



The Bridge

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Audit Cables

Is your campus department managing a non-UC tenant lease? Here are a few tips:

- ◆ Assign a primary contact to manage the lease.
- ◆ Understand the terms of the lease agreement.
- ◆ Meet regularly with the tenant to discuss issues before they become problems.
- ◆ Require gross sales documentation for percentage rent leases and recalculate rent due.
- ◆ Work with RESO to document via lease amendment subsequent agreements.
- ◆ Consult EH&S for fire, life safety, and health concerns.
- ◆ Contact Real Estate Services if you need assistance

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Change Management

Being prepared for staffing changes is an integral part of the success of any department or organization. Especially in an institution where staff may remain employed in the same position for several years, becoming overly dependent on an individual's knowledge and experience can be detrimental when a key staff person moves on.

Therefore it is essential that key procedures are written and kept up-to-date. What if staff don't have the time to write down what they do? Finding the time is important, the time required after someone leaves will be exponentially greater. Don't count on a retiring staff person to have the time in their last few days of employment to document all that they do.

If a change is anticipated in your department, Audit and Advisory Services (A&AS) is here to help! We can help you identify key procedures, look for any unaddressed risks, and ensure that you have adequate written policies and procedures in order to weather the change.

Don't wait! Contact A&AS today so that we can incorporate your department into our schedule.

Staffing Change Management Best Practices:

- Document your **day-to-day procedures**. Have the responsible staff draft briefly their activities and have someone else make sure they understand what has been written.
- Ensure that all key files and spreadsheets are maintained in an orderly fashion on a **network drive**.
- **Log important information**. Avoid the habit of using Outlook, CalMail, and CalAgenda to keep track of events and communications. Typically once the owner of the account has left the institution, the department no longer has access to those emails.



Thanks to Tufts University Audit & Management Advisory Services for providing source material for this article .

Student Renter’s Insurance



“You never expect to go to college and your whole building burns down,” a UC Berkeley senior told the Daily Cal after the November 18, 2011 fire that destroyed the Telegraph Avenue apartment building she was living in.

As students move in and out of dorms, co-ops, apartments, and houses, one essential they and their parents often neglect is renters insurance. This overlooked coverage protects students when they lose property due to fire, theft, and other hazards. It also covers them when they are accused of causing losses to others.

The University has experienced many losses arising from dorm residents. They cook in their rooms and start fires. They cause water damage by allowing sinks and tubs to overflow. They drive their cars into residence hall walls. You name it, we’ve seen it. It’s not always possible to recover the cost of damage from our students or their families, which means the University often has to absorb the cost. But if the students had renters insurance, the University could recover its costs from the insurer. Thus it makes sense for the University to provide students with a renters insurance option — it protects the students, and in the case of dorm residents, it protects the University.

The Office of the President-Risk Services has identified renters insurance provided by the Next Generation Insurance Group as a superior product. Students (or other renters in the campus community, including faculty and staff) may purchase as much coverage as they want at a reasonable cost. For instance, a policy including \$10,000 in property coverage and \$50,000 in personal liability coverage with a \$250 deductible costs about \$180 per year. Here is a basic coverage chart.

COVERAGE HIGHLIGHTS:		
PERSONAL BELONGINGS:	PERSONAL PROPERTY DAMAGED BY THE FOLLOWING:	
<ul style="list-style-type: none"> ✦ Personal Computer, like a laptop ✦ Wallet or purse and the cash in it (special limit applies) ✦ Bike or scooter ✦ TV and Stereo/Sound system ✦ Cell Phone or PDA ✦ Clothes ✦ Books and School Supplies ✦ Certain Jewelry (special limit applies) ✦ Musical Instruments 	<ul style="list-style-type: none"> ✦ Fire ✦ Vandalism ✦ Theft ✦ Lightning ✦ Explosion ✦ Windstorm or hail ✦ Smoke ✦ Weight of ice, snow, or sleet 	<ul style="list-style-type: none"> ✦ Falling objects ✦ Accidental water overflow ✦ Accidental burning of certain appliances ✦ Accidental damage from artificially generated current

For more information, please contact Risk Services at risk@berkeley.edu.

In Remembrance



Jeremy Lapidus, a time-honored staff member in the Audit and Advisory Services, passed away December 1 after a long struggle with cancer at the age of 57.

A graduate of Portland State University with B.S. degrees in Psychology and Business Administration, Jeremy worked for the Office of the Inspector General for the U.S. General Services Administration before joining Audit and Advisory Services as a Senior Auditor in 1991. Over the years, he developed an interest in information technology auditing and most recently served as our IT Audit Manager.

Jeremy was a cherished member of our department known for his positive attitude and many contributions to the department as well as the campus. He will be greatly missed. He is survived by his wife April and children Sarah and Aaron. To celebrate Jeremy's life and contributions, we invite the campus community to join us in the compilation of a memory book to be presented to his family on the anniversary of his birth. If you would like to contribute, please send pictures, stories, and favorite memories to audit@berkeley.edu by March 23, 2012.



