

# *Baskin School of Engineering*

**Applied Mathematics and Statistics  
Biomolecular Engineering  
Computer Engineering  
Computer Science  
Electrical Engineering  
Technology & Information Management**

## *Faculty & Visitor Handbook*



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# Welcome to UCSC

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This handbook provides information for the Baskin School of Engineering faculty, lecturers and visitors. Any feedback and/or suggestions are welcome and should be directed to the Faculty Services Office, E2 298. We appreciate your contribution at UCSC, and hope to make your teaching or research a bit easier with these guidelines. We take teaching seriously and do our best to make the educational experience stimulating and productive for all our students. The Jack Baskin School of Engineering is located in the Jack Baskin Engineering Building (JBE) and the Engineering 2 Building (E2). The web address for the School of Engineering is:

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**Cricket Sloan – Biological Data Technician** E2 505, x9-5692, [cricket@soe.ucsc.edu](mailto:cricket@soe.ucsc.edu)

**Paul Tatarsky – Systems Administrator (Consultant)** E2 501, x9-1477, [paul@soe.ucsc.edu](mailto:paul@soe.ucsc.edu)

**Thorgeir Thorgeirsson – Medical Genomics Director** x9-4937, [thor@soe.ucsc.edu](mailto:thor@soe.ucsc.edu)

**Branwyn Wagman – Associate Director for Operations & Communications** E2 501C, x9-3077, [bwagman@soe.ucsc.edu](mailto:bwagman@soe.ucsc.edu)

**Erich Weiler –Systems Administrator** E2 525, x9-2801, [weiler@soe.ucsc.edu](mailto:weiler@soe.ucsc.edu)

**Ann Zweig – Quality and User Support Analyst** E2515, x9-1424, [ann@soe.ucsc.edu](mailto:ann@soe.ucsc.edu)

<b>Center for Information Technology in the Interest of Society - CITRIS</b>
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**CITRIS Reception –** E2 595, x9-3029, [citris-request@soe.ucsc.edu](mailto:citris-request@soe.ucsc.edu)

**Tacy Abbott – CITRIS Project Coordinator** E2 595G, x9-3696, [tabbott@soe.ucsc.edu](mailto:tabbott@soe.ucsc.edu)

**Mallory Block - CITRIS Administrative Assistant** E2 595A, x9-2817, [mblock@soe.ucsc.edu](mailto:mblock@soe.ucsc.edu)

**Brenna Candelaria – Program Coordinator for Ali Shakouri** E2 595H, x9-4464, [bcandela@soe.ucsc.edu](mailto:bcandela@soe.ucsc.edu)

**Pat Mantey – CITRIS Director** E2 595J, x9-2720, [mantey@soe.ucsc.edu](mailto:mantey@soe.ucsc.edu)

**Brad Smith – CITRIS Associate Director** E2 595K, x9-2370, [brad@soe.ucsc.edu](mailto:brad@soe.ucsc.edu)

**Tammy Tooley-Chelossi – CITRIS Administrative Manager** E2 595F, x9-2898, [ttchelossi@soe.ucsc.edu](mailto:ttchelossi@soe.ucsc.edu)

**NOTE:** For a complete listing of Tech Staff responsibilities, please refer to:

<http://support.soe.ucsc.edu/support>

Faculty can make technical requests using <http://itrequest.ucsc.edu>

For Facilities please contact [facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu)



For BELS (Lab support) please contact [bels-request@soe.ucsc.edu](mailto:bels-request@soe.ucsc.edu)

# Faculty Services

**Faculty Services:** 831-459-5745; [facserv@soe.ucsc.edu](mailto:facserv@soe.ucsc.edu)

The Faculty Services Office is located in E2 298 and is open Monday - Friday 8:00 a.m. - 5:00 p.m., closed for lunch from 12:00 p.m.-1:00 p.m. There is a drop box located outside the Department Offices. Faculty Services is provided for: Ladder rank, Emeriti, Lecturers, and visiting teaching faculty. Teaching Assistants may use the photocopier for instructional purposes only.

## WORK PRIORITY, SERVICES & SUPPLIES PROVIDED

<p><b>Supplies</b>          University letterhead          (computer generated)          University envelopes          Scratch pads, Lined tablets          Post-its          Manila envelopes          Paper clips          Pens, pencils, chalk &amp; markers          Lined tablets          Index cards          Tape, glue sticks          Desk Calendars          Transparencies</p>  <p><b>Other Services Provided:</b>          Typing, postage and envelopes for letters of recommendation for students; sorting mail for faculty.</p> <p><b>FAX Service for faculty only (no personal faxes)</b></p> <p><b>SERVICES AND SUPPLIES NOT PROVIDED:</b>          Personal correspondence          Personal Bills, packages          Library photocopy service          Postage for expedited mail/student papers          Supplies/repair for home computers          Hand delivery service</p>	<p><b>Faculty Administrative Support</b>          Bio-bibliographies-Teaching Information          Message taking          University business          Correspondence, reports          Letters of recommendation for students          General correspondence</p> <p><b>Teaching Support</b>          Photocopying and collating          Typing or text processing          Scanning documents/graphics          Assistance with ordering desk copies for classes          Postage for course related work          Processing instructor evaluations          Processing grade change forms          Concurrent enrollment course reports</p> <p><b>NO PHOTOCOPYING SERVICE FOR:</b>          Personal items          Readers for distribution/sale to students          Printing of theses/dissertations          Student-authored papers, dissertations          Non-course materials for students          Consulting materials          Textbooks          Non-research conference materials</p> 
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## Copy Cards

When making photocopies, a copy card must be used. There are copy cards for each department's teaching located in the Faculty Services Office, E2 298. Before using a card, the card number, person using the card, and date and time must be recorded on the sign-out sheet. The card is to be returned and signed-in as soon as the photocopying is complete. Lost cards are charged against your foapal. If you need a copy card designated for your research, please contact your assigned research accountant.

## Room Reservations

Conference rooms are available in the Jack Baskin Engineering Building, the Engineering 2 Building and at other locations around campus that can be used for meetings and seminars. Reservations for a conference room are made by the Faculty Services Office, E2 298 (459-5745, [facserv@soe.ucsc.edu](mailto:facserv@soe.ucsc.edu)). As per current policy, conference rooms are not scheduled for classroom use.

## Other Services: The Document Publishing & Editing Center

Available for manuscript revisions, editing, web page updates, tape transcription and other projects on a recharge basis. Contact Professor Publishing Services Coordinator (459-3888, [profpub@ucsc.edu](mailto:profpub@ucsc.edu))

## Copyright Law Information

Copyright law forbids photocopying of copyrighted materials without written permission. Permission request forms can be obtained from the Faculty Services Office, E2 298 or the Campus Printing Services located in the basement of the Jack Baskin Engineering Building. It is against copyright laws to copy entire books. For coursework, one copy of an article or a book chapter may be made. A limited number of copies may be made to put on reserve in the library. It is not permissible to make copies for distribution to students, since the University does not pay for text material for students.

For more information, please visit: <http://www.ucsc.edu/matman/buscon/copyrightgeneral.htm>



## Some Basics

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### Paychecks

Paychecks are normally issued on the first day of each month and are available after 1:00 p.m. Direct deposit is available. If you do not choose direct deposit, paychecks will be delivered to the Faculty Services Office, E2 298. You will need to sign for your check during office hours, Monday-Friday 8:00 a.m.-5:00 p.m., closed 12:00 p.m.-1:00 p.m. Paychecks may be forwarded to a home address during the summer. To do so, contact Faculty Services by email at [facserv@soe.ucsc.edu](mailto:facserv@soe.ucsc.edu). Direct any payroll questions you may have regarding your check to your Human Resources Coordinator, E2 298.

### Mailboxes

All School of Engineering faculty, staff and visitors have an assigned mailbox located in E2 210 or E2 310. Pick up and delivery of U.S. mail and on-campus mail occurs by approximately 11:00 a.m. daily. There are two mail bags, the burgundy colored bag is for on-campus mailings and the blue colored bag is for off-campus mailings. The mail stop name is "SOE 2" or "SOE 3" and should be written on all incoming and outgoing mail. Room and building numbers are not used. It is important that you use the correct mail stop when sending mail on campus. A complete list of campus mail stop names is available at [http://cmsmailserv.ucsc.edu/testweb/revise/index\\_advanced.php](http://cmsmailserv.ucsc.edu/testweb/revise/index_advanced.php) (press advanced search and use the drop down box to display all mail stop names). A Post Office Substation is located in the basement of the Baskin Engineering Building. To find out more about the Post Office Substation, please visit: <http://cms.ucsc.edu/uspsubstation.html>

### Computer Accounts/Support

Computer accounts are available for your convenience. For information about School of Engineering user accounts and UCSC computing policy, as well as to download a Terms of Agreement form, please visit: <http://support.soe.ucsc.edu/>. Terms of Agreement forms for computer accounts are also available in the Faculty Services Office. Completed forms for Faculty should be turned in to Instructional Support, E2 298 and other Academic positions should be turned in to your Academic Payroll Analysts, E2 298. The ITS Department can assist you with setting up your computing environment, accessing email, and linking to the department's network. For frequently asked questions and tutorials, please visit the following web site: <https://twiki.soe.ucsc.edu/twiki/bin/view/SOEFAQ/WebHome>  
For technical support use <http://itrequest.ucsc.edu>

### ID/Library Card

A faculty ID card is available through your Human Resources Coordinator. This card may be taken to McHenry Library or to the Science Library to be laminated and provided with a bar-code so that it may be used as a library card. There are on-line resources to the University libraries such as databases, directories and periodicals. You may also order materials on-line. For more information, please see: <http://library.ucsc.edu>

### Telephones

The Department has a limited budget for telephone calls and reserves the right to request reimbursement for any personal, research, or non-departmental business related calls. For information regarding ordering your phone/voicemail service, see the Facilities Services section of this handbook (page 34) or contact your department for current policy and practice for telephone usage.

