Audit Report

Volunteer Administration

Report No. SC-23-08
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UC SANTA CRUZ

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I. EXECUTIVE SUMMARY

Audit and Management Advisory Services (AMAS) has completed an audit to evaluate the governance of the campus use of volunteers. This audit was included on the campus FY22-23 Internal Audit Plan.

The main purpose of this audit was to evaluate governance over the campus use of volunteers and to ensure that internal controls are adequate to mitigate relevant risks related to their use. This audit also includes follow up on issues found in a prior internal audit project from 2013.

Based on interviews and communication with stakeholders, we found that currently UCSC does not have a formal volunteer program, and governance over volunteers is decentralized. Furthermore, the workgroup charged with formalizing the volunteer program stopped functioning in 2014 due to separation of key members and competing priorities. As a result, there are opportunities for further strengthening the protection of volunteers and the university through the establishment of a governance structure and the development of a set of program guidelines that will be applied consistently across all campus programs involving volunteers.

The following observation requiring management corrective action is identified below:

> **A. Lack of Institutional Oversight**
>
> There is no formal or centralized governance over volunteer administration to ensure compliance with relevant campus policies and guidance.

Agreement was reached with management on recommended actions to address risks identified in these areas. Observations and related management corrective actions are described in greater detail in section III of this report.

II. INTRODUCTION

Purpose

The main purpose of this audit was to evaluate governance over the campus use of volunteers and to ensure that internal controls are adequate to mitigate relevant risks related to their use. This audit also includes follow up on issues found in a prior internal audit project from 2013.

Background

Volunteers at UCSC can engage in activities such as leading guided tours; fundraising; helping with community events; career counseling; hosting events; being a docent; serving as ambassadors; serving as a mentor; various levels of administrative support; and research or assisting in a lab. Current volunteer opportunities at UCSC include, but are not limited to, the following:

- Arboretum Associates
- UCSC Affiliates
- Women's Club
- Friends of the Farm & Garden
- Career Advice Network
- UCSC Parent Council
- Osher Lifelong Learning Institute at UCSC
- Friends of the Long Marine Lab
- Legislative Advocacy Network
- Admissions Outreach

- Student Volunteers
- UCSC Alumni Association
- Regional Programs
- Retirees Association
- Emeriti Association
- UCSC Opera Circle
- Friends of the Cowell Lime Works Historic District
- Friends of the Dickens Project: The Dickens Project
- Smith Renaissance Society
- University of California Advisory Network (UCAN)

Internal Audit Report SC-13-09: Volunteer Support Groups

In 2013, AMAS performed an audit of campus volunteers and volunteer support groups to evaluate the extent of volunteer activity on campus, and the risks and controls in place related to their use. The audit found that overall, there was a considerable amount of rich and diverse volunteer activity occurring on campus; however, the administration of these activities was heavily decentralized, and managed by individual campus units and departments, without the benefit of an institutional program and volunteer guidelines. As a result, the issues requiring management corrective action were identified in the report and outlined in Table 1- Internal Audit Report SC-13-09: Volunteer Support Groups (performed in 2013). Table 1 summarizes the audit observations, management's agreement to corrective actions, and actions completed by management at the time of the last management corrective action (MCA) follow-up by AMAS in 2014.

Based on the summary of the MCA follow-up, it appeared that many of the actions were contingent on the workgroup being formed and delivering on the requests by the CP/EVC. As a result, the audit focused on the current status of the workgroup and the tasks they were charged with completing.

