



Internal Audit Report

Off-boarding Controls

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I. EXECUTIVE SUMMARY

Internal Audit & Advisory Services (IAS) has completed an audit of campus off-boarding practices for separating employees to evaluate their effectiveness at ensuring that separated employees are prevented from gaining unauthorized physical and electronic access to campus systems and facilities, and that campus property is returned before employees separate.

Overall, controls were in place to provide reasonable assurance that separating employees would be prevented from accessing enterprise financial systems and other systems requiring CruzID. In addition, there were logical controls in place to stop payroll for employees whose status in the payroll system has changed to separated. There were also reports generated by the payroll system through the Data Warehouse that were used to identify separated employees to ensure certain system accounts are closed and campus credit card accounts are closed.

However, except for the enterprise systems and areas identified above, the campus had limited assurances that off-boarded employees would be prevented from gaining access to localized systems and facilities, that campus property was being returned, and that off-boarding goals were achieved. This condition existed because off-boarding was occurring in varying degrees by each unit/division exercising their own processes, without benefit of standardized procedures and active campus oversight.

The following issue requiring management corrective action was identified during the review:

A. Campus Off-boarding Governance

There was a lack of central governance over campus employee off-boarding which led to administrative inefficiencies within campus units/divisions and inconsistencies in the way employee off-boarding was handled campus-wide.

B. Off-boarding Procedure

The campus had not implemented standardized procedures or tools, such as an off-boarding checklist to help guide managers and supervisors through the off-boarding process and help ensure off-boarding goals were achieved.

Management agreed to all corrective actions recommended to address risks identified in these areas. The Academic Personnel Office currently has a Working Group that is examining academic personnel and academic human resources processes across campus in preparation for UCPATH. This includes the development of an online off-boarding tool to be used by exiting employees, their supervisors, and the divisional administrators.

Observations and related management corrective actions are described in greater detail in Section III of this report.

II. INTRODUCTION

Purpose

The purpose of this review was to evaluate the adequacy of controls over the separation of employees, temporary staff, and outside contractors to ensure they have been sufficiently cleared and are prevented from gaining unauthorized physical and electronic access to campus systems and facilities.

Background

Off-boarding refers to procedures taken when an employee separates. Procedures vary depending on the type of employee (staff or academic) and type of appointment; and the reason for separating, such as voluntary, (including retirement) or involuntary (including termination).

Off-boarding involves actions taken by separating employees and their supervisors, as well as campus units administering the action, such as Human Resources Employee & Labor Relations and Benefits; Financial Affairs Financial Accounting & Reporting (FAR), Financial Administrative Services & Transactions (FAST), Payroll and Enterprise Financial Services (EFS); Information Technology Services (ITS) Support Center; and divisional or departmental facilities management.

During the off-boarding process:

- arrangements are made for distribution of the employee's final paycheck,
- applicability of a continuation of benefits and unemployment insurance is determined and coordinated,
- IT user accounts are deactivated,
- Employees segregate their personal records from business records and provide management with access to the business records,
- keys are returned and physical access to campus facilities is removed as applicable,
- University assets, such as computers, laptops, credit cards, and parking passes are returned.

An exit interview can be conducted to learn how the university can improve its employee retention.

When off-boarding procedures are thorough and efficient, laws, regulations and policies are complied with; university assets, both electronic and physical, are safeguarded; university human resources are improved; and separated employees have a positive final experience of their working relationship with the university.

Scope

Our review consisted of the following steps:

- Reviewed UC policies that pertained to off-boarding.
- Met with the Staff HR director to learn of this unit's efforts to provide the campus, both supervisors and separating employees, with off-boarding procedures to guide them through the separation process.
- Reviewed Staff HR separation procedures on their website and procedures for closing accounts in its Recruitment Management System.
- Contacted the director of the Academic Personnel Office to learn if this office provided supervisors and employees with off-boarding procedures to guide them through the separation process.

- Contacted divisional and their departmental administrations to learn what off-boarding procedures they employed to guide supervisors and separating employees through the separation process.
- Contacted ITS to learn what its off-boarding procedures were to ensure system accounts were closed when employees separated.
- Contacted the Payroll Office to learn of compliance with last paycheck requirements.
- Reviewed off-boarding procedures, including checklists, at UCSD, UCD and UCOP to compare with UCSC procedures.
- Based on the steps listed above, we performed a risk assessment and an audit program to test the highest risks.
- Tested for open accounts of separated employees on campus enterprise financial systems.
- Tested for return of campus assets by separating employees.
- Tested for separated employees on the Campus Directory with active phone numbers and email accounts.

Our testing of open accounts on IT systems was limited to corporate financial systems. Further, as campus assets such as keys are reissued to other employees who take up the duties of separated employees, we were not able to perform a test of absence or presence of those assets. Rather, we relied on information on off-boarding practices at the department level.

This review focused on controls over employees who leave the campus. We did not review employees who transfer between campus units.