### Conference Calls

To make a conference call from your office phone, refer to the Telephone User Guide instructions located near the front of the Campus Directory. If you need to set up a meeting to make a conference call, the Faculty Services Office has a conference speaker phone you may check out. If you are making a conference call for department business, please contact your department manager for the conference number and instructions on how to access Ready Talk.

### Getting Listed in the Campus Directory

In addition to the contact information on the SOE website, faculty must list their contact information on the on-line UCSC Campus Directory. To add or update your information, please use the on-line Campus Directory at: <http://www2.ucsc.edu/its/cgi-bin/ucscdirectory>

## Guidelines for Faculty Information on the SOE WEB Site

Please visit <https://intranet.soe.ucsc.edu/update-directory-information> to update your directory information, including things like your office hours, office location, selected publications and so on. If your first name, last name or title are incorrect in the directory, please e-mail [facserv@soe.ucsc.edu](mailto:facserv@soe.ucsc.edu) to make a correction. Additionally, please contact Tim Gustafson ([tjg@soe.ucsc.edu](mailto:tjg@soe.ucsc.edu)) to schedule a time to take your faculty photograph if you have not already done so. Your photo will be taken on campus in the Jack Baskin Engineering building, and the whole process takes about 15 minutes. Please note that user-submitted photos are not accepted for the faculty directory.

### Keys/Omnicones

All instructors will be issued keys to a faculty office (which may be shared), to the outside doors of the building, and to the mail rooms. Keys are available from Facilities (459-4878, [facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu)) in Jack Baskin Engineering, Room 399C from 1:00 pm – 3:00 pm. These keys must be returned to the Facilities office at the end of the appointment period. Specific research and instructional labs have Omnicones and require a code to access these labs. These codes are also distributed in the Facilities Office. If you get locked out of an office or lab, call facilities or email [facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu)

### Electronic Key Cards (E2 Building)

Faculty, staff, and students accessing the Engineering 2 Building will be using the School of Engineering's electronic door access system. This system uses a proximity card (credit card size with photo ID) to control the locks on the perimeter building doors and numerous rooms within.

Key cards for faculty require authorization from the department manager. All authorizations are sent via email to [facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu) in advance and the email must include the reason why they need the card, what areas the holder needs to access, and an end date. Once Facilities receives the authorization you will need to have your photo taken at campus ID Services located on the ground floor of the Bay Tree Building. Hours of operation are 9:00 am to 1:00 pm and 2:00 pm to 5:00 pm. Next, ID Services will send your card to SOE Facilities for activation. After your card has been activated, SOE Facilities will contact you to pick up your card in the Facilities office, BE 399C.

Please contact SOE Facilities, x9-4878 or [facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu) , with any questions regarding card access.

### Faculty Housing

The Housing, Dining and Child Care services provide housing services for Faculty. These services include apartments for faculty, assistance with finding off-campus housing, guest apartments rented on a daily basis, faculty for-sale housing (housing build on land leased by the University and sold to eligible faculty) and mortgage assistance programs. For more information, call the Faculty Housing Office at (831) 458-3506, send e-mail to [facultyhousing@ucsc.edu](mailto:facultyhousing@ucsc.edu), or visit: <http://housing.ucsc.edu/employee-housing/index.html>

### Bio-bibliography (CV)

All Senate and non-Senate faculty at UCSC are required to keep their bio-bibliography (CV) up to date. The campus uses a standardized format. Guidelines for bio-bibliographies are now available on the web at the following web site: [http://www2.ucsc.edu/ahr/academic\\_policies\\_and\\_procedures/cappm/appen9.htm](http://www2.ucsc.edu/ahr/academic_policies_and_procedures/cappm/appen9.htm). The updated bio-bibliography is a key component of all faculty personnel reviews. In the School of Engineering, the Instructional Support Coordinators will provide updated teaching information as needed for inclusion on the bio-bibliography.

BiobibNet is a pilot application to allow faculty to update their bio-bibliography online. Information can be found at: [http://apo.ucsc.edu/academic\\_workshops\\_and\\_training/BiobibNet\\_manual.htm](http://apo.ucsc.edu/academic_workshops_and_training/BiobibNet_manual.htm)



## **Transportation and Parking**

All vehicles using campus parking lots between 7:00 am and 5:00 pm and from 7:00 am – 8:30 pm in the Engineering 2 Building parking lot must display a parking permit appropriate to that lot, or park in a metered space and pay the meter. Purchasing a permit does not waive the meter fee. Parking permits may be purchased at the Transportation & Parking Services (TAPS) Sales Office, x9-4543, located in the H Barn (adjacent to the Campus Police Office) near the main entrance to the campus. You may purchase parking permits which are good for an entire quarter, or daily, monthly, or annual permits.

The most common forms of transportation on campus are walking, biking, and riding shuttles. Day and Night Shuttles operate year round and schedule information is posted at each bus stop or visit <http://taps.ucsc.edu/daynighttransit.html>. These shuttles are free to all users and wheelchair accessible. There is also a disability van service for those unable to use the regular campus shuttle service.

All UCSC faculty and Research Associates are eligible to receive Santa Cruz City bus passes for the duration of their stay on campus. There is an annual fee of \$105.00 for those faculty and staff that want a bus pass. The bus passes provide day, evening and weekend transportation around the campus as well as throughout Santa Cruz County on the Santa Cruz Metro system. Busses arrive at UCSC approximately every eight minutes on weekdays, every half-hour during the evenings, and every 20 minutes on weekends and holidays. Schedules and route guides are published quarterly. To obtain a bus pass, go to the Transportation & Parking Services (TAPS) office at the H Barn near the campus main entrance. There are also other commuting options such as vanpools, carpools and a bike trailer from Mission Street to campus, as well as a disability van service. For more information, please visit: <http://www2.ucsc.edu/taps>

## **Seminars and Visitors**

The School of Engineering hosts a large number and variety of academic seminars, which bring visitors from around the world to share their expertise with our faculty and students. The Faculty host is responsible for setting a seminar schedule and inviting visitors to campus. Faculty Services ([facserv@soe.ucsc.edu](mailto:facserv@soe.ucsc.edu)) provides staff support for seminar presentations, and can coordinate all logistics including facilities, posting events to the SoE web page, making announcements and flyers, giving directions to campus and providing parking permits for visitors.

## **Reimbursement Procedures for Entertainment, Seminars, and Hosting Visitors**

Forms for reimbursement can be found at: [http://financial.ucsc.edu/Pages/Entertainment\\_Main.aspx](http://financial.ucsc.edu/Pages/Entertainment_Main.aspx)

A request for payment or reimbursement of official entertainment expenses must be approved by the department before hosting visitors. A request for payment must be submitted on an Entertainment Check Request (Form U5-IE), or an equivalent campus form (UCSC Entertainment and Student Programming Reimbursement Form). The completed request must include the following information:

- Type of expense (lunch, dinner, etc.)
- Type of event
- Number of participants (with attached guest list containing the name and title, occupation or group, in order to establish the business relationship to the University)
- Date and location of the event
- Nature of the occasion or the purpose of the meeting
- Official host's name and department

Requests for payment processed electronically must contain the same information as that required for paper processing. All expenses must be supported by original itemized receipts, or acceptable electronic receipts, which must be submitted with the request for payment. In addition, the request must include a certification by the official host that the entertainment expenses were incurred for official University business purposes.

## **Maximum Rates for Entertainment**

The maximum per person expenditures for individuals being entertained and for a University employee who is the official host, or who is a participant at the request of the official host, shall not exceed the following amounts:

- Breakfast \$26.00
- Lunch \$38.00
- Dinner \$64.00
- Light Refreshment \$17.00

The reimbursement for a buffet reception cannot exceed the applicable meal allowance associated with the type of buffet, i.e., breakfast, lunch or dinner. Alcoholic beverage or tobacco purchases may not be charged to State funds.