Table 1 - Internal Audit Report SC-13-09: Volunteer Support Groups (Performed in 2013)		
Audit Observations	**Management Corrective Action / Agreement**	**Management Actions Completed (Summarized)**
A. Governance and Guidelines for the UCSC Volunteer Program		
UCSC does not have a formal Volunteer Program. Governance over volunteers is decentralized; there is no single point of accountability and no central monitoring over volunteers; and there are insufficient guidelines over their use.	A-1. Campus Provost/ Executive Vice Chancellor will either assign the UCSC volunteer program stewardship to a specific campus unit or direct the establishment of a UCSC volunteer program workgroup. In either case, the charge will be to: 1. Develop formal guidelines for a UCSC volunteer program; and, 2. Establish a governance structure for the administration and oversight of campus volunteers. Individuals contributing to the creation of the UCSC volunteer program should be representative of campus volunteerism, diversity, and have experience in this area.	A-1. Implemented - The CP/EVC wrote and sent a charge letter to the workgroup with specific requests that includes all issues identified by Audit in the three recommendations A1, B1 & D1. The workgroup is formed. Campus Life Assistant Dean has accepted to chair the workgroup.
B. Minors in the Volunteering Process		
There are a number of volunteer positions that include participation with minors. These positions are not sufficiently evaluated to determine whether or not appropriate screening measures in the on-boarding of volunteers would be appropriate or even mandatory.	B-1. Campus Provost / Executive Vice Chancellor will charge the newly formulated UCSC volunteer program workgroup or designated campus unit with the development of guidelines and a governance model for monitoring units with volunteers interacting with minors and/or having minors volunteering, as its highest priority. Staff with expertise in legislation related to minors could be invited to contribute to this segment of the guidelines. B-2. The Associate Vice Chancellor of Campus Life and Dean of Students will carefully review and acknowledge/endorse the measures taken by the Athletics department, SOAR, and possibly other Campus Life departments to protect high school students and other minors participating in programs and camps.	B-1. See action A-1 above. B-2. Implemented - After review of the Campus Life units survey on the practices they follow when volunteers work with minors and in some of the cases their plans of improvement, the auditor found the agreement to have been fulfilled. One or two representatives of Campus Life will be part of the workgroup.
C. Waivers of Liability		
There was a general lack of clarity and guidelines over the	C-1. Risk Services will develop a section of the Volunteer Program Guidelines related to the use of waivers of liability	C-1. Implemented – Though campus has not yet completed overall Volunteer Guidelines, Risk

Table 1 - Internal Audit Report SC-13-09: Volunteer Support Groups (Performed in 2013)		
Audit Observations	**Management Corrective Action / Agreement**	**Management Actions Completed (Summarized)**
use of liability waivers. Campus units were often unaware of which type of waiver of liability, if any, volunteers should sign; and when Workers' Compensation Coverage should be provided.	for volunteers and the appropriateness of extending Workers' Compensation coverage to any volunteer, and provide distribution to the campus.	Services has provided clarification regarding use of waivers and extension of Workers' Compensation to Volunteers via a link on the homepage of their website. Notification has also been sent to campus units with historically active volunteer programs and the Volunteer Agreement Letter on the SHR website has been updated.
D. Volunteers in Research Laboratories		
Except for one academic division, there was no formal protocol to administer and monitor the presence of volunteers in research facilities.	D-1. Campus Provost/Executive Vice Chancellor will assign responsibility and accountability for the development of guidelines over volunteers in research facilities, to be included within the newly established formal UCSC Volunteer guidelines, in two areas: 1. Safety of volunteers in laboratories on or off campus; and, 2. Appropriate application of the UC Patent Policy for research facilities volunteers. It might be prudent to seek Chief Campus Counsel advice on both subjects.	D-1. Implemented - As stated in A1, the CP/EVC has issued a charge letter to the newly formed workgroup, requesting priority be given to the issue of volunteers in research facilities. This agreement will be fulfilled after the CP/EVC charges a workgroup to develop volunteer's guidelines (Completion of Agreement A.01) with specific requests of priority for volunteers in research labs. The completion date has been revised in response to a special request from Senior Management to delay the workgroup start until the end of the spring quarter.

UCSC Staff Human Resources (SHR)

Staff Human Resources provides services in areas concerning benefits, compensation & classification, CruzPay, employee relations, labor relations, HR business information services, learning & development, operations, etc.

A sub-unit within SHR is the Business Administration, Policy, Projects & Resources (BAPPR) office, which processes background checks, including those for volunteers; manages personnel records; validates vacation accrual service credit; and distributes service awards. BAPPR also coordinates UC Santa Cruz winter curtailment and manages campus compliance with labor law posters. Campus-wide communications from SHR are processed through the BAPPR unit, in addition to maintenance of the SHR website.

When reviewing other campus activity in regards to volunteer services, we found their Talent Acquisition or similar unit was involved in some processing steps or available for departments to consult with questions.