III. OBSERVATIONS REQUIRING MANAGEMENT CORRECTIVE ACTION

A.	Campus Off-Boarding Governance					
<p>There was a lack of central governance and guidance over campus employee off-boarding which led to administrative inefficiencies within campus units/divisions, and inconsistencies in the way employee off-boarding were handled campus-wide.</p>						
Risk Statement/Effect						
<p>Without adequate guidance to assist management and separating employees through the off-boarding process there is a risk that the goals of this process will not be achieved, such as compliance with human resource regulations, obligations and policies; closing access to campus IT systems and facilities; business continuity through timely access to documents, and the return of campus equipment.</p>						
Agreement(s)						
A.1	<p>Staff Human Resources will establish and provide guidance to managers and supervisors for administrative and student employees outlining off-boarding procedures for separating employees. This will include:</p> <ul style="list-style-type: none"> • The establishment of roles and responsibilities of off-boarding process of SHR, the supervisor, and the employee, • An expectation that the supervisor will review and sign-off on the checklist with the departing administrative employee. • Maintaining the completed checklist in the employees personnel file, and • Developing instructions and training for supervisors on the off-boarding process. 	<table border="1"> <tr> <td data-bbox="1175 835 1472 886">Implementation Date</td> </tr> <tr> <td data-bbox="1175 886 1472 936">07/01/2016</td> </tr> <tr> <td data-bbox="1175 936 1472 987">Responsible Manager</td> </tr> <tr> <td data-bbox="1175 987 1472 1318">AVC Staff Human Resources.</td> </tr> </table>	Implementation Date	07/01/2016	Responsible Manager	AVC Staff Human Resources.
Implementation Date						
07/01/2016						
Responsible Manager						
AVC Staff Human Resources.						

<p>A.2</p> <p>Academic Personnel Office will continue to work with academic personnel and academic human resources units within campus divisions in establishing a common off-boarding procedure for separating academic employees. This will include:</p> <ul style="list-style-type: none"> • The establishment of roles and responsibilities of off-boarding process within divisional units, including divisional support staff, faculty, and the employee, • An expectation to review and sign-off on an academic off-boarding checklist completed by the departing academic employee, • Maintaining the completed electronic checklist for the time period specified for personnel records retention , and • Developing instructions and training for the divisional academic personnel and academic human resources units to provide to supervisors, support staff, and employees on the off-boarding process. 	Implementation Date
	07/01/2016
	Responsible Manager
	AVC Academic Personnel
<p>A.3</p> <p>Both Staff Human Resources and the Academic Personnel Office will integrate off-boarding procedure into the local UCPath business process map.</p>	Implementation Date
	07/01/2016
	Responsible Manager
	AVC Staff Human Resources AVC Academic Personnel

A. Campus Off-Boarding Governance - Detailed Description

The campus did not have a uniform off-boarding process, central oversight, or guidance to ensure that off-boarding activities were monitored and procedures consistently applied. Such procedures should include a checklist for supervisors to go through with separating employees to inform Human Resources of the separation so it can arrange further communication with the employee and inform the Payroll Office; that IT systems are closed; that management has access to business documents and employees segregate their private documents from them; that keys, pass cards and parking passes are returned; and that University equipment is returned. Without such standardized procedures there is no efficient way to gain assurance that these activities and off-boarding goals were achieved.

Staff HR:

Staff HR maintained specific separation procedures on their website which stated:

- *Employee starts separation process by contacting the Benefits Office.*
- *Employee submits letter of resignation.*
- *This letter is acknowledged by supervisor in writing.*
- *Supervisor notifies Employee & Labor Relations and unit/division.*
- *SHR Operations processes paperwork and final paycheck.*

- *SHR Operations meets with the employee on their last day of work to complete a Separation Data Collection Document, Unemployment Insurance Termination Report, and the Termination of Employment Benefits Checklist.*
- *Unit completes and internal separation checklist, according to the Separation Data Collection Form. Audit note: This form did not include instructions to close IT accounts, provide supervisors with access to the employee's business records or return campus equipment, credit cards, etc.*

The Staff HR separation procedures lacked a specific description of tasks/duties/responsibilities of the departments involved as well as when these tasks are to be completed. The reference to internal separation checklists indicates that the off-boarding procedure is not owned by a central unit. This invites the risk of missing elements of the procedure that the campus does not want missed. If Staff HR was responsible then it would create a complete checklist that units/departments would be accountable to implement.

Academic Personnel Office

The Academic Personnel Office indicated that that each division had its own off-boarding process and they did not provide academic divisions or departments with off-boarding procedures to guide supervisors or separating employees through the separation process. As a result, it was left up to the divisional administrations to generate their own guidance.

Campus Units and Divisions

We contacted academic divisional administration to learn of their off-boarding procedures. We found:

- The Arts Division did not have a formal off-boarding procedure.
- The Baskin School of Engineering did not have an off-boarding checklist for supervisors. It did have instructions for employees but these did not include instructions to close IT accounts or provide supervisors with access to documents on employee accounts.
- Humanities Academic HR did not have an off-boarding checklist to guide supervisors, although it did have instructions for separating faculty. The Division did not have a formal off-boarding procedure for separating staff.
- PBSci did not have an off-boarding checklist to guide supervisors. It did provide instructions to separating faculty but did not mention closing IT accounts or provide supervisors with access to documents on employee accounts.
- The SocSci Division did not have an off-boarding checklist to guide supervisors or separating employees.

Discussions with campus divisions revealed that academic divisions' administrations often did not have a formal off-boarding procedure to adequately guide both supervisors and separating employees through the separation process.