For more information on reimbursement policies, [http://financial.ucsc.edu/Pages/Entertainment\\_Main.aspx](http://financial.ucsc.edu/Pages/Entertainment_Main.aspx)  
Contact FAST General Help Line at 459.4488.

## Technical Reports

The School of Engineering posts technical reports on our web sites. A tech report number (i.e. UCSC-SOE-YY-NN) is assigned automatically.

- To request a technical report number (i.e. UCSC-SOE-YY-NN), create a ticket at <http://www.soe.ucsc.edu/research/reports/new>

- When creating the ticket, please be sure to include the name of your technical report, the authors of the report, the department with which the report should be associated (AMS, BME, CE, CS, EE or TIM), the name of the faculty member who has approved the report, and a one to three paragraph abstract of the report.

- A report number will be generated and e-mailed to you.

- The first page of your report document must include: title, authors, institution, tech report number, date (month and year), abstract, and keywords, the name of the faculty who approved the report and the assigned technical report number.

- Submit a copy of your technical report in PDF format to [webmaster@soe.ucsc.edu](mailto:webmaster@soe.ucsc.edu).

- Your technical report will then be posted on-line on the main [www.soe.ucsc.edu](http://www.soe.ucsc.edu) web site and also your departmental web site ([www.ams.ucsc.edu/](http://www.ams.ucsc.edu/) for example).

To see the current library of technical reports, please see: <http://www.soe.ucsc.edu/research/reports>



# Preparing to Teach

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## Scheduling Courses and Classrooms

The Instructional Support Coordinators ([scheduler@soe.ucsc.edu](mailto:scheduler@soe.ucsc.edu)) devise a course schedule three quarters before classes start. Any request for changes after the initial schedule has been published must be requested and approved first by your Department Chair. Instructional Support and Department Managers will try to accommodate changes. For more information on classroom scheduling policy, visit: [http://reg.ucsc.edu/staff/classroom\\_policy.html](http://reg.ucsc.edu/staff/classroom_policy.html). For the current course schedule, see: <http://gazos.ucsc.edu/soc/index.cfm>

## Concurrent Enrollment

Some students enroll in regularly scheduled UCSC classes through University Extension, as a means of taking one or two classes at a time. These enrollments are referred to as “concurrent enrollments.” University Extension administers these enrollments—collecting fees, enrolling the student, and then collecting and posting the grades at the end. Instructors receive a separate grade sheet (course report) form at the end of the quarter for any concurrent enrollment students. This form is completed by the instructor of record for each course and returned directly to the University Extension office, not to the Registrar's office.

## Ordering Textbooks

Faculty should order all textbooks (graduate and undergraduate); including copies for students to buy at the Bay Tree Bookstore as well as desk copies for TAs, about two months before classes start. You may order textbooks by phone at 831-459-4216, by paper form available in the Faculty Services Office, by email to [txtbooks@ucsc.edu](mailto:txtbooks@ucsc.edu), or online at <http://slugstore.ucsc.edu/>, use the faculty requisition link. If you choose to send an email, please include your name, department, phone number, address, course title and ID number, estimated enrollment, as well as the author, publisher, title and ISBN for each course book you need. Also include if the textbook is optional or required and, if ordering multiple textbooks for one course, in what sequence the textbooks will be used. To order desk copies for TAs, the publisher needs to be contacted. Please contact Faculty Services should you have any questions or problems ordering books.

## Reserve Books

McHenry Library and the Science Library will be happy to place books on reserve for your class. Normally information is due about two months before classes begin. To reserve books from McHenry Library call x9-3266, and for the Science Library call x9-2865. For more information, visit McHenry Library at: <http://library.ucsc.edu/mchenry> or visit the Science Library at: <http://library.ucsc.edu/science/index.html>

## Other Course Readings

If you wish to provide other material (e.g., unpublished manuscripts, articles) you can arrange for the duplication of this material. We typically use the UCSC Copy Center (459-4104) for this service. Having a course reader for students to purchase may be preferable to requiring students to read many library reserve materials. Each quarter, the Copy Center has a specific deadline. Please allow six (6) – eight (8) weeks for this process. Check with the Faculty Services Office or visit this web site: <http://cmsmailserv.ucsc.edu/>

## Equipment & Media Needs

Limited equipment for course support is available for your use. The Faculty Services Office has an overhead projector, a slide projector, and data projectors which you may check out. If you need a VCR/monitor or other equipment you should check with Faculty Services for assistance. Many of the larger campus classrooms have this equipment built in. To access media equipment in your classroom, call Media Services at x9-2117 (9-5858 in an emergency) for the combination to the classroom's media cabinet. As a general rule Media Services requires two working days notice for media request for primary courses and five working days for special events (seminars/talks). Keys to JBE 156 need to be checked out with Media Services. For a full description of the services provided by Media Services, please go to their website at: <http://media.ucsc.edu>

## Office Hours

Faculty, lecturers and TAs should hold office hours to answer students' questions, preferably at least 2-4 hours a week. To update your office hours, please visit <https://intranet.soe.ucsc.edu/update-directory-information> at your convenience. A list of faculty office hours will automatically post on the SOE web page, <http://www.soe.ucsc.edu/people/faculty>. If you cannot be present during office hours, it is advised to place a note on your door and/or notify the Faculty Services Office to post signage for you.

## Absence from Teaching

Faculty informs their Department Chair and Department Manager of any absences and faculty are responsible for arranging for a substitute instructor. Email [scheduler@soe.ucsc.edu](mailto:scheduler@soe.ucsc.edu) with the name of the substitute instructor for informational purposes in case questions arise.

The following procedure to cancel a class:

1. Faculty informs their students by email and also lists on their class web page all class cancellations.
2. Notify Instructional Support at [scheduler@soe.ucsc.edu](mailto:scheduler@soe.ucsc.edu) with the date of the class cancellation and if a makeup class should be rescheduled. **This is critical for distance learning classes.** IS will notify Faculty Services to post signage at the classroom.
3. Notify the Undergraduate or Graduate Office if you plan to be absent so that they can answer any questions from students.

## Taking a Leave of Absence

Faculty leaves can take many forms, and should always be discussed well in advance with the Department Chair. Existing campus policy governs informal faculty leaves of absence during the academic year and especially while the quarter is in session.

If you are planning to be away from campus for any length of time during the academic year, please follow these guidelines:

For a period of absence of one to seven consecutive days, you must notify (via e-mail or in writing) the department chair **in advance**, who can then approve the leave. Please include the following information: dates of purposed absence, reason for absence, and arrangements for covering any teaching or service obligations.

For a period of absence longer than seven days, you must formally request the Dean's approval. You should give the department chair a written request addressed to the Dean and containing the information indicated above. The department chair will review and endorse the request and forward it to the Dean for approval. Depending on the duration and nature of an extended leave, you may be asked to complete a Leave of Absence form. Once that request is received and approved, a leave of absence form will be prepared for your signature.

It is helpful to notify the Chair at the beginning of each quarter about any anticipated absences, rather than waiting until a few days before you plan to leave.

The Campus Academic Personnel Manual

[http://www2.ucsc.edu/ahr/academic\\_policies\\_and\\_procedures/CAPM\\_manual.htm](http://www2.ucsc.edu/ahr/academic_policies_and_procedures/CAPM_manual.htm)

Spells out the regulations on the various types of formal leaves available:

Leaves of Absence/General	Sabbatical Leaves
Sick Leave	Leave for Service to Governmental Agencies
Family and Medical Leave	Military Leave
Holidays	Leave to Attend Professional Meetings
Vacation	Other Leaves with Pay
Childbearing Leave	Other Leaves without Pay
Parental Leaves	Active Service-Modified Duties

*Please refer to these policy sections for University policy concerning these leaves and/or contact SoE Academic Human Resources.*

## Permission Codes

Permission codes are released to all instructors and co-instructors by Instructional Support ([scheduler@soe.ucsc.edu](mailto:scheduler@soe.ucsc.edu)) for undergraduate courses and graduate courses prior to a quarter's enrollment period. The following information is provided to assist you as you utilize this tool. What permission codes are: A permission code is a number issued by an instructor to a student who:

- does not meet published course restrictions (major, class level, college)
- does not meet course prerequisites (e.g. a student with transfer credit)
- is permitted to add a class after the 7th day of instruction
- is permitted to add a class that is full (closed) provided the room has seating available

Permission codes are unique to a specific course section, **may be used only once by a student** and may be used any time **after** the beginning of Open Enrollment. Receiving a permission code guarantees that the student has a place in the class.

The Instructor will receive a permission code roster, if appropriate, for each course section that is taught. If an instructor is teaching more than one section of the same course, **it is critical that codes are issued from the correct roster**. To avoid issuing the same code to two students, it is advised that instructors record each student's name or ask each student to sign the roster.

Permission codes are required for Interview Only and Individual Studies courses since the call number for the course is not published. Instructors need to obtain prior approval from the Department Chair or Manager if they wish to increase enrollment above the projected limit.