The Talent Acquisition unit at UCSC provides services for recruiting and hiring, including recruitment consultation, preferential rehire and special reassignment services, advertising, job fairs, applicant workshops, job offer and background check coordination, template-based hires, contingent worker processing, interlocation transfer support, and new employee onboarding.

UCSC Risk Services (Risk Services)

When departments want to assign a volunteer, they must complete and send a copy of the Volunteer Waiver and Election of Workers' Compensation Coverage form to Risk Services. Risk Services is administratively located within the Division of Finance, Operations, & Administration (FOA) within the Risk and Safety Services unit. Risk Services supports the campus by helping to identify risk exposures, recommending strategies to reduce or eliminate identified risks, and administering the campus's insurance programs in a variety of ways.

- Insurance Programs: Risk Services administers the university's insurance programs. The programs include workers' compensation, general liability, property and auto as well as other specialized insurance programs.

- Claims: Risk Services works closely with campus units, employees and the university's third-party claims administrators throughout the claims process for all programs of insurance.

Scope

Our scope is focused on the current governance over the campus use of volunteers. Based on our initial interviews with management, we chose to perform a series of interviews and a summary of volunteer administration at other campuses in lieu of substantive testing due to the fact that the workgroup established as a result of the audit in 2013 was no longer functioning since 2014. We conducted this audit by means of the following:

- Reviewed UC and UC Santa Cruz policies, relevant audit reports at other UC campuses, best practices, and other guidance relevant to the audit.
- Interviewed or communicated with personnel from the prior workgroup and obtained supporting documentation related to their progress and completion of action items listed in the CP/EVC charge letter and prior audit recommendations.
- Interviewed key personnel with a campus-wide role in volunteer administration to gain an understanding of overall processes and procedures.
- Requested supporting documentation for the processes described in interviews.
- Documented and analyzed practices for volunteer administration at other UC campuses.

The audit was conducted in conformance with the International Standards for the Professional Practice of Internal Auditing.

For additional details, please see Appendix A. Summary of Work Performed and Results.

III. OBSERVATIONS FOR MANAGEMENT CORRECTIVE ACTION

A.	Lack of Institutional Oversight

There is no formal or centralized governance over volunteer administration to ensure compliance with relevant campus policies and guidance.

Risk Statement/Effect

The lack of clear roles, responsibilities, and accountabilities over the administration and use of volunteers may result in misunderstandings and inefficiencies or unintentional noncompliance with existing guidance. This could also lead to situations where volunteers are in a position that could be harmful to themselves/ others, or tarnish campus public image as a result of litigations with the university.

Agreement

A.1	Campus Provost/ Executive Vice Chancellor will consult with prior members to discuss the trade-offs of re-establishing the UCSC volunteer program workgroup to perform the following: - Identify appropriate stakeholders to serve as workgroup members to ensure appropriate oversight. Stakeholders should include representatives from the Office of CP/EVC or Chancellor's Office. - Formalize and document a workgroup charter, which can include a mission statement, objectives, scope, or authority of the workgroup.	**Implementation Date**
		January 31, 2024
		Responsible Manager
		Campus Provost / Executive Vice Chancellor
A.2	Campus Provost/ Executive Vice Chancellor will charge the assigned unit (s) or re-established workgroup (from A.1) with: - Review of current volunteer guidance to ensure it is not outdated or removing any obsolete guidance. - Using other UC campuses as a best practice, establish centralized and formal guidance to provide a greater understanding and consistency in the oversight of volunteers. This could include details such as a critical function assessment to determine volunteers requiring additional background checks. - Establishing a governance structure for the administration and oversight of volunteers. - Clarify the individuals and roles that are to be considered volunteers. - Evaluate, identify, and recommend assignment of responsibility and stewardship of the campus volunteer program to appropriate campus divisions or other resource to serve this purpose.	**Implementation Date**
		June 30, 2024
		Responsible Manager
		Campus Provost/ Executive Vice Chancellor

A. Lack of Institutional Oversight – Detailed Discussion

Based on interviews and communication with stakeholders, we found that currently USCS does not have a formal volunteer program, and governance over volunteers is decentralized. Furthermore, the workgroup charged with formalizing the volunteer program stopped functioning in 2014 due to separation of key members and competing priorities. After interviews with key personnel, we found the following:

Volunteers Program Workgroup:

Based on internal audit follow-up of the 2013 audit, interviews with original workgroup members who are still employees of UCSC, and review of supporting documentation, we found that the CP/EVC issued a charge letter in April 2014 to the workgroup and that meetings were conducted through 2014. However, due to the length of time that has passed, it could not be determined what was the main source for this workgroup to cease functioning. Audit noted that there have also been staff separations at the higher levels that could have an impacted the functioning of this workgroup.

