

September 12, 2007

DEANS  
DEPARTMENT CHAIRS

Dear Colleagues:

**Re: Action Items Resulting from the Campus Audit of APM 025**

In March 2007, the campus completed an internal audit of faculty compliance with the University's Conflict of Commitment and Outside Activities of Faculty Members (APM 025). This audit was part of a systemwide audit performed at each UC campus in response to a Regental request to the University Auditor. I am very pleased to report that random samples taken from four divisions and 19 departments showed an overall compliance rate of 94% for fiscal year ending June 30, 2006, while the lowest rate of departmental compliance was 70%. However, the audit findings did note some areas that need improvement, including:

- The need to establish an EVC-level monitoring process to ensure that all faculty are in compliance with prior approval and annual reporting requirements;
- Clarification of the roles and responsibilities of chairs and deans for managing the APM 025 process in their units; and
- Broader faculty understanding of APM 025, *Conflict of Commitment and Outside Activities of Faculty Members*.

In response to these audit findings, the following actions are being taken, some of which necessitate your participation:

1. Effective with the reporting cycle for the 2006-07 Annual Reports, I am requiring deans to forward to AHR by November 15 of each year, a report detailing faculty compliance in their division (i.e., a list of faculty who have and have not submitted their annual report form). Faculty members whose APM 025 annual report is listed as outstanding will receive a letter from me, which will include a final submission deadline; the appropriate department chair and dean will be copied. Thereafter, if the faculty member does not submit the annual report form by the identified deadline, I will determine the appropriate recourse.
2. The roles and responsibilities of chairs and deans for managing the APM 025 process in their units will be one of the agenda items covered in the annual fall department chair workshop sponsored by AHR; deans will also be invited to attend. This will include discussion of what it means to approve annual report forms and requests for prior approval to involve students in outside professional activities and to engage in Category I activities, as well as guidance on actions to take if annual reports are not timely submitted or are submitted with incomplete or inaccurate information. Currently, this subject is scheduled to be covered in the October 10 department chair workshop, which is well-timed given that chairs will be reviewing and approving annual report forms for their faculty during the month of October.

3. I have directed staff in AHR to redraft the campus policy and procedures for implementing APM 025 (CAPM 012.025) to include more substantive information and instructive examples in the campus policy and to clarify the responsibilities of chairs and deans vis-à-vis APM 025 as noted above. The proposed revised draft procedures will be made available for campus review and comment beginning mid-September. Your feedback on the proposed revisions would be especially valuable, and I encourage you to respond to AHR during the comment period.
4. The APM 025 Annual Report Form and the associated "Explanations of Information Requested" document have recently been revised by AHR to include more detail and guidance about how to report compensated outside professional activities and additional teaching activities. This should make it easier for faculty to complete the form and easier for department chairs to review the form.

I appreciate your efforts in attending to these action items as appropriate. If you have any questions or need additional information, please contact AHR Analyst Susan Fellows at [susanahr@ucsc.edu](mailto:susanahr@ucsc.edu) or x9-5032.

Sincerely,



David S. Kliger  
Campus Provost and  
Executive Vice Chancellor

cc: AVC Peterson  
Academic Personnel Divisional Coordinators  
Department Managers  
AHR Analysts