Financial Services will be held on 11/16). The following is a high level overview of the audit's findings with comments by UCSB:

- **Over \$1.9 Million of Overcharged Summer Salaries**

NOTE: UCSB is questioning the audit methodology, the facts (e.g. UCSB demonstrated that PARS reports did balance), and that UCSB's approach is within UC policy and NSF requirements.

"UCSB did not comply with either federal regulations and NSF award requirements nor its own policies and procedures that impose specific guidelines for salaries, wages and fringe benefit charges to federal awards.

UCSB's PARS do not provide reliable support for the labor costs UCSB charged to its NSF awards for faculty summer salaries."

UCR Notes: The Payroll Certification process utilized by UCR should be a more straight-forward approach to confirm summer or any other salary charges. It is important to note that charging 100% of the PI's salary during any one month of the summer to an NSF award does raise red flags as the expectation is that the PI not working on any other activities during that period.

- **Over \$2.8 Million of Excess Federal Cash Disbursements Resulted From Not Fulfilling Grant Cost Share Requirements**

NOTE: UCSB is questioning the audit methodology and communications; e.g. NSF was not interacting with the correct departments.

"UCSB could not provide adequate, verifiable cost share documentation that supported the required cost share for its four NSF Awards that ended during our audit period. This occurred because UCSB does not require cost share contributions to be tracked on a project-by-project basis through its accounting system of record. Instead, UCSB relies on the respective departments that administer awards with cost share requirements to maintain their own independent, off-line systems to track cost share contributions."

UCR Notes: UCR uses the same paper based cost sharing form certified by the PI. UCR's process relies on the department to independently track cost sharing in order to complete the form. The Payroll Certification system allows cost shared salaries to be input and certified on a project by project basis. A future phase of the Payroll Certification system will allow for cost sharing to be documented via an on-line process and automatically incorporated into the Payroll Certification report.

- **Approximately \$500,000 of Inappropriate Cost Transfers Into NSF**

NOTE: UCSB is questioning the audit methodology and communications; e.g. cost transfers are NOT prohibited per se, and NSF did not document the cost transfer justifications.

“We found \$276,234 of salary and wages cost transfers between NSF awards for labor costs incurred after the awards to which these costs were posted had expired; \$71,133 of unrelated equipment cost transfers into an NSF grant; \$101,355 of cost transfers made into an NSF grant at grant close out to spend out those grant funds; \$23,274 of cost transfers from one NSF grant that went over budget into an NSF grant with available funds; and \$24,470 of cost transfers for overhead, Department recharges, and materials and supplies that were unrelated to the NSF award to which they were charged.”

UCR Notes: The current PPS process does not support award period edits for salary cost transfers (start and end dates); however, the system does prevent salary cost transfer to a contract and grant fund that is over 120 days old. Non-salary cost transfers do contain edits for award period begin and end dates. UCR relies on departments and PIs regarding the legitimacy of costs posted to awards and cost transfers; this concept is reinforced via the Ledger Reconciliation monthly process, monthly PI reports, negative confirmation for federal cost transfers, and training. UCR plans to create additional communications / web materials for departments and PIs given UCSB’s experience.

- **Over \$473,000 of Indirect Cost Overcharges to NSF Grants**

NOTE: UCSB states that charges were within award guidelines.

- Overcharging Indirect Costs

“We found 1,651 transactions with indirect costs totaling \$396,418 that were charged on costs explicitly excluded from indirect cost in the areas of tuition remission, rental costs of off-site facilities, participant support, and subawards in excess of \$25,000. Because the charging to UCSB’s NSF grants of indirect cost to these particular costs was in violation of both UCSB’s NICRA and UCSB’s own policies and procedures, we are questioning the \$396,418 due to misapplication of indirect cost rates.”

- Charging Indirect Costs as Direct Costs

“We found a total of \$233,551 in UCSB’s general ledger of costs for items such as website security certification, university garage parking, telephone calls, reproduction and photocopy, office furniture, and general purpose computer equipment.”

UCR Notes: Indirect Cost bases and rates are passed electronically to UCRFS from the Office of Research and Economic Development via PAMIS; non-standard IDC rates must be supported by an indirect cost waiver prior to the fund being established in UCRFS.