We observed that with the exception of ITS, units we contacted did not have a separation checklist that guided supervisors of separating faculty, staff or student employees. Although there was some guidance provided to employees, the main control points should most appropriately be assigned to unit supervisors, who are responsible to ensure university assets are secured.

We were told by divisional managements that a standardized off-boarding checklist would be useful to them, especially those who have yet to off-board a separating employee. Refer to Appendix A-2 – Test for Open Accounts #2.

We looked at the off-boarding procedures of UC San Diego and UC Davis to see if there were best practices that could be employed at our campus. The campus human resources departments of both campuses have taken responsibility to create checklists to serve both management and separating employees and ensure off-boarding goals are achieved. This was also the case with UCOP. Our ITS division also has a good checklist for off-boarding its separating employees. See Appendix B for examples of separation checklists.

B. Off-Boarding Procedures		
There was not a standard checklist to guide managers and supervisors through the off-boarding process that would help ensure the goals of off-boarding are achieved.		
Risk Statement/Effect		
Without an adequate checklist various elements of the off-boarding process may be overlooked resulting in unnecessary risks to the Campus, such as hurried processing of final paychecks, open accounts, inaccessible business documents, lost keys, and unreturned equipment.		
Agreement(s)		
B.1	Staff Human Resources will collaborate with relevant administration units to develop and issue a standard off-boarding checklist to guide supervisors and employees through the separation process.	Implementation Date
		07/01/2016
		Responsible Manager
		AVC Staff Human Resources
B.2	Academic Personnel Office will continue to collaborate with academic personnel and academic human resources offices within the academic divisions to develop and issue a standard off-boarding checklist to guide division administrators and employees through the separation process.	Implementation Date
		07/01/2016
		Responsible Manager
		AVC Academic Personnel

B. Off-Boarding Process - Detailed Description

The primary goals of an effective off-boarding process include ensuring:

1. Distribution of the employee’s final paycheck,
2. Continuation of benefits and unemployment insurance is determined and coordinated,
3. IT user accounts are deactivated,
4. The University has access to business documents and a disposition schedule is in place,
5. Keys are returned and physical access to campus facilities is removed as applicable, and
6. University assets, such as computers, laptops, credit cards, parking passes, are returned.

In addition, exit interviews provide an opportunity for the organization to learn from an off-boarding employee.

A discussion of campus alignment with these goals is described as follows

1. Distribution of the employee's final paycheck:

To ensure compliance with UC policy and state law, final paychecks must be delivered to separating employees timely. The key to success is timely communication between unit supervisors and HR teams. HR teams are responsible for the thorough review of time and attendance records and contact the Payroll Office for processing the final payment. The communication between the unit supervisor and the HR team depends on the off-boarding procedure with the employee who is separating. Communication between HR and Payroll has been good. We did not identify any cases where the final paycheck due to a separating employee had not occurred. No fines/penalties have been assessed for non-compliance with last paycheck requirements.

The primary obstacle has been the communication between units/departments and HR that someone is separating. This is an off-boarding issue. HR informs Payroll that someone is separating but the information is limited because HR is waiting for further information from the department/supervisor. The consequence of this is that Payroll must produce a "local check" in order to meet the deadline.

2. Continuation of benefits and unemployment insurance is determined and coordinated:

In general, standard benefits payments are automatically discontinued when an employee separates. Staff Human Resources are available to assist employees to get questions answered and to arrange for any continuation of benefits, such as through the Consolidated Omnibus Reconciliation Act (COBRA) or through the "Benefits Bridge" for qualifying employees. There were limited assurances that employees were being informed or counseled on available continuation of benefits during the off-boarding process.

3. IT user accounts are deactivated:

Controls designed to keep off-boarding employees from accessing selected campus IT enterprise systems were in place and effective. ITS and EFS have off-boarding procedures to close accounts of certain campus IT systems.

We performed a test of EFS's account closure procedures for separated employees for its systems. Of the 696 employees who separated during FY2015 up to March 1, 2015, there were only two separated employees with open accounts. One was an active sundry account on CruzBuy sponsored by the unit that hired this separated employee as a contractor. The other was a CruzBuy account of a sole approver for her unit before she retired. EFS has a standard procedure to keep such accounts open, until the approval role is reassigned, so that it can monitor the unit's purchase requests to ensure purchase orders will not fail. The retiree's password was locked so that she could not login again.

This test provided assurance that EFS's procedures for closing accounts were effective.

ITS operates the campus identity management system (IdM) that supplies CruzID accounts with Blue and Gold passwords. When ITS is notified, either directly by departments or through weekly payroll system separation reports, it closes CruzID accounts. EFS manages the campus financial enterprise systems, namely the payroll system (PPS), the financial system (FIS), the time and attendance system (CruzPay), the procurement system (CruzBuy) and the effort reporting system (ERS).

EFS is notified of separations either directly from departments, ITS tickets, or monthly payroll system separation reports. EFS responds to these notifications by immediately locking access so that separated employees can no longer login to these systems. Accounts on the CruzPay system are automatically terminated when an employee's status in the payroll system changes to "separated."

Department IT systems:

Account closures for department IT systems, including those in labs, are the responsibility of those departments or PIs.

