Agenda

• Driver Safety Program Updates
• Audit and Advisory Services Update
  • Status of Audits
• Policy and Compliance Update
  • Public Records Act & Subpoena Response Process
  • Electronic Signatures – ICSUAM 8100
  • Revised CANRA
• ERM Update
  • Minors on Campus
  • Business Continuity Work Group Update
  • Annual Campus-wide Risk Assessment
  • Drones on Campus
• Time, Place & Manner Executive Directive Timeline & Upcoming Trainings
• Great Shakeout – October 19th @ 10:19
Driver Safety Program

EHS is formalizing the Driver Safety Program with written FAQ’s, policies and procedures.

Questions include:

I am coming from another CSU campus or state agency. Can my DGS-Defensive Driver Training transfer to SF State?

Yes, your DGS-training can transfer from another CSU campus or state agency. Please provide a copy of your certificate and complete the required SF State DSP forms.

Can I participate in the Driver Safety Program if I am a volunteer?

Yes, the process would be the same as for an employee; however ensure the Human Resources department has approved your appointment as a volunteer.

Are volunteers allowed to drive University vehicles?

Yes, volunteers appointed by Human Resources are permitted to drive University vehicles.
I don’t have a personal vehicle and I am only enrolling in the DSP in order to be reimbursed for a rental car I am driving for University business. Do I need to purchase the additional insurance that the rental company offers? What forms should I complete?

No. You do not need to purchase the additional insurance the rental company offers as long as you rent from Enterprise or National and you use the State Master Agreement. Instructions for renting vehicles through Enterprise and National are on the Fiscal Affairs website. If you are only enrolling in the DSP to be reimbursed for your rental car you need only complete the DSP enrollment and DMV pull notice forms.

Can I be held personally liable for misusing University vehicles?

Yes. Employees misusing University vehicles may be held personally liable for damages to persons or property and the legal expenses of defense. Employees who misuse University vehicles may also be subject to disciplinary action by the University.

Next steps:
Meet and Confer with Unions
Publish

Coming soon...Written policy for University vehicles
International Activities Audit
Chancellor’s Office Audit & Advisory

• **Audit Scope:** Focus on the administration and operational controls of campus international activities.
  - Outgoing - Exchange/Study Abroad Programs
  - Incoming – International Students
  - International Agreements, including recruiters
  - International Faculty Hires
  - Executive Order 1080 and 1081

• **Fieldwork:** May 1 – June 16, 2017 (approximately 4 weeks)

• **Departments:** OIP, CEL, ERM, Faculty Affairs
• **Audit Observations:**
  - Processes for the development and administrative of international exchange programs needed improvement.
  - Campus procedures regarding the approval of international student recruiters needed improvement.
  - The campus did not have documented policies and procedures to address processes involved with the hiring of international faculty.
• **Audit Scope:** Ascertain the effectiveness of college and academic department administrative and financial controls.
  
  - Cash and Accounts Receivable
  - Contracts and agreements
  - Expenditures
  - Sensitive Equipment
  - ICSUAM financial policies

• **Fieldwork:** Sept. 11 – Oct. 12, 2017 (approximately 4 weeks)

• **Departments:** Chemistry (COSE) and Cinema (LCA)
• Preliminary Audit Observations:
  ❖ No formal training over fiscal policies/processes for incoming new College Deans and Department Chairs.
  ❖ Contracts were not always in place for third party billing or properly executed and the delegation of authorities for contractual agreements were not always obtained.
  ❖ Inventory counts were not always timely reconciled by the colleges.
  ❖ The expenditure and direct payment process needed improvement.
Decentralized Computing
Chancellor’s Office Audit & Advisory

• **Audit Scope:** Ascertain the effectiveness of decentralized or autonomous IT units.
  - Campus units outside ITS and Academic Technology
  - Network
  - Application Access
  - Servers
  - System Development
  - Disaster Recovery

• **Fieldwork:** Nov. 13 – Dec. 4, 2017 (approximately 3 weeks)

• **Departments:** TBD
Mashouf Wellness Center
R.L. Townsend and Associates, LLC

• Audit Scope: Determine that SF State is being billed in accordance with the terms of the contract.
  ❖ General Conditions
  ❖ Subcontracts
  ❖ Payment Applications
  ❖ Use of Contingency Funds and Owner Changes
  ❖ Final Cost Reconciliation

• Fieldwork: July 2016 to December 2017 (projected)

• Departments: PPD, CW Driver
Hate Crime Laws
California State Auditor

• **Audit Scope:** The audit by the California State Auditor will provide independently developed and verified information related to the State’s progress in implementing hate crime laws.
  - Properly identified the incidents as hate crimes and classified and reported those crimes accordingly.
  - Reported to Dept. of Justice accurately, complete and timely.
  - Review of campus policies and procedures related to disseminating information on hate crimes.