- **\$440,000 of Unallowable Costs Charged to NSF Grants**

NOTE: UCSB states that charges were either within award guidelines or that the facts as presented by NSF relating to the expenditures were inaccurate or incomplete.

“UCSB charged unallowable costs to its NSF grants for: pizza lunches \$6,085; pre-award cost made with personal credit card for equipment 5 months before grant \$3,166; Computers (general purpose supplies and equipment) \$48,328; equipment not related to the award and not in the award budget \$204,996; and equipment purchases at the end or after the grant expired \$177,573. According to 2 CFR 220, Section C.s, to be allowable for a federal grant, a cost must be allocable to the federal award and be necessary and reasonable for the administration and performance of the award.”

UCR Notes: UCR relies on departments and PIs regarding the legitimacy of costs posted to awards; this concept is reinforced via the Ledger Reconciliation monthly process, monthly PI reports, and training. UCR has a robust pre-award approval process. In addition, UCR’s non-salary cost transfer application contains edits to ensure costs are incurred within the approved award budget period. UCR plans to create additional communications / web materials for departments and PIs given UCSB’s experience.

- **UCSB Used \$180,000 of Remaining Fellowship Funds for Non-Award Purposes**

NOTE: UCSB states that it had explicit NSF approval to act as it did.

“UCSB reported all fellowship funds as expended at the end of its Cost of Education (COE) fellowship award, drew down the remaining available cash balance of the grant, transferred that cash balance of \$180,255.35 to its institutional accounts, and then expended those funds over the next several years after the award expired, on costs unrelated to the fellowship program, for supplies and expenses, materials, and travel.”

UCR Notes: Any transfers of fund balances must be performed by the Accounting Office; this type of transfers would not have occurred at UCR, rather an No Cost Extension would have been processed with the explicit written approval of the funding agency.

Who is a Mandated Reporter Under California's Child Abuse and Neglect Reporting Act ("CANRA")?

Type of Entity or Profession	Affected Individuals
postsecondary institutions (as of January 1, 2013)	<ul style="list-style-type: none"> - an employee or administrator whose duties bring the administrator or employee into contact with children on a regular basis, or who supervises those whose duties bring the administrator or employee into contact with children on a regular basis, as to child abuse or neglect occurring on that institution's premises or at an official activity of, or program conducted by, the institution - an athletic coach, including, but not limited to, an assistant coach or a graduate assistant involved in coaching, at public or private postsecondary institutions
public or private schools	teachers, instructional aides, teacher's aides, teacher's assistants, classified employees, administrative officers and supervisors of child welfare attendance, and certified pupil personnel employees, administrators or presenters of or counselors in child abuse prevention programs
community care or child day care facilities	licensees, administrators, and employees
day camps	administrators
private youth centers, youth recreation programs, youth organizations	administrators or employees
health care professionals	all licensed health professionals and certain trainees and interns, including: physicians, psychiatrists, psychologists, dentists (and residents and interns), podiatrists, chiropractors, licensed nurses, dental hygienists, optometrists, marriage and family therapists (and trainees and interns), clinical social workers, professional clinical counselors (and trainees and interns); certified EMTs, paramedics, and other emergency technicians; registered psychological assistants; alcohol and drug counselors; coroners, medical examiners, and others who perform autopsies
law enforcement and public safety professionals	employees of any police department, county sheriff's department, county probation department, or county welfare department; peace officers; firefighters; district attorney investigators, inspectors, local child support agency caseworkers (unless the investigator, inspector or caseworker is working with certain attorneys to represent the children); social workers; probation officers, parole officers; employees of school district police or security departments; animal control and human society officers
clergy	priests, ministers, rabbis, religious practitioners, or similar functionaries of any church, temple, or recognized denomination or organization; and their respective records custodians
any public or private organization	administrators or employees whose duties require direct contact and supervision of children
child care institutions	employees (including, but not limited to, foster parents, group home personnel, personnel of residential care facilities)
State Department of Education County Offices of Education	employees whose duties bring them into contact with children on a regular basis
State Department of Social Services (and county contractors)	licensing workers and licensing evaluators
Head Start Program	teachers
commercial photography and filmmaking	commercial film and photographic print processors (including anyone who develops exposed photographic film into negatives, slides, or prints, or who makes prints from negatives or slides, for compensation, as well as their employees), excluding public agencies
miscellaneous	public assistance workers; state and county public health employees who treat minors for VD or other conditions; compensated child visitation monitors; employees or volunteers of Court Appointed Special Advocate program; certain custodial officers; supportive services providers delivering services to children under the Welfare & Institutions Code