While controls were strong over the deactivation of off-boarding employees from key campus IT enterprise systems, there was little visibility or assurance over controls and processes maintained within units/divisions to ensure off-boarded employee access had been deactivated. Further, while guidance exists on the ITS website for off-boarding UCSC Google Apps (email, calendars, documents, sites, groups), there is no assurance that it is being implemented consistently by units.

4. The University has access to business documents and a disposition schedule is in place:

When an employee (academic, staff or student) separates from the University, certain records management and privacy policies apply (BFB RMP-1 University Records Management Program and Electronic Communications Policy). ITS's policy notice regarding disposition of and access to records upon separation from employment is:

Separating employees must provide the University with copies of, or access to, all records in their possession that pertain to the administrative business of the University. Separating employees should remove their personal records and/or transfer them to their personal accounts, and the University shall provide the opportunity to do so. All remaining records (paper or electronic) may be accessed for future business use by the University at its sole discretion and without notice. This includes but is not limited to: email; any and all files on computers and file servers used during employment with UCSC, whether by individual (sole) or group (shared) access to those records; and all back-up copies of any such records. These records may be forwarded or transferred from accounts of separated employees so those accounts may be closed according to standard campus procedures. Please be advised that any remaining personal records could be incidentally accessed during these processes.

ITS has historically relied on supervisors to ensure that separating employees are made aware of this policy and take appropriate actions. These actions would include the employee segregating personal records from University business records and providing supervisors with access to business records as needed. Then ITS could delete or "expunge" accounts without having to keep them in suspense.

A disposition schedule for closing these accounts has not been established. Therefore, ITS has not expunged Google Apps accounts when employees separate, even though those employees no longer have access to them. As these accounts include faculty, staff and students there are many such accounts held in suspense. While ITS controls "core" Google Apps, namely Email, Calendar, Drive, Groups Sites, etc., there are other file hosting services that may contain documents important to the University, such as Dropbox.

Although, Google does not charge the University for maintaining suspended Google Apps accounts, there are risks in keeping these accounts indefinitely that include e-discovery and litigation. The benefit of keeping these accounts is that they may contain important documents, such as for business continuity and institutional knowledge. The best persons to identify valuable documents are the employees who filed them. Therefore, the segregation of personal from business-related records and ensuring access to the later by supervisors is an important element of the off-boarding process.

Further, ITS needs a disposition schedule for expunging Google Apps accounts of separated employees so that they are not held indefinitely. This schedule would require a supervisor to remove important documents from Google Apps accounts before the accounts are expunged.

5. Keys are returned and physical access to campus facilities is removed as applicable:

Management at these levels are responsible for keys and deactivating access. We were told that there were informal processes to ensure for example, keys were collected upon an employee departure, and we observed various forms of checklists aimed at separating employees. Further, we were told that access to certain systems, including phone and email, was closed automatically when employee separation is recorded in PPS.

6. University assets, such as computers, laptops, credit cards, parking passes, are returned:

Management at these levels are responsible for collecting tangible Campus assets, computers, cell phones, etc.

FAR receives separation email notices from ITS and daily PPS separation reports that it uses to close campus travel & entertainment credit cards of separated employees within a day or two of their date of separation. The FAST Pro-Card Administration Team reviews PPS separation reports forwarded by EFS to close any open pro-card accounts of separated employees.

Use of an off-boarding checklist would help ensure these campus off-boarding goals are achieved. Elements of an off-boarding checklist would also be relevant for transferring employees to other positions.

APPENDIX A-1 – Summary of Work Performed and Results – Preliminary Survey

Preliminary Survey	
Work Performed	Results
1. We reviewed UC policies related to off-boarding.	1. There was not a specific policy that addressed off-boarding. However, we found policies with off-boarding implications and we concluded the following based on our review of these policies: <ul style="list-style-type: none"> • Pls who separate may not remove University or other property w/o having obtained the appropriate prior written approvals • Access to University IT systems is reserved for authorized individuals. • Upon separation, the individual's electronic communications access may be continued, modified, or terminated, as appropriate, based on University business need and departmental/unit authorization. • Upon separation, the individual's access to UCSC electronic communications services and resources will be cancelled or modified, as appropriate.
2. We met with Staff HR director to learn of its efforts to provide the campus, both supervisors and separating employees, with off-boarding procedures to guide them through the separation process.	2. Staff HR does not provide the campus with off-boarding procedures to guide supervisors and separating employees through the separation process.
3. We contacted the director of the Academic Personnel Office to learn if it provided supervisors and employees with off-boarding procedures to guide them through the separation process.	3. The Academic Personnel Office does not provide academic divisions or departments with off-boarding procedures to guide supervisors or separating employees through the separation process. It is up to the divisional administrations to provide these.
4. We contacted divisional administrations to learn what off-boarding procedures they employed to guide supervisors and separating employees through the separation process.	4. Academic divisions' administrations did not have a formal off-boarding procedure to guide both supervisors and separating employees through the separation process. We were told that there were informal processes to ensure keys were collected and we observed checklists aimed at separating employees. Further, we were told that access to certain systems, including phone and email, is closed automatically when employee separation is recorded in PPS.
5. We contacted ITS to learn what its off-boarding procedures were to ensure access to systems was closed when employees separated.	5. CruzID accounts are automatically closed when separations are recorded in PPS, DivData, or AIS. An ITS Accounts Team closes other accounts regularly, such as Active Directory and AIS, and employee accounts when notified by supervisors. They cannot close accounts they do not know about, such as sundry accounts or lab-based system accounts. ITS has an off-boarding checklist for ITS supervisors for their separating employees.

