Food, Entertainment, and Authority:
Policy and Procedure Training

January 2024

UC SANTA CRUZ | Division of
Student Affairs and Success

Training Topics

- **The Purpose of This Training**

- **Overview of Forms & Documents**

- **Our Culture of Stewardship**

- **Organizing an Event:**
  - Understanding the workflow & process behind events.
  - Utilizing forms & documents.

The Purpose

Standardized policies and processes for Food & Entertainment Events across our Division exist to help every team member serve our students as best possible. These "standard" practices only work if we all understand and interpret them the same.

- Provide easy access to policies, processes, documents, and training resources.

- Empower staff to make a positive impact in the lives of our students and UC community.

- Create consistency in "how" we operate.

Overview of Forms

- Duty to Fiscal Prudence & Stewardship

- Policies & Processes
    - Definitions of Events
    - EEC Limits & Delegated Authorities
    - EOA Limits & Delegated Authorities

- Reference Forms
    - Ent Ref 1.1 (Summary of Forms & EEC Approvals)
    - Ent Ref 1.3.2 Process (Used with DocuSign)
    - Ent Ref 1.5 (Retirement & Farewell Events)

Culture of Stewardship

Link to Form: Duty to Fiscal Prudence Code & Resources.pdf

The *Duty to Fiscal Prudence and Stewardship* document is a "financial code of ethics" providing high-level guidance into fiscal management and the resources available to staff.

Stewardship is an activity. Managing our financial resources with a set of best practices.
Prudency is a skill –having discernment or "good" judgement.
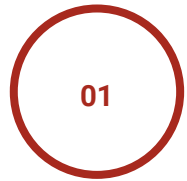
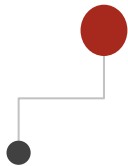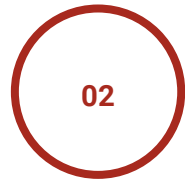| Best Practices	"Convenience"
Care	This is a word that appears in University policy several times, usually related to perks and benefits. Items of "convenience" are provided to staff when it benefits students and the mission of the University.
Planning	
Transparency	
Honesty	
Accountability	
Responsibility	

Organizing an Event

01	02	03	04	05	06
Organization	**Internal Review**	Order Approval	Expense Certification	**The Event**	**Expense Submission**
Event is "created" by an Organizer	Review by Analyst or Admin	DocuSign Review by the EOA	DocuSign Review by the EEC	Yay!	Submit Actual Event Details

Criteria:
Event Name
Items Served
People Invited
Agenda
Price
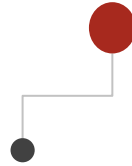
Goal:
Compliance w/ Policies
Define the Event Type
Pick a Vendor
Gather Documents
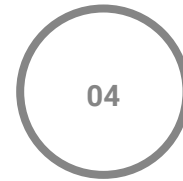Submit via DocuSign
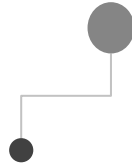
EOA:
The EOA will typically be your Analyst but, depending on the size of an event, may be someone else.
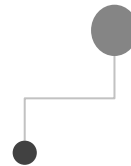
EEC:
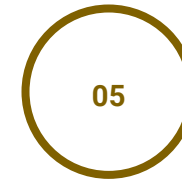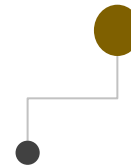The EEC will typically be your Supervisor but, depending on the size of an event, may be someone else.

Guidance:
Step 4 should be completed at least 2 weeks BEFORE the event takes place.

Documents:
Receipts
Event Approval
Attendee List
Submit via ERF or MET

Organizing an Event

01

Organization

Steve is a Student Coordinator with Student Affairs.

Steve's Supervisor, Shelly, has encouraged Steve to put on an event for a group of students. Student Programming.

Steve decides to throw a "Movie Night" party to celebrate the students and build community. He's going to call it: *Indiana Jones & The Last Slice*.

Steve knows about 20 students will show up, at most, if it's around dinner.

They'll do a round-robin conversation about the academic year, highs & lows, with some sodas & snacks. Then, eat popcorn & pizza during an Indiana Jones movie.

The food & drinks will cost about $120.

02

Internal Review

Steve's Supervisor has an Executive Assistant who helps review event requests to ensure they seem reasonable and align with their Department's annual mission.