For more information on permission codes, please see: [http://reg.ucsc.edu/staff/ais\\_info/fac\\_info.html](http://reg.ucsc.edu/staff/ais_info/fac_info.html)

## Evaluation of Teaching

During the last week of classes each quarter, all instructors will receive blank copies of evaluation forms to be filled out by students in each course the instructor has taught. These forms are to evaluate teaching performance, and the overall success of the class. If there were TAs in the class, there may also be forms for evaluating them. Use of these forms is mandatory. Here is the procedure:

1. Distribute the evaluation forms during class time. Allow enough time for the students to complete the forms in class. (OR the faculty designates a student or TA to come to Faculty Services to receive the blank evaluations and distribute the forms during class time. Allow enough time for the students to complete the forms in class.)
2. Ask a student or a TA (OR the same student who picked up the forms will collect) to collect the forms at the end of the class and return them promptly to the SOE Faculty Services Office. Faculty members should not collect their own forms.
3. The evaluations will be tallied in a Scantron machine and then filed in the department office. TA evaluations will be filed in the graduate office.
4. Faculty may read their evaluations in the Department Office.
5. Evaluation forms are used in all faculty merit review and promotion cases, and in reappointment of all lecturers.

For more information, please visit Center for Teaching and Learning: <http://www.ic.ucsc.edu/CTE>

## FERPA - Family Educational Rights and Privacy Act

The disclosure of information from student records is governed by the Federal Family Educational Rights and Privacy Act (FERPA) and, in part, by the State of California Education Code. It is the purpose of these policies to provide reasonable interpretations of those laws and to protect students' right of privacy as guaranteed by the Constitution of the State of California. Where the law is silent, the campus shall be guided by two principles: (1) the privacy of an individual is of great weight; and (2) the information in a student's file should be disclosed to the student on request.

To read more about FERPA visit: <http://reg.ucsc.edu/guidelines.html>. A quick reference is provided in Appendix A of this handbook

## Homework, Exams, Papers: Returning Them to Students

There is a federal policy which falls under the Family Educational Rights and Privacy Act. The FERPA requires that faculty return homework and exams in a manner that prevents public view of another person's work and grades. Placing papers in boxes outside office doors is clearly a violation of the spirit of FERPA. Individual faculty rather

than the University are open to litigation and fines for violating the FERPA should a student or students decide to take action.

Campus mailboxes are federally protected. Removing anything from a mailbox constitutes a federal offense. Faculty cannot put homework or exams in student mailboxes or in their own mailboxes and request students go there to pick them up.

The safest policy is to have teaching assistants hand out work individually ten minutes before class or after class ends. If a class does not have a teaching assistant or reader, it is likely that there are few enough students that personally handing back the assignments during class time would not be an undue burden. If students miss class, they may pick up their work from the instructor's office during their designated office hours. For assignments at the end of the quarter, the instructor may require that students provide stamped, self-addressed envelopes so that work can be returned to them if they wish to have it.

It is also important to stop the practice of posting grades—that is another violation. Grades are available to students via AIS, so it really isn't necessary for faculty to post grades outside their office.

### **Accommodations for Students with Disabilities**

You may be asked to make special accommodations for students with disabilities (including learning and psychological disabilities). By state and federal law, you are **required** to respond to these requests. Please do not question the student in regard to details of the disability. If they do not already have an Authorization for Accommodation from the Disability Resource Center (DRC), please encourage them to contact DRC at 459-2089.

Faculty Services assists faculty with making special arrangements. The types of accommodation that may be requested could include setting up separate exams for some students, giving them additional time for exams, providing large-type materials, allowing sign language interpreters, note-takers or tape recorders in your classroom, or moving to an accessible classroom. Information is available from the DRC at 459-2089. The email address is [disable@ucsc.edu](mailto:disable@ucsc.edu). For more information: <http://www2.ucsc.edu/drc/> or visit the Americans with Disabilities Act home page at <http://www.usdoj.gov/crt/ada/adahom1.htm>

### **Helpful Campus Publications**

The quarterly *Schedule of Classes* is the guide to enrolling in classes. It provides the appointment schedule for priority enrollment, the courses and their call numbers, course descriptions for courses offered, and instruction on how to access **MyUCSC portal**, the UCSC enrollment system.

At the third week of classes, you can access your official Class Roster from AIS through MyUCSC portal. Please encourage your students to enroll/drop the course prior to the third week.

The *UCSC General Catalog* gives detailed descriptions of major requirements and course prerequisites, restrictions and enrollment limitations. *The Navigator* contains information on a wide variety of campus policy matters as well as academic and student affairs. These publications are available online at: <http://reg.ucsc.edu/>

## **Academic Calendar**

<http://reg.ucsc.edu/calendar/calendar.pdf>

# Teaching Assistants and Readers

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## Teaching Assistant Policy

The Department Graduate Advisors work with the respective department Graduate Directors in making TA assignments based on course enrollments and available allocations. Many undergraduate School of Engineering courses have TA support. Preliminary assignments are made several weeks before classes start, but final assignments may depend on actual undergraduate class enrollment, which often is not known until the second week of the quarter.

TA assignments are made on the basis of balancing faculty and graduate students' preferences and strengths. Every attempt is made for the best possible match of student skills and faculty needs.

## Teaching Assistant Responsibilities

The faculty member decides what help is needed from TAs. TAs may assist with labs or weekly discussion sections, or holding review sessions before exams, helping to grade or make up papers, exams, and problem sets. Regular attendance at class is strongly encouraged. An "Instructor Checklist for TAs" form must be filled out by the TA and the instructor at the beginning of each quarter as part of the hiring process.

The usual TA appointment is for 50% time, 210 hours (maximum) per quarter. It is the responsibility of the instructor and TA jointly to assure that the TA's load is not too heavy. Faculty should work with TAs in defining expectations for sections. You should meet with your TA(s) before classes start and define expectations regarding responsibilities, grading standards, class attendance, meetings, etc. If you would like assistance in working with your TAs, see graduate advisors or director for more information.

## Evaluation of TAs

Like the faculty, TAs are evaluated by their students. Faculty Services provides forms for evaluation. A summary provides feedback to the faculty supervisor and to the TAs. Evaluations are used in selecting the TAs who will receive Distinguished Teaching Awards in the department, as well as in making future TA assignments.

## Readers and Tutors

Undergraduate or Graduate students can be hired as paid readers or tutors in the School of Engineering by request of the Instructor with prior approval of the Department Manager and Chair. They are hired on a quarterly basis. The Academic Personnel Payroll Analysts may assist with recruitment of readers and tutors. Students keep a monthly time sheet, which must be signed by the faculty supervisor before the student can be paid. Faculty should speak with their respective Department Managers regarding approved Reader/Tutor allocations.



# Grades

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## Narrative Evaluations

At this time all undergraduate courses taught by faculty **DO NOT** require a narrative evaluation; however, all graduate courses taught by faculty **DO** require a narrative evaluation. This includes all seminars, lectures, independent study or research and there are **NO EXCEPTIONS**.

An evaluation for graduate students in a credit course who receive a grade of A, B, C, D, P, S, or U is required. An evaluation for graduate students with a grade of F, NP (No Pass), W (Withdraw), or I (Incomplete) is not required. Evaluations for courses not offered for credit are also not required. However, an evaluation including a brief explanation of why the F, NP, W, or I grade was warranted may help the graduate student, the college academic preceptor, and academic standing committees. The evaluation for an F, NP, W, or I grade will not appear with the graduate student's official transcript, but students and faculty can access the grades through MyUCSC. When a grade is changed (e.g., NP to P, I to P), attach the new evaluation to the forms (Instructor Initiated Change of Grade or Petition for Removal of Incomplete).

A narrative evaluation:

- Describes the strengths and weaknesses of the student's performance in the various areas of class activity (discussion, laboratory work, term papers, exams)
- Assesses the student's general understanding of the course content
- Allows recognition of additional or particularly outstanding work

Narrative evaluations for students are used at UCSC in academic advising, reviewing scholarship applications, awarding college honors and honors in the major. Evaluations are a permanent part of a graduate student's academic record, appearing as part of the official UCSC transcript. They are due approximately three weeks after the end of each quarter.

Narrative evaluations are submitted electronically via MyUCSC portal. The registrar's office no longer prints or sends copies. It's all self-service now.

