

UCSC BACKGROUND INVESTIGATIONS – CRITICAL FUNCTIONS GUIDE

Update in Progress

Critical Position Criteria	Examples		Recommended Background Investigations (Specific duties of the position should be used to determine appropriate level of investigation):
	Typical Functions or Tasks	Typical Positions	
Master Key access to residence and other facilities.	<ul style="list-style-type: none"> • Provide building security • Provide computer or telecommunications networking and/or repair services • Perform heat, air, other environmental tests • Maintain or clean University facilities 	<ul style="list-style-type: none"> • Resident Hall Advisors & Supervisors • Facilities personnel • Telecommunications/Engineering/Building Services Technicians • Custodians/Building Maintenance Workers • Plumbers, Electricians, & HVAC Mechanics 	<ul style="list-style-type: none"> • Criminal Conviction Record
Direct responsibility for the care, safety and security of human life.	<ul style="list-style-type: none"> • Provide psychological counseling or advising • Work directly with K-12 school age children. • Provide campus security services • Provide medical treatment and/or dispensing of pharmaceuticals • Provide transportation services • Use pesticides or other hazardous select agents 	<ul style="list-style-type: none"> • Counseling Services Managers and Officers • Student Affairs Officers • College Administrative Officers • Outreach Coordinators • Childcare Services Supervisors and Staff • Environmental Health & Safety Managers and Technicians • Medical Services Managers, Therapists, Technicians • All University Police Department employees including Dispatchers • Fire Chief, Captains, and Firefighters • Proctors • Lifeguards & Diving Safety Officers • Recreation Program Instructors • Laboratory Managers & Assistants 	<ul style="list-style-type: none"> • Criminal Conviction Record • Verification of required license, certificate or degree • Drug Tests as required by law¹ • Health Screening (e.g., TB test)

¹ Limited to those positions requiring a commercial class A or B driver’s license.

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	Typical Functions or Tasks	Typical Positions	
Direct responsibility for the safety and security of University property	<ul style="list-style-type: none"> • Custodianship responsibilities for supplies, stock, and/or inventory with a value routinely exceeding \$1,500 • Routinely authorizes, initiates or approves transfer of funds or expenditures in excess of \$1500/per week • Routinely authorizes, initiates or approves disbursements of University assets (i.e. cash) or adjustments to University Receivable accounts. • Access to or oversight for restricted or essential electronic information resources, as defined by Business & Finance Bulletin IS-3 (e.g., AIS, FIS, PPS)² • Access to personal identify information (PII) • Access to or oversight for rare book and art collections 	<ul style="list-style-type: none"> • Sr. Management Group Employees • Media Services Managers & Technicians • Building Maintenance Workers • All Bookstore Staff • Stockroom Clerks and Storekeepers • Computer programmers, operators & repair technicians • Payroll Accountants & Processors • Purchasing & Financial Assistants • Buyers 	<ul style="list-style-type: none"> • Criminal Conviction Record

² **Restricted Electronic Information Resources contain data that is considered sensitive to some degree. The data is divided into two subcategories: Personal and Limited. Personal data refers to any information that identifies or describes an individual, including but not limited to, his or her name, social security number, medical history, and financial matters (e.g., bank or credit card account information). Limited refers to data whose unauthorized access, modification or loss could seriously or adversely affect the University (e.g., cause financial loss or loss of confidence or public standing in the community).**

Electronic Information Resources should be classified as Essential if its failure to function correctly and on schedule could result in a major failure by a campus to perform mission-critical business functions, a significant loss of funds to a campus, or a significant liability or other legal exposure to a campus.

Background checks are also required for non-University contractors or consultants engaged to work on Restricted or Essential Electronic Information Resources.

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	Typical Functions or Tasks	Typical Positions	
<p>Direct access to or responsibility for cash or cash equivalents (as defined by Business & Finance Bulletin, BUS-49) in excess of \$500 per week or more than \$1500 per week during peak periods.</p>	<ul style="list-style-type: none"> • Check writing abilities • Responsible for petty cash reimbursement • Perform cashiering duties • Routinely authorizes, initiates or approves transfer of funds or expenditures in excess of \$1500 per week • Uses a postage meter • Distribute employee salary or reimbursement checks • Direct access to or responsibility for credit card information of students, faculty, staff, customers or donors • Utilizes a University Pro Card to purchase services & supplies and is authorized to make purchases >\$2,500 • Routinely handles or has access to disbursements (checks) totaling \$500 or more per day • FIS input authority • PPS input authority 	<ul style="list-style-type: none"> • Payroll Assistants • Financial Accountants & Coordinators • Business Managers • Cashier Office Managers, Supervising Cashiers & Cashiers • Mail Service Supervisors & Clerks • Development (Gifts) Technicians • Financial Aid & Student Business Services staff involved in the disbursement process 	<ul style="list-style-type: none"> • Criminal Conviction Record
<p>Direct access to or responsibility for controlled substances.</p>	<ul style="list-style-type: none"> • Dispensing of pharmaceuticals • Perform laboratory research requiring use of controlled substances • Access to or use of select agents or other potentially hazardous materials 	<ul style="list-style-type: none"> • Medical Doctors • Nurses & Physicians Assistants • Pharmacists • Dentists • Staff Research Associates • Laboratory Assistants 	<ul style="list-style-type: none"> • Criminal Conviction Record • Verification of required license, certificate or degree

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	Typical Functions or Tasks	Typical Positions	
Extensive authority for committing the financial resources of the University.	<ul style="list-style-type: none"> • Bid/RFP approvals • Vendor or product approval • Commit funds for programs or projects • Approve insurance payments • Approve contracts • Write and issue University checks 	<ul style="list-style-type: none"> • All Senior Management Group Employees • Directors/Managers of Purchasing, Computing, Business & Contracts • Engineering Managers • Construction Project Managers • Buyers 	<ul style="list-style-type: none"> • Criminal Conviction Record
Responsibility for operating vehicles, machinery, or toxic systems that could cause accidental death, injury or health problems.	<ul style="list-style-type: none"> • Transport individuals both on and off-campus • Perform hazardous waste disposal 	<ul style="list-style-type: none"> • Automotive Equipment Operators (e.g. Shuttle Bus Drivers) • Environmental Health & Safety Technicians • Staff Research Associates • Laboratory Managers & Assistants • Recreational Program Instructors • Boat Operators & Diving Instructors 	<ul style="list-style-type: none"> • Criminal Conviction Record • Verification of required license, certificate or degree • Review of DMV records and/or participation in the DMV Pull Notice Program • Drug Tests as required by law³
Direct access to and/or responsibility for information affecting national security.	<ul style="list-style-type: none"> • Defined by agency granting clearance 	<ul style="list-style-type: none"> • DOE Lab Positions • UC staff whose positions require a government security clearance 	<ul style="list-style-type: none"> • Government Security Clearance

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	Typical Functions or Tasks	Typical Positions	
A requirement for a professional license, certificate or degree, the absence of which would expose the University to legal liability.	<ul style="list-style-type: none"> • Handle real estate sales or lease transactions on behalf of UC • Design or build facilities and offices • Responsible for patent licensing • Counsel Employees and/or students • Provide medical treatment and/or administer medications 	<ul style="list-style-type: none"> • Engineers • Architects • Vocational Rehabilitation Counselors • Employee Assistance Counselors • Doctors/Dentists/Pharmacists • Attorneys & CPAs • Nurses & Physicians Assistants 	<ul style="list-style-type: none"> • Verification of required license, certificate or degree