• **Timeline:** Sept. 13 entrance; Published report May 2018

• **Departments:** UPD
Policy and Compliance Update
California Public Records Act

• As a public agency in the state of California, SF State is required to comply with the CPRA.

• The purpose of the CPRA is to give the public an opportunity to monitor the functioning of their government.

• University business is a matter of public record.

  ❖ “the Legislature, mindful of the right of individuals to privacy, finds and declares that access to information concerning the conduct of the people’s business is a fundamental and necessary right of every person in this state.” Govt. Code, § 6250.

• Any member of the public can request to view or receive copies of records, including employee emails.
Policy and Compliance Update
California Public Records Act

• What is a public record?
  ❖ “any writing containing information relating to the conduct of the public’s business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.” Govt. Code, § 6252.

• Who may make a CPRA request?
  ❖ Any member of the public, whether an individual or a business entity, may make a request for public records. The person making the request need not be a resident of California or a citizen of the United States.
Policy and Compliance Update
California Public Records Act

• Are there any exemptions that apply?
  ◆ Privacy concerns
  ◆ Deliberative process
  ◆ Preliminary drafts and notes
  ◆ Investigative records
  ◆ Attorney-client privilege
  ◆ Pending litigation
  ◆ Where the public’s interest in nondisclosure clearly outweighs the public’s interest in disclosure
Policy and Compliance Update
University Response to Records Requests

California Public Records Act

• Request received and routed to the Compliance and Policy Coordinator
• Legal Requirements:
  ❖ 10-day initial response time with determination of whether responsive records exist and cites any exemptions claimed
  ❖ Responsive records must be provided within a reasonable amount of time
• Record gathering and review in coordination with University Counsel
• Record production

Subpoenas

• Request received and routed to the Compliance and Policy Coordinator
• Review by University Counsel for validity
• Legal Requirement: respond by the date indicated on the subpoena
• Record gathering and review in coordination with University Counsel
• Record production
Policy and Compliance Update
ICSUAM 8100.00 – Electronic and Digital Signatures

• Per ICSUAM 8100.00, campuses must develop procedures to evaluate and document the appropriateness of using digital and electronic signatures, which must be approved by the CFO/Vice President for Administration & Finance.

• The Risk Manager and Information Security Office conduct a risk assessment that takes into account both the risk impact and the likelihood of the risk occurring:
  
  ❖ First, the identity authentication level is determined:
    • Level 1: Little or no confidence in the asserted identity’s validity
    • Level 2: Some confidence in the asserted identity’s validity
    • Level 3: High confidence in the asserted identity’s validity
    • Level 4: Very high confidence in the asserted identity’s validity

• Then, the potential impact categories are assessed:

<table>
<thead>
<tr>
<th>Impact Category</th>
<th>Risk (L/M/H)</th>
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</thead>
<tbody>
<tr>
<td>Inconvenience, distress, or damage to standing or reputation</td>
<td></td>
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<tr>
<td>Financial loss or agency liability</td>
<td></td>
</tr>
<tr>
<td>Harm to agency programs or public interests</td>
<td></td>
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<tr>
<td>Unauthorized release of sensitive information</td>
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<tr>
<td>Personal safety</td>
<td></td>
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<td>Civil or criminal violations</td>
<td></td>
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• Based on the highest impact category rating, a methodology will be selected:
  
  ❖ High = digital signature
  ❖ Moderate = electronic approval
  ❖ Low = electronic acknowledgement
Revised CANRA
Child Abuse and Neglect Reporting Act

What’s Changed?

• 3-tiered reporter designation matrix

• HR is required to notify every employee of their reporter status

• Mandatory reporters must sign a **new** Acknowledgement Form

• Job announcements must have prescribed language for mandatory reporter jobs

  • New hires/volunteers must sign Acknowledgement Forms at start date as a condition of appointment.
Revised CANRA
Child Abuse and Neglect Reporting Act

Implementation Time Line

• 21 July – Revised Executive Order 1083 issued (31 October deadline)

• MPP positional review begun

• 14 August – Full time special consultant hired for project
  • Requirements review, faculty/staff review, drafting communications, outreach

• 15 September – MPP pilot group notifications sent

• 2 October – non-MPP notifications sent to designated reporters

• 9 October – non-MPP notifications sent to non-reporters
Revised CANRA
Child Abuse and Neglect Reporting Act

Where Are We Now?

• Receiving and recording Acknowledge Forms (2,688)
  • Return rates to date are 30% for MPP and 8% non-MPP

• Deadline extension to 18 January

• Drafting CANRA procedures (manual) – target completion 30 November

• Sending follow-ups to non-responders and new hires

• Working with individuals, departments, and HR Liaisons on clarifications
Revised CANRA
Child Abuse and Neglect Reporting Act

What Can You Do To Help?