See this link for updated info: [http://reg.ucsc.edu/NES/nes\\_form.html](http://reg.ucsc.edu/NES/nes_form.html)

The wording used to describe academic performance is very important. Using language which does not accurately describe the student's performance can be misleading and can lead to complaints and grievances filed. For example using words such as "excellent" or "outstanding" to describe a student who has done B or C work can cause problems. Similarly, work that is poor but passing can be described by using words such as "adequate," "marginal," etc. Refer to the brochure "Grades and Narrative Performance Evaluations: A Faculty Handbook" available at <http://reg.ucsc.edu/nes/handbook/>

## Grading Options

In addition to the narrative evaluation, which is written for each student in each course for which credit is awarded, students will receive a letter-grade option (A, B, C, D, and F), unless they elect to receive a Pass/No Pass. The choice is the student's at the time of enrollment and can be changed until the end of the third week of the quarter. For students that elect for the Pass/No Pass option, UCSC instructors must use the following system:

**for undergraduates: (C or above for a Pass grade)**

P (pass)                      NP (no pass)                      I (incomplete)

**for graduates: (B or above for a Satisfactory grade)**

S (satisfactory)                      U (unsatisfactory)                      I (incomplete)

## Pass/No Pass Option

For the Pass/No Pass option, students receive a P (Pass) for work that is performed at C, or better. For work that is not clearly passing, no academic credit is awarded for the course, and no notation appears on the student's external transcript. The notation NP is recorded on the grade sheet. For work that is passing but incomplete, the notation I

(Incomplete) may be issued (see below). In general, SOE majors must take their SOE courses for a letter grade, so instructors should discourage the Pass/No Pass option. See the Undergraduate Directors for more details.

### **Letter Grade Option**

Students are graded by the traditional notations of A, B, C, D, F, I (incomplete), and W (Withdraw). Undergraduate grades of A and B may be modified with + or -, the grade of C may only be modified with a +. The University does not have a grade of C-. Graduate students do not receive + or - modifiers. For work that is passing but incomplete, the notation "I" may be issued (see below). The notation "W" is issued when the student petitions to withdraw from a course, provided that the petition is received no later than the beginning of the last week of instruction. Narrative evaluations must be written for graduate students receiving A, B, C, D, P, S, or U. Narratives are optional for graduate students receiving F, NP, W, or I. Refer to the Navigator for additional information.

### **Incomplete**

The notation "I" may be assigned when work for a course is of passing quality but is not complete. The student must make prior arrangements with the instructor in order to receive an Incomplete. To remove the Incomplete, the student must file a petition and turn in the completed "I" course work by the deadline, near the end of the following quarter. The deadline is printed in the Academic and Administrative Calendar. When students do not meet the deadline, the incomplete lapses to a No Pass or an F, depending upon the grading option selected at the beginning of the quarter. It is recommended that lecturers who are here for only one or two quarters not assign the grade "I" as a student's grade at the end of the quarter. If it is absolutely necessary, the lecturer must make prior arrangements with a full time faculty member to be responsible for evaluating the student's completed work after the lecturer has left the campus.

### **Grade Changes**

A final grade notation may be changed upon written request of the instructor provided that there has been a clerical or procedural error. A grade notation may not be changed on the basis of re-examination or the completion of additional work after the end of the quarter. A grade change must be submitted within one year from the close of the quarter for which the original grade was submitted. Faculty Services Office has the Instructor Initiated Change of Grade forms. The forms should be filled out and returned to the Faculty Services Office for processing.

### **Grade-Point Average**

Beginning with students who entered UCSC for the first time in fall 1997, a cumulative grade-point average is entered on the transcript at the conclusion of each academic quarter, provided that the student has elected letter grades in at least two-thirds of the cumulative credits attempted. Students who entered UCSC prior to fall 1997 may elect letter grades in most courses; however, their grade-point averages will not be computed.

### **Assignment of Grades: Instructor Responsibility**

The instructor in charge of a course is solely responsible for the grades assigned subject to the policies and regulations of the Academic Senate. The deadline for selection of either the P/NP or letter grading option is the third week of the quarter, and the deadline to drop, the fourth week. Students who select the letter-grade option may still withdraw (request a W grade) by the deadline during the 9th week of instruction. At the end of each quarter, the instructor must assign a final grade based on the work required for the entire course to each student enrolled in that course. An "I" grade may be assigned, if appropriate (see Incompletes above). The grade option selected by the student will appear on the student's schedule. Grades submitted which are inconsistent with the grading option selected by the student, will be recorded as an interim grade by the Registrar's Office which will request further clarification from the instructor.

For additional information regarding AIS and other frequently asked questions  
[http://reg.ucsc.edu/staff/ais\\_info/fac\\_info.html](http://reg.ucsc.edu/staff/ais_info/fac_info.html)

### **Academic Integrity**

For more detailed information go to [http://www.ucsc.edu/academics/academic\\_integrity/](http://www.ucsc.edu/academics/academic_integrity/)

In addition to the copies required on the form, please be sure to give a copy of all academic integrity reports to the College Provost as well as the Undergraduate Office or Graduate Office.

## **Honors**

At graduation, the School of Engineering may confer Honors or Highest Honors in the major. Please contact undergraduate or graduate advising for more information.

## **College Honors**

Faculty of the School of Engineering may confer College Honors at graduation if they determine that the student's academic performance is of outstanding quality throughout their undergraduate career. Please contact undergraduate advising for more information.



# Checklist for School of Engineering Instructors

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## *For the beginning of each quarter*

\_\_\_\_ Write your syllabus and place on class web page. Include assessment criteria, academic integrity policy and reminder about tutoring services and DRC. Incorporate this statement into your course website, syllabus, or class announcements early in the term.

*"If you qualify for classroom accommodations because of a disability, please get an Accommodation Authorization from the Disability Resource Center (DRC) and submit it to me in person outside of class (e.g., office hours) within the first two weeks of the quarter. Contact DRC at 459-2089 (voice), 459-4806 (TTY), or <http://drc.ucsc.edu> for more information on the requirements and/or process."*

The DRC has provided an updated and comprehensive faculty resource page at:  
[http://www2.ucsc.edu/drc/faculty\\_staff/faculty\\_resources.shtml](http://www2.ucsc.edu/drc/faculty_staff/faculty_resources.shtml)

\_\_\_\_ To arrange for class web pages, contact <http://itrequest.ucsc.edu/> and in your request please note "For a School of Engineering web page" or contact SoE webmaster, Tim Gustafson, x9-5354.

\_\_\_\_ To advertise your class in any special way, email [advising@soe.ucsc.edu](mailto:advising@soe.ucsc.edu) to inform the undergraduate staff in advance, or email [tucker@soe.ucsc.edu](mailto:tucker@soe.ucsc.edu) or [mullane@soe.ucsc.edu](mailto:mullane@soe.ucsc.edu) to inform the graduate staff in advance, e.g., if it is a new class and/or if you want to advertise to a wider audience.

\_\_\_\_ Be aware of student privacy regulations ([http://reg.ucsc.edu/guidelines\\_qr.htm](http://reg.ucsc.edu/guidelines_qr.htm)) Scores cannot be publicly posted and exams must be returned individually.

\_\_\_\_ Order textbooks for the class several weeks in advance. This can be done through Bay Tree Bookstore (x9-4216, [txtbooks@ucsc.edu](mailto:txtbooks@ucsc.edu), <http://slugstore.ucsc.edu/> and click on textbooks).

\_\_\_\_ Order desk copies of textbooks for yourself and your TAs (if any) from the publisher six weeks in advance.

\_\_\_\_ Place your textbook or other course materials on reserve at the Science & Engineering Library. (<http://library.ucsc.edu/science/access/reserves.html>). For course readers, contact Professor Publishing Services, (x9-3888, <http://printing.ucsc.edu/profpub/orderprocess.html>).

\_\_\_\_ If you need readers or tutors for your class, contact your department manager.

\_\_\_\_ Contact your department chair to increase enrollment

\_\_\_\_ Inform Instructional Support ([scheduler@soe.ucsc.edu](mailto:scheduler@soe.ucsc.edu)) of any other special circumstances about your class(es) of which you may be aware, such as classroom features, e.g. media, seating arrangements, or expecting larger than usual class size.

\_\_\_\_ To schedule any BELS teaching labs or special software for your BELS Lab, contact Dave Meeks, Lab Manager, (BE 40, x9-2812, [bels-request@soe.ucsc.edu](mailto:bels-request@soe.ucsc.edu)).