We also noted that interviewed stakeholders, including former chair, were open to having the chair be someone at a higher level, such as representative from the Office of CP/EVC, Chancellor's Office, or similar. Stakeholders were also open to having much more representation from campus and wanted to perform data collection in the form of surveys as to how volunteers were being used on campus.

After communicating with stakeholders from the prior workgroup, we chose to also interview and document current volunteer administration processes at the campus-wide level, which we found to be in Staff Human Resources and Risk Services.

Staff Human Resources (SHR):

- *Outdated Campus Guidance:* SHR hosts a webpage that contains a procedure for volunteer administration, however it was last updated in 9/19 and remains under review. Based on interviews with SHR staff, we were informed that this was not being used or plans to be updated. We also observed the Volunteer Agreement Letter located on this page was revised 3/20. However, we noted this form included a link to the Volunteer Waiver and Election of Workers' Compensation Coverage that was outdated so it was no longer working.

- *Role:* The role of SHR is limited to processing background checks for volunteers that are deemed to be in a critical position according to UC Policy PPSM-21 Selection and Appointment, which describes the process for selecting and appointing candidates for employment, including background checks. Generally, the department needing the volunteer background check reaches out to SHR with the request. SHR then provides the department with a link to the LiveScan page as well as a Google doc template for their own tracking of volunteers. When the department wants to remove a volunteer, this Google doc is then sent to SHR to ensure their background check is removed from relevant entities (Department of Justice, Federal Bureau of Investigation, etc.) to ensure the campus is no longer receiving this information.

Risk Services:

- *Role:* Risk Services hosts a webpage for the Volunteer Program, but this is limited to Workers' Compensation information in regards to volunteers. Specifically, every volunteer must sign the Volunteer Waiver and Election of Workers' Compensation Coverage prior to volunteer service, which will then be sent to the Risk Services Office while the original copy is retained by the supervising unit for five years beyond the end of the term of

volunteer service. Furthermore, this site has links to resources regarding minors. There is also an additional link to Staff Human Resources, which hosts volunteer procedures currently under review.

There are opportunities for further strengthening the protection of volunteers and the university through the establishment of a governance structure and the development of a set of program guidelines that will be applied consistently across all campus programs involving volunteers.

IV.   Summary of Volunteer Administration Guidance and Roles at other UC Campuses

Audit judgmentally chose seven campuses to review available guidance and roles/ responsibilities and provided a detailed summary in Table 3 on page 11. Based on our analysis, we observed the following, which is outlined in Table 2 below:

- One campus used the same hiring process as employed staff for volunteer assignments, which required going through the ServiceNow ticketing workflow.
- All campuses included a careful defining of what constitutes a volunteer.
- All campuses had a formal procedure or process steps available.
- In four campuses, we observed that their human resources unit either hosts guidance or is responsible for the management of formal guidance regarding volunteer administration. In one campus, detailed process steps were provided through a unit called "SHARE," which includes Human Resources, Research Administration, Purchasing & Reimbursement and Payroll & Timekeeping services. In one campus Risk Services has the primary responsibility for volunteer policy management. At second campus, Risk Services provides guidance related to volunteer administration in addition to what is provided by human resources.

Table 2 – Analysis of Volunteer Guidance and Roles at other UC Campuses				
Campus	Service Ticket*	Volunteer Definition	Formal Procedures	Human Resources hosts guidance or is responsible for policy management
UC Berkeley	✓	✓	✓	✓*
UC Davis	x	✓	✓	✓
UC Irvine	x	✓	✓	✓
UC Merced	x	✓	✓	x*
UC Los Angeles	x	✓	✓	✓
UC Riverside	x	✓	✓	✓**
UC San Diego	x	✓	✓	✓
Service Ticket*: Volunteers went through generally the same hiring process as employed staff using the ServiceNow ticketing workflow. ✓*: Hosted and managed by UC Berkeley SHARE, which includes Human Resources, Research Administration, Purchasing & Reimbursement and Payroll & Timekeeping services. x*: Risk Services is primary contact for procedure. ✓**: Risk Services website also includes some information on volunteer administration.				