- Send in your Form (all MPP’s are mandatory reporters)
- Read through the Executive Order and the training materials
- Follow up to help ensure Acknowledgement Forms are submitted
- Contact Karl Sparks to provide feedback or discuss issues (8-2628 or ksparks@sfsu.edu)
Minors on Campus

• Draft Policy currently being revised to reflect recent EO 1083 updates

• Seeking volunteers to serve on the Policy Work Group

• Draft Policy Objectives:
  • Identification of all programs involving minors on campus
  • Provide minimum requirements around preventing abuse of minors for all programs on campus
  • Designation of responsible unit to provide guidance and resources to programs that need them
  • Allow for metrics reporting that can feed into campus wide initiatives like the Emergency Operations Center
Business Continuity Update

- Work Group Status Update:
  - Represented Units:
    - Advancement
    - Compliance and Policy
    - Information Technology Services
    - Enterprise Risk Management
    - University Police Department
    - Human Resources
    - Environment, Health & Safety
    - University Corporation
    - Associated Students

- 3 Meetings to Date
  - Mostly educational
  - Have identified campus wide critical functions

- Missing Units:
  - Faculty Members
  - Academic Resources
  - Student Health Services
  - Housing, Dining and Conference Services
  - Facilities

- Next Steps
## Annual Campus-Wide Risk Assessment

### Department interviews
- Scheduled from November 1 through December 15 with designated management
- Data Compilation
- Final Campus-wide Risk Registry by January 15, 2018

### Risk Assessment

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### Executive Summary
- **Key Findings**
  - Recommended actions for mitigation.
  - Action plans developed for each identified risk.

### Action Plan
- **Phase 1 (November 1 - December 15)**
  - Department interviews
  - Data compilation
- **Phase 2 (January 15, 2018)**
  - Final Campus-wide Risk Registry

### Timeline
- **November 1, 2017**: Department interviews begin.
- **December 15, 2017**: Data compilation report due.
- **January 15, 2018**: Final Campus-wide Risk Registry available.

### Recommended Actions
- Develop and implement emergency response plans.
- Enhance equipment safety protocols.
- Increase financial oversight and controls.
- Address concerns raised during department interviews.

### Next Steps
- Ongoing monitoring and review of risk management strategies.
- Regular updates to the Campus-wide Risk Registry.

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*Note: The above information is a placeholder for an actual risk assessment report. The specific details and figures may vary based on the actual content of the report.*
Annual Campus-Wide Risk Assessment

Tentative List of Interviewees

- President
  - Athletics
- Student Affairs & Enrollment Management
  - Dean of Students
  - Student Affairs
  - International Education
  - Equity & Community Inclusion
  - Campus Safety
- Academic Affairs
  - Operations
  - Resources
  - Faculty Affairs
  - Office of Research & Sponsored Programs
  - Library
  - Graduate Studies
  - Undergraduate Studies
- Advancement
  - Advancement Services
  - Alumni Relations
  - University Communications
  - University Development
  - Government and Community Relations
  - Special Events
- Administration & Finance
  - Audit
  - Budget
  - Business Operations
  - Fiscal Affairs
  - Human Resources
  - Information Technology Services
  - Facilities
  - Housing, Dining & Conference Services
- University Enterprises
  - Capital Planning, Design, Construction
  - Real Estate Development & Property Management
- University Counsel
- Auxiliary Organizations
  - Associated Students
  - University Corporation
- Remote Campuses
  - Romberg Tiburon Center
  - Downtown Campus
Drones on Campus

The University has appointed a committee to develop a formal policy on operating unmanned aircraft systems (UAS), or drones. Until the Campus policy is finalized and approved by the President, the launching, operating or landing of UAS on University property is strictly prohibited.

_Singer v. Town of Newton, Massachusetts_

Airspace is regulated by Federal Law. No entity other than the FAA can regulate use of airspace.

Any drone use requires approval from the SF State Drone Committee
All proposals must be submitted to Michael Scott, AVP, ORSP
Generally, 10 business days are required for approval.

FYI – Common Violations to Drone Regulations

Operation over human beings (14 CFR 107.39)
• No person may operate an SUAS over a human being unless the person is:
  • Directly participating in the operation
  • Located under a covered structure or inside a stationary vehicle that can provide reasonable protection from a falling SUAS

Note: PPE and prior notice does not absolve your operator’s responsibility to comply with 14 CFR 107.19 (c) or 14 CFR 107.39.
• Draft policy finalized

• Continued discussions with bargaining units

• Expected to be presented to President and his cabinet for adoption prior to year’s end

• Extensive outreach to campus community to be scheduled for Spring 2018
Great Shakeout

What: World’s Largest Earthquake Drill
Join UPD, EHS, and ERM for free coffee and learn how to prepare a personal emergency kit & what to do in an earthquake

When: Thursday, October 19, 2017

Where: Library: Outside Main Entrance