\_\_\_\_ To schedule Instructional Computing (IC) lab use, contact Jennifer Miller, Scheduling Coordinator x9-5651, ([jlschoen@ucsc.edu](mailto:jlschoen@ucsc.edu))

\_\_\_\_ NES (Narrative Evaluation System) Additional information is located at [http://reg.ucsc.edu:80/nes/nes\\_form.html](http://reg.ucsc.edu:80/nes/nes_form.html)

Thank you,

Faculty Services  
[facserv@soe.ucsc.edu](mailto:facserv@soe.ucsc.edu)

## IEEE Code of Ethics

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We, the members of the IEEE, in recognition of the importance of our technologies in affecting the quality of life throughout the world, and in accepting a personal obligation to our profession, its members and the communities we serve, do hereby commit ourselves to conduct of the highest ethical and professional manner and agree:

- to accept responsibility in making engineering decisions consistent with the safety, health, and welfare of the public, and to disclose promptly factors that might endanger the public or the environment
- to avoid real or perceived conflicts of interest whenever possible, and to disclose them to affected parties when they do exist
- to be honest and realistic in stating claims or estimates based on available data
- to reject bribery in all its forms
- to improve understanding of technology; its appropriate application and potential consequences
- to maintain and improve our technical competence and to undertake technological tasks for others only if qualified by training or experience, or after full disclosure of pertinent limitations
- to seek, accept and offer honest criticism of technical work, to acknowledge and correct errors, and to credit properly the contributions of others
- to treat fairly all persons regardless of such factors as race, religion, gender, disability, age, or national origin
- to avoid injuring others, their property, reputation, or employment by false or malicious action
- to assist colleagues and coworkers in their professional development and to support them in following this code of ethics

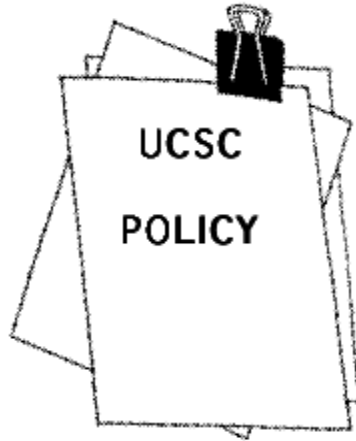


# Sexual Harassment Issues

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A healthy and productive educational community is one in which students, faculty, and all staff treat each other with mutual respect. Such a community requires an atmosphere free of discrimination on the basis of sex, sexual orientation, race, color, nationality, ethnic origin, religion, creed, age, or disability. Sexual harassment is not tolerated at UCSC. Both state and federal laws also prohibit behavior that constitutes sexual harassment.

The full policy statement about sexual harassment may be viewed on-line at: <http://www2.ucsc.edu/title9-sh/>



# SOE Facilities Office

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[facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu) - Located in Jack Baskin Engineering building, 3<sup>rd</sup> floor, Room #399C. Office Hours are 1:00 pm – 3:00 pm.

Facilities Manager: x9-3794  
Facilities Assistant: x9-5710  
Facilities Analyst: x9-5649  
Door Access & Key Administrator: x9-4878

The Facilities Office provides services that include, but are not limited to: security and access, keys, phones, furniture issues, space preparation, repairs, custodial scheduling, shutdown notification, project coordination, installations, moves, storage, surplus and disposal, receiving, work orders.

## Security and Access Codes

Keys and access codes are assigned in the Facilities Office. Faculty and staff will be assigned keys and codes that pertain to their areas of work: exterior doors, your office, labs and the mail room. Certain keys require approval from the Dean of Baskin Engineering.

Your students may also need keys, omnicodes, and key cards. They will require authorization from their sponsoring faculty of the Instructional Lab Manager. Your authorizations must be emailed to the Facilities office, [facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu) in advance of the student's need. They should state the student's name, the room(s) to be accessed and the estimated duration of that assignment if possible. Students obtain their keys, codes, and key cards in person. Students must have picture identification.

There is no deposit required for assignment of keys, omni codes, or access cards. However, students who fail to return keys will be charged a \$40.00 fee per key. Omni codes are reviewed quarterly and unauthorized codes are deleted quickly and regularly.

## Phones

The Facilities Office is the source for ordering and making changes to phone service. Send your requests to the Facilities Assistant as soon as possible, keeping in mind that there will be a 10-15 day lead time for execution of that request. Please get authorization from Department Manager for funding and order approvals. If possible, list your old and new jack numbers.

## Furniture Issues

Whether it is moving, new purchases, repairs, disposal or ergonomic adjustments (for more information about ergonomic issues, visit <http://ehs.ucsc.edu/safety/ergonomics.php>) your questions regarding furniture should be directed to the Facilities Manager, or x9-3794 or posted on the Request Tracker, [facilities-request@soe.ucsc.edu](mailto:facilities-request@soe.ucsc.edu). There is limited funding and ever more limited storage space; however, there are a few assorted furniture items on hand that might be able to fill your request. Faculty receives the standard complement of office furniture. For any additional requests, please contact your Department Chair or Department Manager.

## Repair and Maintenance Requests

These could be desk adjustments, leaking ceilings, broken or difficult furniture, dirty carpet, heating and cooling problems, moving and installing bulletin boards, room name tags, lock repairs and changes, moving and disposal of furniture and various other items. All requests may be directed to Facilities. Facilities will generate the proper type of work order or meet with you to examine the problem for better understanding.

## Moves and Disposal

Moving furniture and equipment is the most common request coordinated through facilities. If computers and equipment are moved by the Technical Staff, requests should be sent to [http://itrequest@ucsc.edu](mailto:itrequest@ucsc.edu)



## Research, Grants and Contracts

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The Research Accountants are responsible for the effective and timely handling of post-award administration including governmental, private contracts and grants, endowments and gifts.

- Federal Governmental Agencies

- State & Local Contracts

- Private Contracts

- Private Grants

- Endowments

- Gifts

- Special Projects

PARS (Personnel Activity Report) This report is used to capture the percentage of effort used on research awards for auditing purposes.

Useful Link, Office of Sponsored Projects: <http://www.ucsc.edu/osp>

### Computer Facilities

<https://intranet.soe.ucsc.edu/lab-support>

Support for the computing and network facilities is available for faculty and researchers. Computer Facilities' primary focus is providing technical expertise in systems and TCP/IP based network services. Oversight of the Computer Facilities is provided by a faculty advisory group composed of faculty representatives from the units supported.

Technical services provided consist mainly of file system backups and user accounts. Administrative services consist of equipment management, keys and keypads, computer and network related budgets, and coordinating facilities work orders. The School of Engineering also provides resources such as application software, dialup facilities, information server (Web, anonymous FTP), network connectivity, printers, system software, and workstations based on architectures from Digital, MasPar, Silicon Graphics, Sun Microsystems, and X-terminals.



### Academic Personnel Policies and Procedures

A variety of programs and other resources exist to assist faculty in becoming acquainted with UC and UCSC academic personnel policies and procedures. Your Department Chair, Department Manager and Academic Payroll Analysts are all good sources for information or advice in matters pertaining to your academic appointment.

# Travel & Reimbursement for Faculty & Visitors: Policies and Procedures

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Anyone traveling on University business must submit an accounting for the travel within 21 days of completion of the trip. Travel must be authorized by a higher authority to which the traveler is accountable. Travelers shall not authorize/approve their own travel. The travel must not be authorized or approved by a person who directly reports to the traveler. Many of the following travel related policy and procedure can be found at the UC travel website: [http://financial.ucsc.edu/Pages/Travel\\_Main.aspx](http://financial.ucsc.edu/Pages/Travel_Main.aspx)

University employees traveling on official business shall observe normally accepted standards of propriety in the type and manner of expenses to incur. Under no circumstances shall expenses for personal travel be charged to, or be temporarily funded by, the University. Only those travel expenses that are ordinary and necessary to accomplish the official business purpose of a trip are eligible for reimbursement.

All travel forms are available at: [http://financial.ucsc.edu/Pages/Travel\\_Main.aspx](http://financial.ucsc.edu/Pages/Travel_Main.aspx)

## Traveler's Signature

The traveler must sign the certification on the Post Travel form.

## Cash Advances & Payments Made on Behalf of the Traveler

The UCSC Travel Advance/Request form is required whenever the traveler requests a cash advance or whenever the University issues a payment of any amount to a third party on behalf of the traveler.

1. The traveler or travel arranger (for visitors) completes and signs the Travel Advance Request form. The Travel Advance Request is used to request cash for employees, and to pay for employee and non-employee airfare, conference registration, and other miscellaneous travel payments made on behalf of the traveler.
  - a. Cash: Indicate on the form if cash is requested. Note: Cash is not advances to Visa Travel cardholders.
  - b. Registration Fees: Indicate on the form any conference registration fees to be paid. Attach a copy of the registration form or other supporting documentation.
  - c. Airfare and other expenses: Indicate on the form any travel agency expenses or other expenses that will be invoiced to UCSC.
2. The completed, signed form is sent to the Division for funding assignment and authorization
3. The Division forwards the authorized Travel Advance Request form to the FAST Office.
4. The FAST Office assigns a Trip Number and notifies the traveler/travel arranger and the Division
5. The traveler/travel arranger makes reservations and provides the Trip Number to the vendor.
6. The vendor sends an invoice, referencing the Trip #, to the FAST Office for payment.

## Reimbursements for Travel

Submission of a Post Travel form is required for all travel. The Post Travel is used to account for all payments made on behalf of a traveler, and for all payments reimbursing the traveler for out-of-pocket expenses. Further explanation of the form and when it is required is included with the form instructions and with the Travel Forms Processing Tips.

## Visitors

Travel for a campus visitor may be reimbursed in accordance with University rates and policies. Travel arrangements made by the division or department (airfare, lodging, etc.) may be paid on behalf of the traveler using the same procedures as used for employees, e.g., an approved Travel Advance/Request with an assigned Trip #.

## Foreign Visitors

Visitors to the United States are allowed to enter the U.S. for a specific period of time, and must state the reason or purpose of their visit. This provides the basis for determining if they can receive payment, and if so, what they can be paid for. It is essential that inviting departments ensure that prospective visitors obtain the appropriate visa prior to entering the U.S. Foreign visitors are not eligible for travel reimbursement under certain visa types; therefore, it is recommended that departments include visa information with the letter of invitation.

