

**Appendix I  
UCLA Guide to Critical Functions and Background Checks**

<b>Critical Function</b>	<b>Required Background Check</b>	<b>Examples of Critical Positions<sup>1</sup></b>	<b>Examples of Critical Tasks</b>
Access to buildings or residences with master keys	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> </ul>	<ul style="list-style-type: none"> <li>• Facilities/maintenance personnel</li> <li>• Telecommunications field personnel</li> <li>• Building engineers</li> <li>• Locksmiths</li> <li>• Superintendents</li> <li>• Craft workers</li> <li>• Protective services</li> <li>• Network/IT personnel</li> <li>• Custodians</li> </ul>	<ul style="list-style-type: none"> <li>• Building security</li> <li>• Access to residences or other facilities for maintenance, installation of equipment, cleaning, or repair</li> </ul>
Direct responsibility for the care, safety and security of humans; or the safety and security of personal or University property	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> </ul>	<ul style="list-style-type: none"> <li>• Nurses</li> <li>• Physicians</li> <li>• Childcare services personnel</li> <li>• Pharmacists</li> <li>• Protective services</li> <li>• Emergency personnel</li> <li>• Residence halls managers</li> <li>• Student counselors</li> <li>• Recreation staff</li> <li>• Camp counselors</li> <li>• Environment, Health &amp; Safety technicians</li> </ul>	<ul style="list-style-type: none"> <li>• Care, custody or training of minors</li> <li>• Interaction with faculty, staff, students, the members of the public in areas such as counseling, tutoring, teaching, health care, coaching, safety, housing, protective services</li> <li>• Building security</li> <li>• Responsibility for or access to computer, laboratory, or other valuable equipment</li> <li>• Responsibility for laboratory animals</li> </ul>
Direct access to, or responsibility for handling cash, checks, credit/debit cards, or cash equivalents as defined in UC BUS 49, University property, disbursements or receipts	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> </ul>	<ul style="list-style-type: none"> <li>• Cashiers</li> <li>• Business officers</li> <li>• Storekeepers</li> <li>• Parking attendants</li> </ul>	<ul style="list-style-type: none"> <li>• Cashiering</li> <li>• Check writing</li> <li>• Petty cash</li> <li>• Invoice approval and payment</li> </ul>

<sup>1</sup> This list shows examples of positions that frequently include elements which would qualify them as critical positions. The list of positions is illustrative and is not exhaustive. Critical positions include staff employees in any appointment type (e.g. career, limited, contract, casual-restricted) where the position meets the criteria for designation as a critical position.

Critical Function	Required Background Check	Examples of Critical Positions <sup>1</sup>	Examples of Critical Tasks
		<ul style="list-style-type: none"> <li>• Mail services</li> <li>• Document Services</li> <li>• Accounts receivable/payable personnel</li> <li>• Collections personnel</li> <li>• Accounting personnel</li> </ul>	<ul style="list-style-type: none"> <li>• Check printing or delivery</li> <li>• Receipt of donations</li> <li>• Expense reimbursements</li> </ul>
Direct access to, or responsibility for, controlled or hazardous substances	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> <li>• Drug testing as required by law</li> </ul>	<ul style="list-style-type: none"> <li>• Pharmaceutical services</li> <li>• Nurses</li> <li>• Physicians</li> <li>• Staff research associates</li> <li>• Dentists</li> <li>• Storekeepers</li> <li>• Laboratory assistants</li> </ul>	<ul style="list-style-type: none"> <li>• Access to drugs in clinical or research environments</li> <li>• Access to hazardous chemicals</li> </ul>
Direct access to laboratory materials and other property that have the potential of being diverted from their proper use either for financial gain or for harmful, dangerous, or illegal purposes	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> </ul>	<ul style="list-style-type: none"> <li>• Researchers</li> <li>• Laboratory personnel</li> <li>• Storekeepers</li> </ul>	<ul style="list-style-type: none"> <li>• Purchasing lab supplies and materials</li> <li>• Shipping and receiving</li> <li>• Storekeeping</li> <li>• Lab assistance</li> </ul>
Decision-making authority for committing University funds or financial resources through contracts or commitments at levels that exceed the Low Value Order (LVO)	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> </ul>	<ul style="list-style-type: none"> <li>• Senior management (as appropriate)</li> <li>• Controllers</li> <li>• Directors/managers of Purchasing, Computing, Contracts</li> <li>• Engineering managers/engineers</li> <li>• Architectural managers/architects</li> <li>• Buyers</li> <li>• Risk managers</li> <li>• P-Card holders with exceptional spending limits</li> </ul>	<ul style="list-style-type: none"> <li>• Bid/RFP approvals</li> <li>• Vendor or product approval</li> <li>• Approval of insurance payments</li> <li>• Approval of contracts</li> </ul>