University of California, Berkeley

The Workplace Violence Prevention Policy

In December 2010 the Berkeley campus approved the Workplace Violence Prevention policy (<http://campuspol.chance.berkeley.edu/policies/workplaceviolence.pdf>), which commits the campus to promoting and maintaining a safe environment for its employees. The policy states that "threatening, intimidating, or violent behavior will not be tolerated in the University of California, Berkeley workplace." If such conduct occurs, it should be promptly reported to the proper authorities.

Who are the proper authorities?

- For violence in progress: UCPD (911 from campus phone, 642-3333 from cell phone)
- For a hostile situation in progress: UCPD (911 from campus phone, 642-3333 from cell phone)
- For violence or a hostile situation in progress away from campus: local police (911)
- For hostility or a possibility of violence, but no immediate threat: UCPD (642-6760) and Human Resources (642-9046)
- For hostility or a possibility of sexual violence, but no immediate threat: Campus Climate and Compliance Office (643-7985) or UCPD (642-6760)

Employees who violate this policy will be subject to disciplinary action up to and including immediate dismissal under the applicable code of conduct, collective bargaining agreement, or personnel policy. The University may assist in pursuing civil penalties, criminal penalties, or other appropriate action against the offender regardless of the offender's relationship to the University. Student offenders will be subject to the Student Code of Conduct in addition to this policy.

Current Audits

Project Name	Preliminary Objective	Auditor-in-Charge
Emergency Management/ Preparedness	Assess the campus emergency preparedness management programs and plans to assure that they are comprehensive, collaborative, and flexible to effectively manage a crisis on campus ensuring that life can be protected and critical business processes and computer systems can be efficiently recovered during and after a disaster or emergency incident.	Robert Asato
Globalization & International Engagement	Assess the governance, risk management, and controls related to international collaboration in teaching and research to assure that risks taken are within the risk tolerance of the University as partially outlined in UC's Administrative Guidelines for the Establishment and Operation of University of California Foreign Operations and Affiliates.	Chad Edwards
Hazardous Materials Handling – Chemical Release and Chemical Exposure	Assess the design and operating effectiveness of programs and controls governing the administration and oversight, from receipt to disposal, of biological, chemical, and radiological materials and waste.	Jennifer Jones
Human Resources Non-Voluntary Separation Practices	Assess the oversight and management of non-voluntary separation practices to assure consistency of disciplinary actions in similar circumstances, compliance with separation policies and procedures, protection of employee privacy, retention of relevant and sufficient documentation, return of University property, timely deactivation of systems access, management of post-termination statements, and risk mitigation of successful wrongful termination claims.	Jennifer Jones
Intercollegiate Athletics - Outsourced Activities	Assess Athletics' contract management for outsourced services and evaluate the process for identifying and evaluating outsourcing and competitive sourcing opportunities.	Robert Asato
Major Construction	Evaluate University and contractor controls to safeguard the University's interest, to confirm the University received assets in accordance with the contract, identify cost avoidance opportunities, identify overcharges and/or undercharges (e.g. compliance with material specification, change orders), and identify mitigate project risks.	Tanaia Hall
Residential and Student Service Programs	Assess the departmental system of control to assure sound business practices are in place to support operational effectiveness and efficiency including compliance with University policies as well as federal and state regulations.	Tanaia Hall
Use of Third-Party IT Services	Assess management decision processes, both centrally and in decentralized units, to determine whether IT services should be provided internally versus externally.	Chad Edwards

Announcements

Audit and Advisory Services is currently conducting its annual risk assessment. If there are any risk issues you would like to bring to our attention, please e-mail them no later than March 23, 2012 to audit@berkeley.edu.

As previously announced, Audit and Advisory Services (A&AS) has launched the new “Bridging the Gap” information sharing series bring together UC Berkeley faculty and staff with University thought leadership to discuss emerging and 'hot button' issues, to foster an open exchange as well as to inform decision-makers. Upcoming sessions available for registration are:

- ✦ April 11, 2012: The Day After: Emergency and Continuity Plans
- ✦ May 9, 2012: International Activities
- ✦ June 13, 2012: How to be External Ready

All sessions will be held in 150 University Hall from 3:00-4:30pm. Please reserve a seat at the discussion table using the UC Learning Center available through the Blu portal. For a complete schedule of the sessions that will be offered, further information, and updates, please see the Upcoming Events page of our website: <http://audit.berkeley.edu/UpcomingEvents.shtml>.

A&AS is in the process of planning the sessions for FY 2012-2013. If there are topics you would like to be considered, please submit them to audit@berkeley.edu.

“When a man finds a conclusion agreeable, he accepts it without argument. But when he finds it disagreeable, he will bring against it all the forces of logic and reason.”

-Thucydides

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Universitywide Independent Hotline:
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<http://universityofcalifornia.edu/hotline>

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