The Executive Assistant advises Steve to get a quote from a local pizza place for the event. Because of the event's cost, it will need to be reviewed & signed by their Financial Analyst and Supervisor.

Steve fills out PowerForm 1.3.2, entering the names & emails for himself, the assistant, their analyst, & the supervisor. This creates a DocuSign packet.

Steve checks his email & fills out Form 1.3.2 in DocuSign using the information he has gathered.

Definitions of Events

Link to Form: Definitions of Events.pdf

Financial Affairs has put great effort into defining the different types of University events: business (non-hosted) and social (hosted). These definitions make a clear distinction between events for staff, student staff, & students.

Purpose

To document and clarify that DSAS subscribes to the definitions provided by Financial Affairs;

Provide written guidance to staff when preparing to organize an event;

Ensure that all financial analysts are using the same policy criteria;

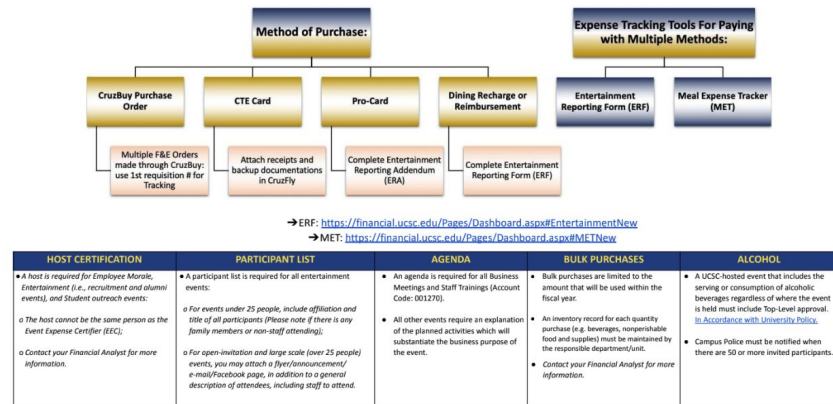Give everyone clear examples of events types, in action.

Reference Sheets: 1.1

Link to Form: Ent Ref 1.1 F&E Events.pdf

The *Summary of Forms and Approval Requirements for Food & Entertainment* is also called "Ent Ref 1.1".

- Summarizes how to process orders based on the method of purchase: PO, CTE, Pro-Card, or Recharge.
- Links to Expense Tracking Tools when multiple purchasing methods are used: ERF and MET.
- Explains special events –those requiring a host or containing alcohol.
- Details the need for additional materials: participant lists, agendas, etc.

This form also contains a table which allows event organizers to match their event type with the proper account code and see which Position Titles and/or Authority Levels can certify the event as an EEC.

Reference Sheets: 1.3.2

Link to Process Form: Ent Ref 1.3.2 Process Form.pdf

The *Request for F&E Event Approval* is also called "Ent Ref 1.3.2" and is hosted in DocuSign via PowerForm. *[Approved Example]*

- Gathers organizer, reviewer, EOA, EEC, and Top-Level EEC information.
- Requires the organizer to submit all required information in DocuSign.
- Allows all parties to edit the request asynchronously.
- Forwards the finished approval to DSAS Financial/BFM.
- Can be used instead of other entertainment forms like the ERF.

This request form is also accompanied by the *Ent. Ref. 1.3.2 Process Form* a PDF guide to utilizing the request form.

1. *Helps the organizer identify their EOA and EEC.*
2. *Directs the organizer to identify their Top-Level EEC if appropriate.*
3. *Notifies users of the ability to collaborate on a single document.*

Approving an Event

03

Order Approval

After Steve submits the filled out DocuSign form, the EOA receives their copy of the DocuSign form to review, edit, & sign. The EOA in this case is their Analyst.

EOAs are Event Order Approvers. EOAs are responsible for ensuring financial transactions comply with policy, are submitted properly, & that the event is directed to the correct Certifier or Top-Level Certifier.

Financial Affairs has a directory where you can search for EOAs and see the limits of their authority.

After the EOA signs the DocuSign, it is sent to the EEC.

04

Expense Certification

In this example, Steve's Supervisor is a valid EEC. An Event Expense Certifier who can approve Student Programming Events that cost less than $1,000.

Although this form has been reviewed by their Executive Assistant and their Financial Analyst, the EEC is responsible for ensuring that the event is appropriate and/or necessary and authorizing the funds to be spent.

