BAS Administrative Streamlining Changes and Revised BAS Unit-Specific Policy Restrictions for Entertainment & Travel

Effective July 2, 2012

Human Resources

- Unit Heads* will now have authority to approve the following HR actions:
  - Stipend of 5% or less of current annual salary for existing employees
  - Equity increase of 5% or less of current annual salary for existing employees
  - Reclassification or promotional increase of 5% or less of current annual salary for existing employees
  - Staff Appreciation and Recognition Plan (STAR) Award of $500 or less
  - Begin recruitment process (career or limited non-recruitment)
  - Set salary through normal SHR procedures for new hires from off campus for all appointments except career appointments.
  - Set salary through normal SHR procedures for new hires from off campus for career appointments at the minimum of the salary grade.
  - Extensions of appointments with budgetary end dates.
  - For represented positions – Certain additions to pay or promotions to the next step as dictated per union contract.

- The following HR actions, and all other HR actions with budgetary impact not listed above, should still be submitted to BAS-ORM/VC-BAS for approval. Examples include:
  - Stipend of over 5% of current annual salary for existing employees
  - Equity increase of over 5% of current annual salary for existing employees
  - Reclassification or promotional increase of over 5% of current annual salary for existing employees
  - Staff Appreciation and Recognition Plan (STAR) Award over $500
  - Set salary for new hires from off campus for all career appointments above the minimum of the salary grade.

- BAS Unit Heads* must track HR Actions that don't go through BAS-ORM and report on a monthly basis (additional information will be forthcoming regarding this process)

- Examples of HR Action Form requests will be added to the BAS website to assist units making requests for approvals. 
  [http://bas.ucsc.edu/orm/index.html](http://bas.ucsc.edu/orm/index.html)

Travel

- All staff are encouraged to continue being prudent and continue annual travel planning.
- BAS policies are being simplified to more closely match UC policy. Original itemized receipts are no longer being required for individual travel related...

- Pre-approvals are no longer required in BAS for travel.
- Unit Heads* must ensure that the business purpose of a trip is clearly documented.
- BAS-ORM will develop and provide reports on unit travel for the Vice Chancellor for potential follow up with Unit Heads*.
- BAS Unit-specific policy regarding maximum allowable rates per person (see below).
- BAS Unit-specific policy regarding the purchase of alcohol in conjunction with business travel (see below).

**Entertainment**

- BAS policies are being simplified to more closely match UC policy. This will help staff members in BAS more easily understand policy requirements. Please follow the new guidelines set forth by Financial Affairs for the new entertainment procedures, effective July 2 (including new rules regarding original itemized receipts (or acceptable electronic receipts) only being required for expenses of $75.00 or more per occasion.
- BAS pre-approvals for standard entertainment are no longer required unless your ERF exceeds established delegations within your unit.
- For standard entertainment -- current delegations for BAS Unit Heads** are set at $300, except for higher delegations in CHES for student programming events.
- Financial Affairs will be developing reports on entertainment activity to identify errors and BAS will utilize these reports to help identify opportunities for additional training.
- BAS Unit-specific policy regarding pre-approval for entertainment -- BAS pre-approvals will continue only for entertainment that will eventually require *top-level approval* (e.g.: employee morale events, retirements, holiday events, spouses in attendance) (see below).
- BAS Unit-specific policy regarding maximum allowable rates per person (see below).
- BAS Unit-specific policy regarding the purchase of alcoholic beverages to be served at a business meeting will not be reimbursed under any circumstances (see below).

**Revised BAS Unit-specific Policy Restrictions for Travel and Entertainment**

The following restrictions relating to entertainment and travel policy are specific to the BAS Division and augment UCOP and UCSC entertainment and travel policies. The VC-BAS’s expectation is that these practices are utilized throughout the division.

- Maximum Allowable Rates Per Person -- Units shall not exceed the maximum allowable for meals and light refreshments, or in the case of travel, the
maximum rates authorized for lodging, meals, and incidental expenses (M&IE). Please refer to the Financial Affairs website for current maximum spending rates. Although UCOP policy allows maximum limits to be exceeded with principal officer approval, the VC-BAS will not approve expenses exceeding these limits.

- Alcohol – The purchase of alcoholic beverages to be served at a business meeting will not be reimbursed under any circumstances. Although UCOP policy allows alcohol to be purchased with certain non-restricted fund sources for entertainment purposes, BAS does not allow the serving of alcoholic beverages in conjunction with business meetings. Alcohol is never to be purchased in conjunction with business travel.
- Entertainment Requiring Top Level Approval -- BAS pre-approvals will continue only for entertainment that will eventually require top-level approval (e.g: employee morale events, retirements, holiday events, spouses in attendance). UCOP policy requires top level approval at the time of reimbursement – BAS requires this prior to the event.

List of BAS Unit Heads* with the HR authorities listed above and who will be responsible for unit travel approvals:
- Lisa Akeson – Real Estate Office
- John Barnes – Physical Planning & Construction
- Jim Dunne – Physical Plant
- Kirk Lew – Financial Affairs
- Barry Long – Internal Audit and Advisory Services
- Sue Matthews – Colleges, Housing and Educational Services
- Pamela Peterson – Staff Human Resources
- Jean Marie Scott – Risk and Safety Services
- Jeff Trapp – Fire Department

List of BAS Unit Heads** considered “Unit Heads” for the purpose of entertainment delegations listed above is contained within the Financial Affairs Dashboard. Just sign in to the Financial Affairs Dashboard with your CruzID Gold, and you will be able to see a list of those people in your unit with delegated authority to sign for entertainment, their delegation type and their dollar limits.

Revised 7/2/2012