<p>6. We reviewed Staff HR separation procedures on their website and procedures for closing accounts in its Recruitment Management System. This review included a Separation Data Collections Form, referenced by Staff HR separations procedures.</p>	<p>6. The Staff HR separation procedures lacks specific description of tasks/duties/responsibilities of the departments involved as well as when these tasks are to be completed.</p> <p>The reference to internal separation checklists indicates that the off-boarding procedure is not owned by a central unit. This invites the risk of missing elements of the procedure that the campus does not want missed. If Staff HR was responsible then it would create a complete checklist that units/departments would be accountable to implement.</p>
<p>7. We reviewed off-boarding procedures, including checklists, at UCSD, UCD and UCOP to compare with UCSC procedures.</p>	<p>7. The three examples we reviewed (UCSD, UCD and UCOP) provided adequate guidance to both management and separating employee of their roles and responsibilities for separating from the University in a way that lessened risk of unauthorized access and use of University assets.</p>
<p>8. We contacted the Payroll Office to find out if there were any issues with the issuance of final paychecks.</p>	<p>8. No fines/penalties have been assessed for non-compliance with last paycheck requirements. Communication between HR and Payroll has been good. The obstacle has been the communication between units/departments and HR that someone is separating. <i>This is an off-boarding issue.</i> HR informs Payroll that someone is separating but the information is limited because HR is waiting for further information from the department/supervisor. The consequence of this is that Payroll must produce a “local check” in order to meet the deadline.</p>

APPENDIX A-2 – Summary of Work Performed and Results – Test for Open Accounts

Test for Open Accounts	
Work Performed	Results
<p>1. We obtained two InfoView reports on separated employees for the period July 1, 2014 to March 1, 2015. One was a standard Corporate Report on career staff separations; the other was a report created for ITS Support Center on all separations, including academic, career, and limited appointments.</p> <p>We tested a sample of career staff who separated with the help of Enterprise Financial System staff.</p> <p>We tested all separated employees during our testing period against lists of active accounts on enterprise systems: FIS, CruzBuy, PPS and the ERS. CruzPay accounts are automatically closed when a separated status occurs in PPS.</p>	<p>1. Of the 696 employees who separated during the period of 07/01/2014 - 03/01/2015, only two continued to have open accounts on an enterprise financial system, namely CruzBuy. Enterprise Financial Systems provided reasonable explanations why these two accounts were open. No issues.</p> <p>Of the 25 separated employees tested for the Campus Directory, one continued to have a campus phone number and email address; and another had a campus email address of a unit she contracted for after she separated from the university. The first of these was removed from the Directory during our review. These are minor concerns as units may continue to provide campus email addresses and phone numbers if they are willing to pay for the costs.</p>
<p>2. We contacted ITS Support Services and Enterprise Financial Systems to identify their procedures for being notified of separations and their response to these notifications.</p>	<p>2. The following conclusions were made regarding ITS account closures for separated employees:</p> <ul style="list-style-type: none"> • The Accounts Team addresses account closures weekly when they receive the InfoView separations report. These are for accounts that are not automatically closed via the CruzID triggered by end dates in PPS, AIS and DivData. Account closures may be postponed due to a higher priority of addressing incident tickets. This is a workload problem that cannot be addressed by other than adding more staff, which is unrealistic. Thus, unless supervisors alert ITS by means of ITRequest tickets to close accounts on a certain date, these accounts might remain open for a week or so after an employee separates. Of course, this is only in the case of units like ITS that receives the separation report and has formal procedures to close accounts based on that report. • Sundry accounts are set to automatically expire unless the sponsor request a continuance of the account. • Campus Directory Listing: <ul style="list-style-type: none"> • Guests, temp employees and new/staged employees are entered into the Campus Directory. • Visitors, contractors, UNEX and retirees are not entered into the Campus Directory.

	<p>Enterprise Financial System receives its own InfoView separations report that it uses to close the accounts of separated employees.</p> <p>There is reasonable assurance that IDM accounts and accounts on enterprise systems managed by EFS are closed timely. Other systems managed by individual units/departments require procedures by which their managements are alerted of separations and have a formal procedure to close those accounts upon such notification.</p>
<p>3. We also enquired about the discontinuation of benefits, such as the University's payment of health insurance premiums.</p>	<p>3. Payroll confirmed that once an employee's status is updated to "Separated" in PPS, no further payments (of any kind) are automatically made to insurance, unions, retirement plans, charities, etc.</p>
<p>4. We contacted the Records & Information Management Office and ITS to learn about access to separated employee business records and a disposition schedule for accounts those records are located in, mainly Google Apps.</p>	<p>4. . There is no disposition schedule for Google Apps because there may be business documents in those accounts that the University wants to have access to. Access to these records and their segregation from employee personal records should be managed through the off-boarding process.</p>