Table 3 - Detailed Summary of Volunteer Administration Guidance and Roles at other UC Campuses		
Campus/ Source	**Guidance Available**	**Campus Unit Roles**
UC Berkeley: • SHARE (Social Science, Arts & Humanities, ORUS/Space Science Labs, Undergraduate Studies, College of Chemistry)	• Documented steps to process volunteer appointment as a service ticket. This includes workflow to different units and various approvals. • Lists Roles, Responsibilities, and Resources, which include: department initiator, volunteer, department manager, supervisor, Berkeley Regional Services (BRS) HR, and UCPath Center. • Provides a page dedicated to volunteer guidelines that includes: defining a volunteer, acceptable duties, length of appointment, and stating that volunteers cannot be performing duties remotely or from outside of the US due to export controls and other risk factors.	• Department is responsible for filling out the form prior to submitting ServiceNow ticket for BRS to process the appointment. • BRS HR: Responds to questions about requirements for affiliate/volunteer appointments; Creates and assigns a Criminal Background Check (CBC) task if needed; Submits affiliate template to UCPath for processing; Updates ServiceNow ticket and informs department once the affiliate appointment has been processed by UCPath.

UC Davis:
 	
• UC Davis Policy and Procedure Manual
 	
• Human Resources Website
	• UC Davis Policy and Procedure Manual: Chapter 380, Personnel—General; Section 08, Volunteer Service. This provides the policy and procedures for the use of volunteer services. The policy comprises of the following sections:
	  o Definitions: Defining a volunteer and listing groups that are not considered volunteers for the purpose of this section.
	  o Policy: This section outlines what volunteer support may be used for and includes requirements.
	  o Volunteer Assignments: This section goes into further detail about volunteers, etc.
	  o Procedures: This section outlines the steps for a new volunteer assignment, which begins with the department contacting their Talent Acquisition Partner. Then the department completes forms such as the Volunteer Information Record and Oath and Patent Acknowledgement.
	  o Worker's Compensation & Self-Insurance Coverage: This section goes over volunteer coverage.
		• Human Resources is designated as the responsible department for authoring the UCD Policy and Procedure Manual on Volunteer Service. We also noted it was recently updated. Other units mentioned in this procedure include Talent Acquisition and Risk Services.
		
		• For the UC Davis webpage on Volunteers, responsibilities are outlined as follows:
		
		  o Department Responsibilities: Determining volunteer duties and minimum age requirement, review need for a volunteer, contact Talent Acquisition partner, retain volunteer's Oath & Patent Form and Volunteer Information Record.
		
		  o Talent Acquisition Partner Responsibilities: Respond to any

Table 3 - Detailed Summary of Volunteer Administration Guidance and Roles at other UC Campuses		
Campus/ Source	**Guidance Available**	**Campus Unit Roles**
	o Further Information: Additional volunteer information, resources and forms are available on their Human Resources website. • UC Davis also has a webpage dedicated to guidelines for departments using volunteers.	inquiries and discuss the appropriateness of duties that may be performed by the volunteer.

UC Irvine:
 	
• UCI Policies and Procedures site
	• UC Irvine Administrative Policies and Procedures; Human Resources; Sec. 300-13: Guidelines for Volunteers. This policy is divided into the following sections:
	  o Authority and Responsibility: This outlines department and volunteer responsibility.
	  o Restrictions: These address what the volunteer cannot do.
	  o Definitions: This includes the definition of a volunteer and what is not considered a volunteer service.
	  o Guidelines: This section goes over department responsibilities.
		• The department is responsible for controlling and supervising the manner and result of the services rendered by the volunteer.
		
		• The responsible office for this policy is Human Resources.