STATEMENT ACKNOWLEDGING REQUIREMENT TO REPORT CHILD ABUSE

Name (Please Print):

Title:

California law *requires* certain people to report known or suspected child abuse or neglect. You have been identified as one of those people – a “mandated reporter.” A summary of mandated reporter categories is provided at Appendix 1. Relevant provisions of the Child Abuse and Neglect Reporting Act (CANRA) are provided in Appendix 2. The complete statute can be found online at <http://www.leginfo.ca.gov/cgi-bin/displaycode?section=pen&group=11001-12000&file=11164-11174.3>.

WHEN REPORTING ABUSE IS REQUIRED

A mandated reporter, who in his or her professional capacity, or within the scope of his or her employment, has knowledge of or observes a person under the age of 18 years (even an enrolled or registered student) whom he or she knows or reasonably suspects has been the victim of child abuse or neglect must report the suspected incident. The reporter must contact a designated agency immediately or as soon as practically possible by telephone, and must prepare and send a written report within 36 hours of receiving the information concerning the incident. [CANRA § 11165.6]

ABUSE THAT MUST BE REPORTED

- *Physical injury* inflicted by other than accidental means. [CANRA § 11165.6]
- *Sexual abuse* meaning sexual assault or sexual exploitation of a child. [CANRA § 11165.1]
- *Neglect* meaning the negligent treatment, lack of treatment, or the maltreatment of a child by a person responsible for the child's welfare under circumstances indicating harm or threatened harm to the child's health or welfare. [CANRA § 11165.3]
- *Willful harming or injuring or endangering a child* meaning a situation in which any person inflicts, or willfully causes or permits a child to suffer, unjustifiable physical pain or mental suffering, or causes or permits a child be placed in a situation in which the child or child's health is endangered. [CANRA § 11165.3]
- *Unlawful corporal punishment or injury* willfully inflicted on a child and resulting in a traumatic condition. [CANRA § 11165.4]

WHERE TO CALL IN AND SEND THE WRITTEN ABUSE REPORT

Reports of suspected child abuse or neglect must be made to any police department or sheriff's department (not including a school district police or security department), county probation department (if designated by the county to receive mandated reports), or county welfare department. [CANRA § 11165.9] Campus Police accept reports. The written report must include the information described in CANRA § 11167(a) and may be submitted on form SS 8572, available online at http://ag.ca.gov/childabuse/pdf/ss_8572.pdf. In addition, an internal report must be made to your supervisor or to the University Compliance Hotline. This internal report may be made anonymously.

IMMUNITY AND CONFIDENTIALITY OF REPORTER AND OF ABUSE REPORTS

Mandated reporters have immunity from criminal or civil liability for reporting as required or authorized by law. [CANRA § 11172(a)] The identity of a mandated reporter is confidential and disclosed only among agencies receiving or investigating reports, and other designated agencies. [PC § 11167(d)(1)] Reports are confidential and may be redisclosed only to specified persons and agencies. Any violation of confidentiality provided by CANRA is a misdemeanor punishable by imprisonment, fine, or both. [PC § 11167.5(a)-(b)]

PENALTY FOR FAILURE TO REPORT ABUSE

A mandated reporter who fails to make a required report is guilty of a misdemeanor punishable by up to six months in jail, a fine of \$1000, or both. [CANRA § 11166(b)]

COPY OF THE LAW

Prior to my employment at the University of California, my employer provided me with a copy of CANRA sections 11165.7, 11166, and 11167. [CANRA § 11166.5(a)]

ACKNOWLEDGEMENT OF RESPONSIBILITY

I have knowledge of my responsibility to report known or suspected child abuse or neglect in compliance with CANRA § 11166.