APPENDIX A-3 – Summary of Work Performed and Results – Test for Return of Assets

Test for Return of Assets	
Work Performed	Results
<p>1. Obtain InfoView report on separated employees for period of July 1, 2014 through March 1, 2015 and choose a sample of employees.</p>	<p>1. Testing for adequacy of equipment return was unrealistic as equipment is reissued to new hires and therefore a test of its presence or absence would not be revealing. We therefore decided to assess the off-boarding process for equipment based on the presence or absence of formal off-boarding procedures.</p>
<p>2. Contact unit administration to learn what off-boarding procedures they use and if these were implemented for the samples.</p>	<p>2. For the most part, any off-boarding procedures were directed at the separating employee and not the employee’s supervisor. Consequently, there does not appear to be much managerial control of the off-boarding process. ITS was an exception to this. We heard that departments had their own off-boarding practices so we make further inquiries.</p> <p>Physical Plant (PP) Administration does not have a formal off-boarding procedure. The Custodial Department does not have a formal off-boarding procedure and there is no separations checklist. The separating employee writes a formal resignation/retirement letter that is acknowledged by his/her supervisor and sent to Staff HR. The supervisor informs PP Business Office personnel to close the employee’s account in FAMIS, and receives the employees’ keys, pass cards and other PP equipment.</p> <p>The EH&S advisor for PBSci has been developing a checkout list for grad student and post doc researchers who are separating. This list is a draft and not yet finalized for actual implementation. He is not aware of a checkout list for faculty.</p> <p>PBSci Facilities relies mainly on word of mouth to learn of separations and takes action to get PBSci-controlled keys. This is not ideal. The Bio-Med building has card access. Cards can be programed to turn off, but a date must be set and that depends on knowledge of an employee’s separation date.</p> <p>We were especially interested in SocSci departments as the SocSci Human Resources Office did not know what department off-boarding practices were and did not have any of its own to offer.</p> <p>The SocSci Psych Dept. does not have an off-boarding checklist that covers all areas of off-boarding. However, it does have a key control procedure that includes a Key Agreement and a key database.</p>

	<p>The SocSci Econ Dept did not have an off-boarding checklist. The dept. manager searched for one for academics and also looked on the Staff HR website. Neither the APO nor Staff HR have checklists for supervisors to follow when off-boarding employees who are separating.</p> <p>The SocSci Environmental Studies Dept. does not have its own off-boarding checklist that addresses all areas. The dept. manager was confident that they get computers and keys returned. The manager could not verify the implementation of Google Apps off-boarding procedures. The manager is looking for an efficient off-boarding procedure as this process often dovetails with on-boarding of new employees.</p> <p>The manager of the SocSci departments: Politics, Latin American and Latino Studies, and Legal Studies, said there was no off-boarding checklist but such a checklist would be useful. She said keys and other equipment are returned. The division office is notified, particularly the SocSci IT Office, which maintains the inventory of technical equipment. Keys within the control of the departments are recorded in a database.</p>
<p>3. Contact Accounting Services to learn what procedures were employed to ensure campus credit cards (pro-cards and T&E cards) of separated employees were closed.</p>	<p>3. FAR receives separation email notices from ITS and daily PPS separation reports that it uses to close campus travel & entertainment credit cards of separated employees within a day or two of their date of separation.</p> <p>The FAST Pro-Card Administration Team reviews PPS separation reports forwarded by EFS to close any open accounts of separated employees.</p>

APPENDIX B-1 – Example of Separation Checklist – UCSD

When an Employee Separates from UCSD: Department Checklist¹

Supervisors, use this checklist to determine the steps to take when an employee submits a notice of separation.

For information about employee termination, contact your employee relations (Link) and labor relations (Link) specialists.

Check with your department's HR contact.

Discuss the following:

- Why is the employee leaving?
- How will you fill the vacancy?
- Will the employee train a replacement?

Process the separation through the Payroll Personnel System (PPS).

Access the PPS online system to:

- Complete the separation bundle:
 - Change the Direct Deposit to Paper Check (Code 3).
 - Change the employee's address, if applicable.
 - Calculate the vacation and sick hours.
 - Verify the last day of work.
 - Verify the separation date, if different from last day of work.
- End all appointments and distributions.
- Print the completed form. If your department requires, ask the employee to review and sign a copy of the form for your department file, then give a copy to the employee.
- Arrange for the separating employee to receive the final paycheck (Link).

Complete all necessary forms.

Complete or assist the HR contact or employee to complete the following forms where applicable:

- Unemployment Insurance Termination Report (Link) (for use by HR contacts only). Fax this form directly to:

¹ Employee names, contact information, websites and links were replaced with position titles and references to contact information, websites and links.