UC Merced:
 	
• University Volunteer Services Procedure
	• University Volunteer Services Procedure. This is a campus procedure to provide practical guidance for the use of volunteer services. It includes the following notable sections:
	  o Definition of Volunteer: This defines the volunteer.
	  o Procedures:
	    ▪ Operational Principles: This includes a list of what volunteer services cannot be used for.
	    ▪ Conditions and Restrictions of Volunteer Appointment: This section lists the requirements of a volunteer, such as age, compliance with policies, authority, etc.
	  o Application and Appointment to Perform Volunteer Services for The University: This section provides a list of links to documents required to be completed prior to the commencement of the volunteer assignment:
	    ▪ Volunteer Fills out: Information form, Waiver and Release of Liability, Patent Acknowledgment Form
		• Vice Chancellor Business and Administrative Services is the responsible official.
		
		• Departments: The office of record for campus volunteers providing service within their divisions/departments
		
		• Risk Services:
		
		  o Departments considering utilization of volunteers should contact Risk Services to assess and minimize risks.
		
		  o Primary Contact for the University Volunteer Services Procedure.
		
		  o Insurance Coverage subject area.

Table 3 - Detailed Summary of Volunteer Administration Guidance and Roles at other UC Campuses		
Campus/ Source	**Guidance Available**	**Campus Unit Roles**

	(if using research facility), release of driver record (if using fleet vehicle), consent for background investigation (if applicable).
	      ▪ Department fills out: The rest of volunteer information form and request for livescan.
	      ▪ Of note: Principle Investigators and departments who sponsor volunteer minors in research laboratories or shops require additional reviews, approvals, and parental permission.
	  ○ Coverage of Volunteers by University Insurance Programs: This states that volunteers are not covered by Workers Compensation and includes clarification concerning the applicability of UC General Liability Program.
		• Environmental Health & Safety: Research Lab Safety Training subject area.
		
		• Human Resources: Background Checks subject area.
		
		• Transportation & Parking Services: DMV Pull Program subject area.

UC Los Angeles:
 	
• UCLA – Administrative Guidelines for the use of Volunteers
 	
• Human Resources website: UCLA Volunteer Guidelines Campus
	• Administrative Guidelines for the Use of Volunteers: This is a guideline intended to set appropriate expectations and clarifying roles and responsibilities for both UCLA volunteers and their sponsoring department or unit.
	  ○ Applicability: This policy applies to volunteers based on whether they meet the three criteria, which includes that they volunteer directly to the University; they are supervised by the University; and they do not receive compensation for this.
	  ○ Guidelines:
	      ▪ Selection Criteria and Restrictions: This section goes over what programs the volunteer is not eligible for, such as sick leave, etc.
	      ▪ Application and Assignment Procedures: Provides a list of forms that must be completed.
	      ▪ Supervision and Management of Volunteers: This describes the management of volunteers.
	      ▪ Qualification for University Self-Insurance Coverage: This section goes over requirements for coverage under insurance programs.
		• Campus Human Resources is responsible for managing the Administrative Guidelines for the Use of Volunteers.
		
		• Department: Responsible for description of volunteer services, maintaining various volunteer records (application, waivers, hours worked, etc.).

Table 3 - Detailed Summary of Volunteer Administration Guidance and Roles at other UC Campuses		
Campus/ Source	**Guidance Available**	**Campus Unit Roles**
	• UCLA Volunteer Guidelines Website: This webpage acts as a reference for campus organizations planning to use volunteers.	
UC Riverside: • Environmental Health & Safety – Risk Management website: Volunteers • UCR Policies and Procedures	▪ UC Riverside Risk Management Volunteer site: This page provides definitions for various volunteers, refers to campus policies, and directs departments to submit a volunteer application form with Human Resources. ▪ UCR Volunteer Policy 650-85: This policy provides guidance for the use of non-employees (e.g., volunteer services, temporary agency workers). o Definitions: Defines Contingent Workers (CWR), Person of Interest (POI), Student Intern, and Volunteer. o Policy: This is comprised of subsections that go over details regarding appropriate assignments/ tasks/ duties for each defined non-employee group. o Procedures: The volunteer appointments section further details procedures and requirements to be followed. o Workers' Compensation Coverage: Addresses volunteer coverage and details steps/forms required. o UC General Liability Insurance Coverage: Addresses qualified volunteers could be covered by the Insurance Program (BUS-81).	▪ Departments that utilize volunteers are responsible for maintaining written records on each volunteer. ▪ Risk Management: This department hosts information and references on their website regarding the procedures required for volunteers. ▪ Human Resources: This department is the responsible office for managing the campus Policies and Procedures for the use of non-employees.
UC San Diego: • UCSD Implementing Procedures (HR-S-3) • UCSD Human Resources –	• UCSD Implementing Procedures o Policy: This section defines a volunteer and describes the steps required for a volunteer appointment, age requirements, and duration of volunteer appointments. o Procedure: This section goes into detail regarding the forms required to be filled out by the department/volunteer, which includes the staff volunteer appointment form, loyalty oath, patent agreement, etc. • UCSD Human Resources Website	• The department is responsible for consulting with Human Resources Department Records Unit, forwarding applicable documents to Human Resources Department. • Human Resources Department is responsible for being the Office of Records for staff volunteer appointments documentation. The department site also hosts the DocuSign form for volunteers to fill out.