Signature

Date

PI Roles and Responsibilities – *Chemistry & Biochemistry*

Obtain Authorizations

- ☐ Obtain authorization from a campus committee or approval from EH&S before performing specialized work. This includes:
 - Animal use and human subjects
 - Bacteria, viruses, prions, or biohazardous materials
 - Human or primate fluids/tissues
 - Infectious agents
 - Laser equipment
 - Toxic or pyrophoric gases use
 - Radioactive materials or radiation producing equipment
 - Recombinant DNA
 - Respirators

Follow Emergency Procedures

- ☐ *Prompt reporting of laboratory accidents and injuries to Risk Management and EH&S. Serious injuries: death, amputation, disfigurement, hospitalization over 24 hours.*
- ☐ *Serious injuries MUST be immediately reported to EH&S.*
- ☐ *Immediately secure any incident scene from all access and preserve all evidence until the Cal/OSHA Enforcement Unit & Cal/OSHA Bureau of Investigation each responds or each determines that a response is not required (only 24 hours)*

Post an Emergency Placard

- ☐ To aid emergency responders and comply with fire safety regulations, every entrance to all areas with chemical, radioactive or biological hazards must have a placard conveying information regarding the types and degrees of hazards within and emergency contacts.

Audit your Laboratory

- ☐ Perform a self-audit/inspection.
- ☐ Correct all findings noted in EH&S audit report.
- ☐ *Inform facilities maintenance personnel, other non-laboratory personnel and any outside contractors of potential lab-related hazards. Identified potential hazards should be minimized to provide a safe environment for repairs and renovations.*
- ☐ *Provide full access to Cal/OSHA Enforcement or Bureau of Investigations for the purposes of conducting inspections to determine compliance with the terms of the LADA settlement agreement.*
- ☐ *Must contact EH&S immediately in the event of a Cal/OSHA initiated inspection.*

Dispose of Hazardous Waste Properly

- ☐ Ensure hazardous wastes are properly labeled using the Online Tag Program (OTP) at the time of initial generation and disposed of by EH&S.
- ☐ Ensure all lab workers complete basic Hazardous Waste Management training.

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UC Regents Agreement Compliance Resources

The UC Lab Safety Settlement Agreement: Roles and Responsibilities of Department Chairs, Researchers and Lab Personnel

The intended audience for this archived webinar is department chairs, researchers, and lab personnel in the Chemistry and Biochemistry Departments.

The goal of this webinar is to ensure that there is common understanding of what is required under the settlement agreement and the specific roles and responsibilities for EH&S, researchers, and lab personnel to meet those requirements.

The webinar is recorded and a link provided on the UC Lab Safety SharePoint site (<https://spsso.ucop.edu/sites/risk/bmp/ucls/default.aspx>). For those who cannot participate in the live version, you are encouraged to still register to receive an email with the link to the recording.

The webinar was presented by:

Erike Young, Director of EH&S, UCOP
Ken Smith, Laboratory Safety Manager, UCOP
Norm Hamill, Senior Counsel, UCOP

UC Regents Agreement

www.ehs.ucr.edu/laboratory/ucregentsagreement/

Laboratory Safety Manual

www.ehs.ucr.edu/laboratory/ucregentsagreement/laboratorysafetymanual.html

Standard Operating Procedures

www.ehs.ucr.edu/laboratory/SOP/

UC Lab Safety SharePoint site

<https://spsso.ucop.edu/sites/risk/bmp/ucls/default.aspx>

Provost letter

http://www.ehs.ucr.edu/news/message_evcprovost.html

PI Responsibilities

<http://www.ehs.ucr.edu/laboratory/supervisorresponsibilities.html>

<http://www.ehs.ucr.edu/laboratory/supervisorresponsibilities.pdf>

Self-Certification of Compliance by 1/11/2013 (Chemistry & Biochemistry)

www.ehs.ucr.edu/laboratory/ucregentsagreement/

Responsibilities – Supervisors & Principal Investigators

- Current regulations required SOP's before using chemicals
- Approvals & signature pages attached to the SOP's for the chemicals from Exhibit 1 are required to be completed by 9/25/2012 if they are in use and before they are used'
- For all existing lab personnel (the certification needs to be completed as soon as possible, and in all cases before allowing work with any chemicals on the Exhibit 1 list
- For all new personnel BEFORE they begin work
- For all personnel whenever the hazards change, BEFORE they begin work with the new hazards