Sr. Unemployment Insurance Consultant

Fax#

Phone#

Email Address

- State Unemployment Office, Employment Development Department (EDD) information:
 - Provide employee with link to For Your Benefit-California's Programs for the Unemployed: (Website)
 - **Note:** Instruct separating employees to visit EDD's Web site regarding Unemployment Insurance: (Website)
- Signature Authorization or Cancellation Form (Excel and Word): Send the completed form to Disbursements (Mail Code #).
- COBRA forms and information:
 - Inform the employee that after the separation date has been entered into the PPS system, CONEXIS will mail the appropriate COBRA information close to the date benefits end. COBRA rates can be view online (Link).
 - Contact Senior Benefits Analyst (Link), Human Resources, (Phone #), for assistance.
- Parking Cancellation and Refund Form (Link) (Employee must complete and take to the Parking Office (Link) along with the parking placard.
- Personal Data Form (PDF) (Link) if any employee information is changing
- Pending travel advances or vouchers, or authorized reimbursements
- International Scholar Departure Form (Link) for any employee on H-1B, J-1, or O-1 status
- UBEN 142 Distribution Request Form (Link) - Refund of Accumulations University of California Retirement Plan (UCRP): If you are vested (minimum of 5 years of service credit) and request a refund of your UCRP accumulations, you will waive your rights to all future UCRP retirement benefits.
- If your employee participated in the UC Retirement Savings Program (DCP, 403(b), 457(b)) Plans, inform your employee to contact Fidelity Retirement Services at Phone # to discuss options for their account. The retirement account(s) must each have and maintain a minimum of \$2000 to keep the account(s) active at Fidelity.

Note: Submit forms in a timely manner to ensure continuation of coverage. For assistance, contact your HR benefits representative.

Determine how to reuse or dispose of the employee's electronic files and communications.

Discuss with the employee:

- **Email:**
 - Which email messages should be transferred or deleted?
 - Is an email absence message required to:

- Indicate the employee has left the department?
- Redirect inquiries to the appropriate department contact?
- Is setting up temporary network access to obtain copies of personal communications necessary?
- **Voice mail:**
 - Reset password to the five-digit extension number.
 - Determine if a forwarding message is necessary.
- **Electronic files:**
 - Determine which files should be transferred or deleted.
 - Provide the employee with an alternate area to transfer necessary files.
 - Instruct the employee to delete files.
-

Terminate the employee's access to UC electronic resources.

After you have transferred or deleted the email and network files:

- Notify your department security administrator (DSA) (Link) to terminate access to any of the following:
 - Link family
 - PPS
 - Web IFIS
 - IFIS
 - ISIS
 - Data Warehouse
- Notify your department's network administrator to terminate the employee's computer login to:
 - Local servers
 - Department dial-in service
 - Email service
 - Other local network operations and charges

Terminate all other UCSD services.

Cancel or transfer access to the following, where applicable:

- Cell phone service (Link)
- Compass Card (transit pass) (Link)
- Department copy cards: Contact Admin Asst., Imprints Dept. (Phone #)
- UCSD Travel Card (Link)
- Express Card (Link)
- Telecom Services, including:
 - Authorization codes
 - Calling cards

- Pagers
- Radios
- Telephones (land lines)
- Voice mail
- Ship-to Codes (Link)
- Buyer code: Contact Procurement, (Phone #).
- Environment, Health & Safety privileges: Notify EH&S if the employee was authorized to work with regulated materials, including:
 - Biohazardous material
 - Radioactive material
 - Controlled substances
 - Lasers
 - Select Agents
 - Human gene transfer clinical trials

Make sure the employee returns any UC property.

- Verify that the employee returns these items:
 - Cell phones
 - Computers
 - Pagers
 - Radios
- Confirm receipt of:
 - Calling cards on all indexes
 - Copy cards
 - Diners Club card
 - Express Card
 - UCSD ID card
 - Keys or key cards
 - Parking garage access cards
- Check with your department's property administrator to ensure that the employee returned all UC equipment.

Update contact information.

p>Remove the employee's name from the following areas, where applicable:

- Emergency contact list
- Internal forms
- Office security codes, access codes on keypads
- Security alarm lists

- Web pages and directories
- Faculty/Staff Directory

Contacts

- Payroll questions, contact a payroll representative (Link).
- Benefits questions, contact your benefits representative (Link).
- Employee relations questions, contact your employee relations specialist (Link).
- Labor relations questions, contact Labor Relations, (Phone #).

Notice: The information on this page summarizes provisions of university policies and/or collective bargaining agreements. Refer to the Personnel Policies for Staff Members (PPSM) (Link) and local implementing procedures (Link) or applicable collective bargaining agreements (Link) for full text of referenced information.

APPENDIX B-2 – Example of Separation Checklist - UCD

UC Davis Separation Checklist

When an Employee Separates - Checklist

Supervisor Responsibilities

- Obtain keys (building, office, desk,) and building access cards.
- Obtain ID card and/or badge.
- Obtain UC property (laptops, cell phones, books, disks/manuals, etc).
- Obtain UC credit card, purchasing card, garage card, copy card, phone card, etc.
- Computer Access:
 - You and the separating employee share in the responsibility to identify and transfer any business related e-files, documents or emails to a folder that can be accessed by others after the employee has separated. Once an employee has separated from your department, access to their electronic documents by someone other than the separated employee requires authorization by the separating person through Campus Policy 310-24 ([Link](#)).
 - Advise your IT department of all changes to application access, unit folders, distribution lists and web changes, etc.
- Visit IET Computing Services ([Link](#)) for information and forms.
- Voicemail – insure that VM is reprogrammed and password changed to allow access by supervisor; employee provides supervisor with new password OR disconnect phone service through Communications Resources. To disconnect phone service visit Communication Resources service request forms ([Link](#)).
- Resignation, release, or termination letter received.
- Remind employee to contact Benefits so that retirement forms, COBRA forms, etc. are completed and signed.
- PPS separation entries completed.
- DaFIS and PPS routing changes made; insure pending activities have been completed.
- Memberships in committees and professional organizations canceled or transferred.
- Forwarding address obtained.
- Eligibility for reemployment explained.
- Departure is communicated to staff.
- If employee is a retiree with 10 or more years of service, contact Employee & Labor Relations (Phone #) to arrange for a University retirement gift.