Table 3 - Detailed Summary of Volunteer Administration Guidance and Roles at other UC Campuses		
Campus/ Source	**Guidance Available**	**Campus Unit Roles**
Campus Volunteer Appointment Steps	o UCSD Human Resources website provides references to resources such as the electronic form for volunteers to sign.	

APPENDIX A. SUMMARY OF WORK PERFORMED AND RESULTS

Preliminary Analysis	
Work Performed	**Results**

Reviewed UC and UC Santa Cruz policies, best practices, and other relevant guidance.	• A policy for volunteers on the SHR website that was under review.
	• Guidance on the Risk Services webpage for the volunteer program, which is limited to Workers' Compensation information in regards to volunteers.
	• Identified and briefly reviewed indirect policies such as:
	    ○ PPSM-21: Selection and Appointment
	    ○ UC Policy for Minors in Laboratories and Shops
	    ○ Regents Policy 5203: Policy on Support Groups, Campus Foundations, and Alumni Associations
	• Documented practices for volunteer administration at other UC campuses:
	    ○ UC Berkeley
	    ○ UC Davis
	    ○ UC Irvine
	    ○ UC Merced
	    ○ UC Los Angeles
	    ○ UC Riverside
	    ○ UC San Diego

Reviewed relevant audit or advisory reports conducted at UC campuses.	Gained an understanding of other campus processes and procedures related to volunteer administration.
Identified and communicated with prior workgroup members and/or relevant stakeholders if member had separated from the university.	The workgroup charged with formalizing the volunteer program stopped functioning in 2014 due to separation of key members and competing priorities. Based on our initial interviews with management, we chose to perform a series of interviews and a comparison of volunteer administration at other campuses in lieu of substantive testing due to the fact that the workgroup established as a result of the audit in 2013 was no longer functioning since 2014.

Performed interviews with all relevant stakeholders to identify current volunteer administration procedures in place.	- Based on all interviews, it is our understanding that departments on campus are responsible for their own handling and ensuring compliance in the use of volunteers. There is no centralized governance or formalized guidance regarding the use of volunteers on campus. - Risk Services hosts a webpage for the Volunteer Program, but this is limited to Workers' Compensation information in regards to volunteers. Specifically, every volunteer must sign the Volunteer Waiver and Election of Workers' Compensation Coverage prior to volunteer service, which will then be sent to the Risk Services Office while the original copy is retained by the supervising unit for five years beyond the end of the term of volunteer service. Furthermore, this site has links to resources regarding minors and volunteer procedures hosted by Staff Human Resources. Staff Human Resources (SHR): - SHR hosts a webpage that contains a procedure for volunteer administration, however it was last updated in 9/19 and remains under review. Based on interviews with SHR staff, we were informed that this was not being used or plans to be updated. We also observed the Volunteer Agreement Letter located on this page was revised 3/20. However, we noted the form included a link to the Volunteer Waiver and Election of Workers' Compensation Coverage that was outdated and no longer working. - The role of SHR is limited to processing background checks for volunteers that are deemed to be in a critical position according to UC Policy PPSM-21 Selection and Appointment. The process is as follows: - Generally, the department needing the volunteer background check reaches out to SHR with the request. SHR then provides the department with a link to the

	LiveScan page as well as a Google doc template for their own tracking of volunteers. When the department wants to remove a volunteer, this Google doc is then sent to SHR to ensure their background check is removed from relevant entities (Department of Justice, Federal Bureau of Investigation, etc.) to ensure the campus is no longer receiving this information.