A copy of the foreign visitor's I-94 record is required to determine eligibility for travel payment, including any payments made to a 3<sup>rd</sup> party on behalf of the visitor. Please note that additional forms are required for other payment and/or visa types. These forms can be found at: <http://financial.ucsc.edu/Pages/default.aspx>



The American Competitiveness Work force Act of 1998 allows payment to holders of B-1, B-2, WB and WT visas for honoraria and associated incidental expenses, i.e., travel expenses, for “usual academic activity.” Each UC campus is considered a separate institution for the purposes of this policy. For this policy, incidental expenses are considered travel expenses, including both reimbursements to the traveler and payments made to a third party on behalf of the traveler.

The Santa Cruz campus requires completion of a Certification of Academic Activity form for all B-1, B-2, WB and WT visa holders prior to receiving payment for honoraria or travel expenses (reimbursements and payments made on behalf of the traveler). Completion of the Certification of Academic Activity form does not replace any other existing required forms. The Certification of Academic Activity form is available at:

<http://www.ucop.edu/ucophome/cao/paycoord/honorpay.html>

Under the Act:

- An academic activity may not exceed nine days at a single institution.
- Such visa holders may not accept honoraria and/or incidental expenses for more than five institutions or organizations in the previous six months.

### **Travel Expenses for Spouses (final interviews: faculty/MAP)**

Travel expenses are allowable for the spouse of a candidate on final interviews for faculty and MAP candidates, and for pre-move house hunting trips. These expenses are tax-reportable income.

### **Group Travel**

Supervised group trips should be authorized in advance. Claims for reimbursement of expenses paid for others shall be submitted by the group leader and must include the names of the persons on whose behalf expenses were incurred, an itemization of the expenses, and other pertinent supporting documentation.

### **Receipts**

It is the traveler’s responsibility to properly account for all travel by obtaining receipts and/or other appropriate documentation.

Original receipts are required for:

1. Lodging, regardless of the amount
2. Airfare, regardless of the amount
3. Rental cars, regardless of the amount (UCSC will not reimburse for rental car insurance)
4. Miscellaneous expense & local transportation costing \$75 or more
5. Any extraordinary items, regardless of the amount
6. Gifts provided to a host, costing \$25 or more

Xerox copies of receipts are not acceptable. The original receipt must be submitted to the appropriate service center with the traveler’s Post Travel form.

The use of electronic receipts is allowable if the detail contained in an electronic receipt is equivalent to the level of detail contained in an acceptable paper record.

Since hotel receipts may include charges that are not reimbursable, the traveler must provide an itemized receipt, including room charges, taxes, telephone, etc.

Ticketless airfare expenses will not be reimbursed unless an original copy of the itinerary/ confirmation, a written receipt (requested by the traveler at the airport), or a passenger receipt coupon (requested by the traveler when making reservations is submitted with the Post Travel form).

### **Visa Travel Card**

[http://financial.ucsc.edu/Pages/Travel\\_CardGuide.aspx](http://financial.ucsc.edu/Pages/Travel_CardGuide.aspx)

Under established contractual guidelines, corporate travel cards may be issued to employees. The Visa Travel Card is to be used for all reimbursable travel and entertainment expenses and is not intended for personal credit transactions. The card is provided at no cost to eligible employees who travel or entertain on behalf of the University.

The Visa Travel Card may be used for cash advances and reimbursable business expenses, i.e., lodging, meals, registration fees, transportation. A small fee (\$2.00 minimum or 2.5% of the cash amount) is charged to the card and may be claimed as a miscellaneous business expense on the Post Travel form. Cardholders are required to use their corporate card whenever possible for cash advances and travel related expenditures.

U.S. Bank will provide cardholders with a monthly billing statement. The amount indicated on the statement is due in full prior to the next billing cycle. The collection process begins at 40 days past due.

The Service Center will be notified that the card is past due, and the Service Center's involvement in the collection proceedings will continue throughout the process. Occasionally, a traveler's statement may become due and payable prior to the conclusion of travel. In these instances, the traveler may qualify for an early reimbursement by completing a Travel Advance/Request form and requesting a Reimbursement of Fees paid by Charge Card (supported by submitting the original invoice and copy of the Visa statement).

Visa Travel Card holders may sign up to receive all reimbursements directly in their bank account by electronic fund transfer (ACH). The application can be found at: <http://finaff.ucsc.edu/resources/doc/ap/cardapplication.doc>

### **Cash Advances**

Completion of a Travel Advance Request form is required for all cash advances. Cash advances shall not be authorized to any person who is a Visa Travel cardholder, or who is delinquent in submitting an accounting for an expense of a prior trip for which University issued cash advance or other prepayment was made.

It is general policy to advance cash only to University employees. In certain circumstances, the authority approving the travel may request a cash advance for a non-employee, such as a student performing special research. In those cases, the request must include the payee's permanent address and Social Security number. Additionally, the authority approving the advance must assume responsibility for the proper accounting of the cash advance.

Checks issued as cash advances will be mailed to the payee. In the event a check must be held for pick-up, it will be released only to the payee.

Any UCSC-issued cash that is advanced to the traveler, or any refunds or rebates due the University which are not recovered within a reasonable period of time are considered to be of personal economic benefit to the traveler, and such amounts are reportable to taxing authorities. Failure by the employee to substantiate expenses and to return unused amounts within 120 days obligates the University under IRS regulations to consider these amounts as income to the employee.



# Payments Made by UCSC on behalf of the Traveler

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All payments issued by UCSC on behalf of a non-cardholder must be supported by invoice or other documentation and must be accounted for on a Post Travel form.

Payments may not be made on behalf of Visa Travel cardholders. Cardholders should charge all travel expenses to their Visa Travel card and request reimbursement on a Post Travel form.

## **Lodging with a Friend or Relative**

When a traveler lodges with a friend or relative while on official business for the University, the cost of a gift provided to the host may be reimbursed up to \$75.00. The cost of a gift of \$25.00 or more must always be supported by a receipt and is limited to one gift per stay.

## **Incidental Expenses**

Incidental expenses include laundry, cleaning and pressing of clothes, tips and fees for services, e.g. waiters and baggage handlers.

## **One-Day Travel**

Reimbursement of travel meal and incidental expenses for business trips of less than 24 hours is allowable only if an overnight stay is involved.

## **One to Thirty Day Travel**

One to thirty day travel is defined as travel that is more than one day but less than thirty days. Meals and incidentals will be reimbursed for one to thirty day travel up to \$64/day.

## **Transportation**

Only the most economical means of transportation may be charged to University funds. Transportation should be reserved in advance, so favorable rates can be obtained.

## **Commercial Airlines**

Agreements located at: <http://www.ucop.edu/strategicsourcing/welcome.html>. It is expected that Visa cardholders will utilize their corporate card for payment of transportation tickets, etc.

1. If the traveler does not have a corporate credit card, the University will make payment to the UCLA Travel Center or other travel agency. The process is outlined in the section titled: **Cash Advances & Payments Made on Behalf of the Traveler.**

## **Lost Tickets**

Service charges for lost tickets may be reimbursed, provided such occurrences are infrequent. Charges for re-ticketing, schedule changes, etc., are reimbursable for a valid business reason. The reason for the charge must be shown on the Post Travel form.



## **Ticketless Airfare**

Ticketless airfare expenses will not be reimbursed unless an original copy of the itinerary/ confirmation, a written receipt (requested by the traveler at the airport), or a passenger receipt coupon (requested by the traveler when making reservations is submitted with the Post Travel form.

### **Extended Travel to Save Costs**

Reimbursement of additional lodging, meals, incidental expenses, etc. is allowed when the cost of airfare would be less if the traveler extends a trip, e.g., Saturday night stays. The traveler and/ or unit needs to provide a comparison showing that the reduction in airfare is more than the additional lodging and meal expenses incurred by extending the stay.

### **Use of Surface Transportation in Lieu of Air Travel**

Reimbursement is allowed for the cost of meals and lodging, parking, mileage, taxis, buses, etc., while in transit, provided the amounts do not exceed the cost of airfare (based on the lowest restricted coach-class fare) plus parking and transportation to and from the terminals.

### **Frequent Flyer Miles**

Reimbursement cannot be made to a traveler who chooses to use personal frequent flyer miles for the purchase of a ticket for University business. Reimbursements can be made only for actual out-of-pocket expenditures. Frequent flyer miles may be used to upgrade a flight; however, reimbursement must be claimed for the cost of the economy or coach fare.

### **Chartered Aircraft**

Actual expenses of charter aircraft are allowable; however, prior approval must be obtained from the appropriate Vice Chancellor, and the campus Material Manager. Supporting receipts, detailing charges must be submitted with the Post Travel form.

