



Michael V. Drake, MD
President

May 4, 2023

Office of the President
1111 Franklin St.
Oakland, CA 94607

universityofcalifornia.edu

CHANCELLORS
LABORATORY DIRECTOR WITHERELL
VICE PRESIDENT— AGRICULTURE AND NATURAL RESOURCES HUMISTON

Dear Colleagues:

As all of you are aware, there have been several Universitywide training programs prepared over the years that are mandatory for all employees, either online or in person. These mandatory training programs have been implemented as a matter of policy or because of legal or regulatory mandates the training be provided, as is the case for the sexual harassment training for supervisors and faculty. Further, these trainings serve the important mission of educating members of the University of California community about their obligations related to compliance with laws, policies, and the UC Code of Ethical Conduct.

Questions have arisen about whether the training programs are mandatory, and, if so, how the training requirements can be enforced. I want to reaffirm the training programs identified in the table below are mandatory for all employees. The current mandated trainings for all employees, the audience for each, and the frequency with which they are required to be taken are as follows:

Training Program	Required Audience	Frequency
UC Preventing Harassment and Discrimination	Supervisors, Faculty, MSP	Upon hire or promotion to supervisory, faculty, MSP role; biennially thereafter
Sexual Violence and Sexual Harassment	All employees except Supervisors, Faculty, MSP	Upon hire; biennially thereafter
Cybersecurity	All employees	Upon hire; annually thereafter
General Compliance Briefing	All employees except researchers	Upon hire; biennially thereafter
UC Ethics and Compliance Briefing for Researchers	Researchers	Upon designation as Researcher; biennially thereafter

There may be different mandatory trainings assigned to all employees in the future.

Campus leadership is responsible for ensuring that all required training is taken and completed by the appropriate groups and medical center employees. The heads of Lawrence Berkeley National Laboratory, the Division of Agriculture and Natural Resources, and others managing the Office of the President are similarly responsible for employees under their jurisdiction.

CAMPUSES

- Berkeley
- Davis
- Irvine
- UCLA
- Merced
- Riverside
- San Diego
- San Francisco
- Santa Barbara
- Santa Cruz

MEDICAL CENTERS

- Davis
- Irvine
- UCLA
- San Diego
- San Francisco

NATIONAL LABORATORIES

- Lawrence Berkeley
- Lawrence Livermore
- Los Alamos

DIVISION OF AGRICULTURE AND NATURAL RESOURCES

In terms of enforcement, different approaches may be taken depending on circumstances. For example, a failure or refusal to take mandated training is a basis for discipline. In lieu of discipline, administrative actions may be pursued in appropriate cases. For instance, after notice, warnings, and informal efforts to obtain compliance are exhausted, you may consider the following options:

- Reporting the names of non-compliant employees to Chancellors, Executive Vice Chancellors, and/or the Board of Regents, depending on the position held by the individual deemed non-compliant. Non-compliant employees may be asked to explain the reasons for their non-compliance to these officials.
- Delaying implementation of merit increases or promotions, without changing the effective date (i.e., once training is complete, the merit or promotion would be retroactive).
- Removal of supervisory responsibilities. If this option is chosen, care should be taken to minimize, and avoid, if possible, any adverse impact on graduate students and post-doctoral fellows.

While different approaches may be adopted, the goal is the same — ensuring that all mandatory training is taken in a timely manner by the appropriate University employees. I know that you share my commitment to this goal, and I appreciate your help in achieving it.

Sincerely,

A handwritten signature in black ink that reads "Michael V. Drake" followed by a stylized flourish.

Michael V. Drake, MD
President



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December 21, 2016

**CHANCELLORS
LABORATORY DIRECTOR WITHERELL
VICE PRESIDENT--AGRICULTURE AND NATURAL RESOURCES HUMISTON**

Dear Colleagues:

As all of you are aware, there have been a number of Universitywide online training programs prepared over the last several years. These have been made available throughout the system, and directed to specified groups of employees, either online or in person. These training programs have been implemented either as a matter of policy or because State law mandates that the training be provided, as is the case for sexual harassment training for managers and supervisors. Questions have arisen on some campuses about whether the training programs are mandatory, and, if so, how the training requirement can be enforced. I want to reaffirm that the training programs identified below are mandatory for the relevant groups of employees. The current mandated trainings, and the employees for whom these trainings are mandatory, are as follows:

1. Sexual Harassment Prevention Training (SHPT) for managers and supervisors, which includes all faculty;
2. Sexual Harassment Prevention Training (SHPT) for all non-supervisory staff;
3. Compliance Briefing: UC Ethical Values and Conduct and Conflict of Interest for Researchers (COIR) for all University researchers;
4. Compliance Briefing: UC Ethical Values and Conduct for all other UC employees;
5. Conflict of Interest for Form 700 Filers; and
6. Cyber Security Awareness training for all UC faculty and staff.

There may be additional or different mandated programs in the future. Campus leadership is responsible for ensuring that all required training is taken and completed by the appropriate groups at each UC location including the Lawrence Berkeley National Laboratory, Agriculture and Natural Resources, and the UC Office of the President.

While good progress has been made, we still have work to do and it is important that we continue to strive for full compliance with mandatory training. To this end, the following measures will be implemented at all locations:

- Managers will be required to make the UC cybersecurity training course an annual goal for policy-covered staff who access UC computers or systems. Compliance will be reflected in the written performance review as “met/not met,” and noncompliance will impact an individual’s merit award.
- Deans and department chairs will strongly promote faculty compliance with the mandatory training and we will consult with the Academic Senate on corresponding steps to address individual instances of continued noncompliance.

We will continue to explore additional measures to help enforce the need for staff and faculty to complete the cybersecurity training, such as suspending network and system access for any employees who have not completed the training. Please note that if any staff or faculty with disabilities encounter difficulties fulfilling this training requirement, accommodations should be made to facilitate access and completion, including providing additional time to complete the training if necessary.

While different approaches may be adopted, the goal is the same--ensuring that all mandatory training is taken in a timely fashion by the appropriate University employees. I know that you share my commitment to this goal and I appreciate your help in achieving it.

Yours very truly,



Janet Napolitano
President

cc: Division Leaders
Academic Council Chair Chalfant