<b>Critical Function</b>	<b>Required Background Check</b>	<b>Examples of Critical Positions<sup>1</sup></b>	<b>Examples of Critical Tasks</b>
Access to “personal restricted” data, as defined in UC Business and Finance Bulletin IS-3	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> </ul>	<ul style="list-style-type: none"> <li>• Payroll/personnel staff</li> <li>• Collections staff</li> <li>• Development officers</li> <li>• Auditors</li> <li>• Student advisors</li> <li>• Registrars</li> <li>• Patient intake and billing staff</li> <li>• Programmers</li> </ul>	<ul style="list-style-type: none"> <li>• Access to EDB or other personnel system</li> <li>• Access to payroll system</li> <li>• Access to patient records</li> <li>• Access to student records</li> <li>• Access to donor information</li> <li>• Access to individual credit card information</li> </ul>
Responsibility for or access to “essential Electronic Information Resources” as defined in UC BFB IS-3, which include data, systems or networks whose unauthorized access, modification or loss could adversely affect the University	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> </ul>	<ul style="list-style-type: none"> <li>• Programmers</li> <li>• Network staff</li> <li>• Business managers</li> <li>• Department security administrators</li> </ul>	<ul style="list-style-type: none"> <li>• Application development and maintenance</li> <li>• Network maintenance</li> <li>• Systems development and maintenance</li> </ul>
Regular operation of University-owned vehicles, machinery or other equipment that could cause accidental death, injury or illness	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> <li>• Review of driver’s license and, if applicable, special certificates</li> <li>• Review of DMV records and participation in DMV “Pull Notice System”</li> <li>• Drug testing as required by law</li> </ul>	<ul style="list-style-type: none"> <li>• Transit drivers</li> <li>• Automotive technicians</li> <li>• Delivery staff</li> <li>• Catering staff</li> <li>• Mail and messenger drivers</li> <li>• Equipment operators</li> <li>• Environment, Health &amp; Safety officers</li> </ul>	<ul style="list-style-type: none"> <li>• Operation of vehicles (e.g. transit buses, fleet cars, departmental vehicles, catering trucks)</li> <li>• Operation of heavy equipment or machinery</li> <li>• Response to emergencies involving potential hazardous substances</li> </ul>
Requirement for a professional license, certificate or degree, the absence of which would expose the University to legal liability and/or adverse public reaction	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> <li>• Verification of degree, license, or certificate required for the position</li> </ul>	<ul style="list-style-type: none"> <li>• Counselors</li> <li>• Attorneys</li> <li>• Dentists</li> <li>• Nurses</li> <li>• Physicians</li> <li>• Architects</li> <li>• Engineers</li> <li>• Licensing associates</li> </ul>	<ul style="list-style-type: none"> <li>• Rendering of medical services</li> <li>• Counseling of employees or students</li> <li>• Design or building of facilities</li> <li>• Patent licensing</li> <li>• Legal advice</li> <li>• Real estate transactions</li> </ul>
Direct access to, or responsibility for, information affecting national security	<ul style="list-style-type: none"> <li>• Criminal conviction record</li> <li>• Government security clearance</li> </ul>	<ul style="list-style-type: none"> <li>• UC staff whose position requires a government security clearance</li> </ul>	<ul style="list-style-type: none"> <li>• Defined by agency requiring clearance</li> </ul>