Neither the EOA or EEC can act as Hosts, if an event requires a Host.

Once the EEC signs the form, it is forward to Budget & Financial Management for retention.

EOA Delegation of Authority

Link to Process Form: EOA Delegation Authority Process.pdf

Event Order Approver (EOA) limits should be generally uniform to ensure consistent and equitable delegation of authority across DSAS while empowering business and financial staff. Each level corresponds with a certain role and authority in the organizational structure. Some specific position titles may vary and are noted in our full recommendation where they occur.

The recommended Authority Levels, Limits, & corresponding Position Titles are:

Authority	$ Limit	Position Titles
Level 1	$100,000	Assistant Vice Chancellor, BFM
Level 2	$15,000	Directors, Business and/or Finance
Level 3	$5,000	Financial Analysts

EEC Delegation of Authority

Link to Process Form: EEC Delegation Authority Process.pdf

Event Expense Certifier (EEC) limits should be generally uniform to ensure consistent and equitable delegation of authority across DSAS while empowering fund managers. Each level corresponds with a certain depth in the organizational structure. Some specific position titles may vary and are noted in our full recommendation.

At a glance, the recommended Authority Levels, Limits, & corresponding Position Titles are:

Authority	$ Limit	Position Titles
Level 1	$250,000*	Vice Chancellor and Delegate
Level 2	$20,000*	Associate Vice Chancellors
Level 3	$10,000	Unit Directors (Executive or Senior Directors)
Level 4	$5,000	Department Directors (Associate Directors and Managers)
Level 5	$1,000	Assistant Directors and Managers
Level 6	$500	Supervisors and Coordinators

Reference Sheets: 1.5

Link to Ent Ref 1.5: Ent Ref 1.5.pdf

The *Protocol for Retirement and Farewell Gatherings* is called "Ent Ref 1.5".

- Details the need for a participant list and the potential notification of campus police.
- Covers Alcohol policy and the potential for Top-Level Certification.
- Guides users through determining if their event is eligible to use University funds.
- Links users back to Financial Affairs to comply with per person meal limits, NTE limits, and maximum gift values

After The Event

03

The Event

Steve is responsible for ensuring the event is conducted, that the purchases made are utilized, & for keeping a list of attendees and receipts. For some types of events, an additional "Host" may be required to help.

Steve should ensure that any & all forms have been submitted & signed at least 2 weeks prior to the date of the event; otherwise, the event may be postponed.

If Steve puts on an event before all the forms have been completed, some disciplinary action could be taken.

Leading up to the event, Steve can use the ERA, ERF, and/or MET forms to track & document expenses.

04

Expense Submission

Once the event has ended, Steve is responsible for submitting an Entertainment Reporting Form, Addendum, and/or Meal Expense Tracker.

Depending on the methods Steve used to purchase goods & services, the forms used may change.

Steve should ensure that all available receipts, agendas, participant lists, & the original Event Request Form (1.3.2) are submitted with the ERF.

If Steve paid out of pocket and needs to be reimbursed, Steve will be reimbursed via the Reporting Form.
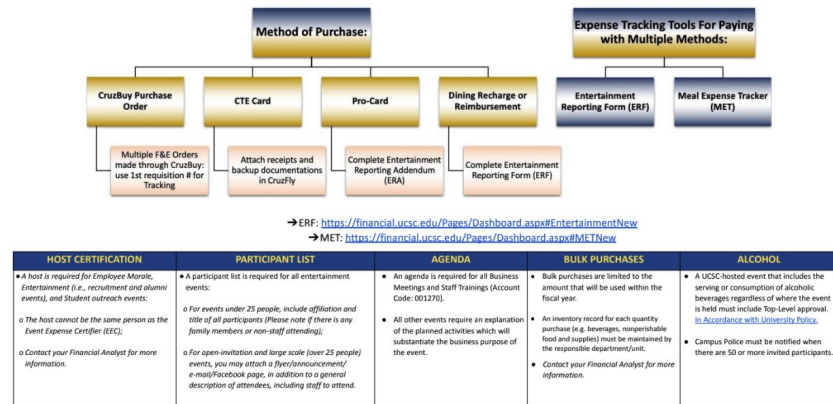
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Additional Resources

Delegated Authority Levels

Participant List PDF

Participant List Template

EEC Policy

EOA Policy

Fiscal Resources
(DFPC Page 2)