Employee Responsibility

- ❑ As soon as you know that you are separating from your department, work closely with your supervisor and begin to sort through your business related e-files, documents or emails and ensure that they can be accessed by others after you are separated (as detailed above).

- ❑ Email account -- forwarding, deactivation

24-hours prior to separation date you must notify UC Davis Postmaster to stop forwarding your campus email account to your department, or to request mail transfer to another department.

If you are an Employee separating from campus but interested in retaining your campus email address, and are eligible, (a UC Davis graduate, retiree, etc.) you may wish to consider an optional and complimentary service that will forward your campus email to an external email address of your choice (e.g., user@yahoo.com). This forwarding service will apply only to new incoming email sent to your campus email address after you registered for the service.

Follow directions at UC Davis Email Forwarding Services ([Link](#)).

- ❑ Voicemail account

- a. Reprogram your voice mail with an extended absence greeting, redirecting callers to a main department number.
To record an extended absence greeting access the voicemail system (Phone #) press 4, 3, 2 and follow the prompts.
- b. Reprogram VM with a new password.
- c. Provide supervisor with new password.

APPENDIX B-3 – Example of Separation Checklists – UCSC – ITS

ITS SUPERVISOR OFF-BOARDING ACTION CHECKLIST

Employee Name: _____ Unit: _____ Separation Date: _____

Supervisor Name: _____

Instructions:

- 1 Review and complete the action items listed below. Initial, date, and return to Laurie Swan. Form must be completed and returned **WITHIN 10 WORKING BUSINESS DAYS**
- 2 Submit form to Laurie Swan Mailstop: ITS Delaware Fax: 459-3808 Scan PDF: lswan@ucsc.edu

AREA	YES	NO	N/A	INITIALS/DATE	IF NO, EXPLAIN:
Equipment and Security:					
1 Collect computer, laptop and any other university equipment and complete the security instructions below	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
2 Instruct employee to remove personal records from their University devices and accounts, and by when	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
3 Inform employee that their devices, files, accounts, etc. revert to the department/division after they leave	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
4 Have employee provide access to or transfer ownership of any University records to the department. This includes records stored on non-University devices, and deleting copies from those devices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
5 Ask employee whether there is any sensitive data on devices or in accounts that must be protected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
6 Using the ticket opened for account closures (see below), request that the employee's computer and laptop be secure wiped. Maintain custody of workstation and laptop or reassign as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
7 Confirm that the employee has turned over all digital certificates, key files, and passwords, including any Client Certificates (issued by InCommon or other Certificate Authority) that may be used for identity verification and/or "logging" purposes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
Keys and badges:					
1 Collect keys and return in person to Jackie Davis (at Communications Bldg, Rm. 47) if employee resides on campus and to Laurie Swan (at 2300 Delaware, 1st Floor, cube E1-06) if employee resides at 2300 Delaware	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
2 Collect Data Center badge, and return to Jackie Davis (at Communications Bldg, Rm. 47)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
3 Collect Kerr access badge and return to Charlotte Holmes via campus mail at mailstop: Chancellor's Office *Please note: a \$20 charge will be incurred if the employee's Kerr access badge is not returned.*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
Cell phone:					
1 Collect cell phone and submit a ticket via IT Request to close service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
2 Return phone to Core Technologies Work Order Desk via mail (mailstop: ITS) or in person at Comm Bldg, Rm. 50	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
Google Apps:					
1 Instruct employee to change ownership of all Google docs, sites, calendar meetings and groups. For more info, see http://its.ucsc.edu/google/offboarding.html	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
Accounts:					
1 Laurie Swan will submit a ticket to have basic accounts closed (Cruid, etc). The supervisor is assigned as the client and should indicate any other accounts that need to be closed, e.g. divisional accounts, accounts on UNIX servers, privileged/admin accounts, shared operational accounts, file systems, Active Directory, Business Systems (FIS, Data Warehouse, DivData and PPS)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
IT Request Tickets:					
1 Instruct employee to reassign all open tickets (Incidents, Changes, Tasks) assigned to them to other responsible employee(s) or to supervisor. If not done prior to separation, it is the supervisor's responsibility to reassign.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
2 Instruct employee to reassign a new author/owner for any KB (Knowledge Base) articles where they are author. If not done prior to separation, it is the supervisor's responsibility to reassign.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
ReadyTalk:					
1 Instruct employee to contact ReadyTalk Customer Service at support@readytalk.com to close his/her account.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
Subscriptions:					
1 Instruct employee to cancel all subscriptions that are delivered to him/her via campus mail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
Credit cards:					
1 Collect any outstanding pro card statements and receipts, approve, sign and send to mailstop: FAST	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
2 Collect pro card and return via campus mail to Laurie Swan at mailstop: ITS Delaware	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
3 Collect corporate travel card and shred. Contact Laurie Swan to have account closed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____
Direct reports:					
1 If employee has direct reports, notify Stephanie Sullivan, steph@ucsc.edu, at Staff HR of who will be approving their CruiPay time sheets going forward	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____