### **Private Car**

**Mileage is located at: <http://www.expediamaps.com> click on “Driving Directions”**

All privately-owned automobiles used on University business must meet minimum insurance requirements as detailed in BFB G-28, section VI.E.2.f.

All reimbursements for mileage must include an insurance certification and the license number of the car driven.

The University will reimburse mileage at a standard rate of 55 cents per mile.

Routine repairs, tires, gasoline or other automobile expenses shall not be allowed for the use of a privately-owned automobile. These expenses are included in the mileage reimbursement rates.

In those instances, because of the duration of the trip or the traveler’s automobile is needed at home, two round-trips to the airport may be allowed, but an explanation must be included with the Post Travel form. No long-term parking fees should be claimed with two round trips.

Mileage may be allowed between the traveler’s residence and the airport or destination if travel originates or terminates before or after the employee’s working hours, or if travel originates or terminates during a regularly scheduled day off.

Charges for parking, bridges, tunnels, ferries or toll roads may be claimed in addition to mileage. Valet charges in excess of normal parking charges are not allowable.

### **Rental Cars (receipts always required)**

**Agreements located at: <http://www.ucop.edu/strategicsourcing/welcome.html>**

**Insurance information at: <http://www.ucop.edu/purchserv/coverageguide.html>**

Rental car expense is allowable when a rental is considered more advantageous to the University than the use of taxis or other means of transportation. A copy of the rental agreement detailing charges must be submitted with the reimbursement request (Post Travel form). Advance reservations for a compact or economy model should be made whenever possible, utilizing a company with whom University has an agreement.

Payment to the car rental agency should be made by corporate credit card, or personal funds. A Post Travel form should be completed to facilitate reimbursement.

Optional insurance waivers offered by rental car agencies are not a reimbursable expense, except for rentals in a foreign country.

Employees should **always** rent a car from a company with whom the University has an agreement (see web address above). The University agreements with car rental agencies are for the use of employees and visitors while on official University business. The agreements may not be used for any non-business travel.

These agreements offer special rates, discounts, and no-cost insurance waivers on specific types of rentals. Travelers and travel arrangers should be cautioned to only rent vehicles offered within the scope of the agreement. If the agency offers a lower “special” rate to the traveler, it will be offered outside the terms of the negotiated agreement and won’t include any no-cost insurance waivers.

Travelers who rent outside the available agreements may submit the expense for reimbursement from the University. However, UC will not reimburse any optional insurance waivers. Travelers should be advised to check with their personal insurance company and/or credit card company regarding rental car coverage. Note: Visa Travel cardholders are automatically insured when the card is used for payment.

### **Miscellaneous Ground Transportation**

Other ground transportation such as taxi, bus, etc., may be reimbursed to the traveler. Receipts are required for expenses of \$75.00 or more.

### **Motorcycles**

Privately-owned motorcycles or other motor-driven cycles are not authorized for use on official University business, nor can any reimbursement be made for the use of such vehicles.

### **Bicycles**

No provisions for reimbursement exist at this time.

### **Private Aircraft**

Prior to flying one’s own airplane on University business, the traveler must register with, and obtain written approval of the appropriate Vice Chancellor and the campus’s Insurance and Risk Coordinator.

Reimbursement for the use of a private aircraft is based on which is less, 1) the rate of 85 cents per air mile, plus parking and transportation costs to and from the place of storage, or 2) the lowest restricted coach class fare provided by a standard commercial air carrier, plus parking and transportation to and from the terminals. The cost of meals and lodging may be taken into account in determining the appropriate reimbursement amount.

### **Railroad or Bus Travel**

Railroad or bus transportation may be used when the destination or other special circumstances so require. If the destination is served by a regularly-scheduled airline, pre-approval of a higher authority and a full explanation of the circumstances must be submitted with the reimbursement request.

Reimbursement may be made for miscellaneous expenses which include but are not limited to: business expenses such as services or rental of office machines in connection with official reports or correspondence; purchase of materials and supplies when normal purchasing procedures cannot be followed; local and long distance telephone calls (including one reasonably brief personal call home per day); fax charges; modem connection fees; rental of meeting rooms or facilities for the transaction of official business; fees for foreign travel, including costs related to passports, visas, and required photographs, medical inoculations, currency conversions, and costs for travelers checks.

### **Policy Exceptions**

All exceptions to policy must be requested in writing and specify the purpose, circumstance or need, dates of travel, and the name of the individual to whom the exception is granted. Exceptions are approved by the Senior Administrative Officer or delegate. When an exception has been granted, the reimbursements of expenses claimed are limited to the actual costs incurred.

## **School of Engineering Faculty and Lecturers**

<http://www.soe.ucsc.edu/people/faculty>

## **School of Engineering Researchers and Visitors**

<http://www.soe.ucsc.edu/people/researchers>

**NOTE:** Any errors or omissions please contact Faculty Services Office at [facserv@soe.ucsc.edu](mailto:facserv@soe.ucsc.edu) or 459.5745.

# Other UCSC Web Sites of Interest

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## Calendars

Administrative calendar for 2004-2010 [http://reg.ucsc.edu/calendar/future\\_calendars.html](http://reg.ucsc.edu/calendar/future_calendars.html)  
Campus Calendar: [http://www.ucsc.edu/news\\_events/calendar/](http://www.ucsc.edu/news_events/calendar/)

## Faculty Directories

Faculty Portal (many helpful links): <http://www.ucsc.edu/faculty/>  
Faculty & Staff Directory: <http://www2.ucsc.edu/its/cgi-bin/ucscdirectory>

## Helpful Resources

A-Z Index: [http://www.ucsc.edu/about/alpha\\_index.asp](http://www.ucsc.edu/about/alpha_index.asp)  
Academic Integrity: [http://www.ucsc.edu/academics/academic\\_integrity/](http://www.ucsc.edu/academics/academic_integrity/)  
Academic Senate Committee on Research - funding for research: <http://senate.ucsc.edu/cor/>  
AIS Resources: [http://reg.ucsc.edu/staff/ais\\_info/resources.html](http://reg.ucsc.edu/staff/ais_info/resources.html)  
Essentials for Faculty - Supervising Academic Student Employees (ASE):  
<http://shr.ucsc.edu/topics/employee-labor-relations/misc/ase-essentials-2007.pdf>  
FERPA & Privacy Link: [http://reg.ucsc.edu/guidelines\\_qr.htm](http://reg.ucsc.edu/guidelines_qr.htm)  
Frequently Asked Questions For Faculty [http://reg.ucsc.edu/staff/ais\\_info/fac\\_info.html](http://reg.ucsc.edu/staff/ais_info/fac_info.html)  
General Catalog: <http://reg.ucsc.edu/catalog/index.html>  
Information from the Registrar's Office: [http://reg.ucsc.edu/fac\\_staff.html](http://reg.ucsc.edu/fac_staff.html)  
Maps: <http://maps.ucsc.edu>  
My.ucsc.edu: Faculty can access class rosters, grade rosters, narrative evaluations entry, and student records  
Narrative Evaluation System login: <https://my.ucsc.edu>  
California Nondiscrimination & Affirmative Action Policy Regarding Academic:  
<http://www2.ucsc.edu/eo-aa/pdf/NondiscriminationPolicy08.pdf>  
Policy on Outside Activities of Faculty: <http://www.ucop.edu/acadadv/acadpers/handbook/outside.htm>  
Santa Cruz Campus Implementing Procedures for the Employment Provisions of the Americans with Disabilities Act (Academic Employees and Applicants): <http://ada.ucsc.edu/content/general-ada-information>  
Substance Abuse: [http://www2.ucsc.edu/ahr/academic\\_policies\\_and\\_procedures/cappm/016000.htm](http://www2.ucsc.edu/ahr/academic_policies_and_procedures/cappm/016000.htm)  
Supervising Teaching Assistants - The Essentials:  
<http://shr.ucsc.edu/topics/employee-labor-relations/misc/ta-brochure-05-06.pdf>  
The Navigator (undergraduate handbook): <http://reg.ucsc.edu/navigator/index.html>  
UCSC Faculty Information: [http://www2.ucsc.edu/ahr/academic\\_employment/index.htm](http://www2.ucsc.edu/ahr/academic_employment/index.htm)  
Working with the Emotionally Distressed Student: <http://www2.ucsc.edu/counsel/selfhelp.html>

## Other Divisions

Bay Tree Bookstore: <http://slugstore.ucsc.edu/>  
Communications & Technology Services (CATS): <http://its.ucsc.edu/>  
Graduate Studies: <http://gradstudies.ucsc.edu>  
Housing, Dining & Child Care Services: <http://cuhs.ucsc.edu>  
OPERS (Office of Physical Education, Recreation and Sports): <http://www.ucsc.edu/opers>  
University Library: <http://library.ucsc.edu>

## Personal Well Being

Counseling and Psychological Services: <http://www2.ucsc.edu/counsel>  
Women's Center: <http://www2.ucsc.edu/wmcenter>  
Work/Life Balance: <http://shr.ucsc.edu/>