

BA02 BAO General Sanctions Policy

Effective 10 July 2002

Last Revised

Who Should Read This Policy

Unit Administrators and all University of Oregon employees who initiate or process financial transactions.

Background & Purpose

The business model at the University of Oregon is one where the authority and responsibility to adhere to policy and procedure generally rests with the departments, schools and colleges. However, part of the overall mission of the Business Affairs Office is to ensure that University of Oregon business and communications transactions are conducted in accordance with all applicable regulations, policies, procedures, generally accepted accounting principles, and sound business practices. The purpose of this policy is to establish the Business Affairs Office responsibility and authority to noted instances of non-compliance.

Policy

The Director of Business Affairs or designees shall evaluate and impose appropriate sanctions with regard to non-compliance with applicable regulations, policies, and procedures of BAO administered programs or generally accepted accounting principles.

Business Affairs departmental staff who seek to develop specific criteria for evaluating and imposing sanctions may document and communicate sanctions criteria in one of the following ways:

- As part of existing BAO policy
- As separately identified BAO policy
- As part of BAO program processes and procedures

Criteria should describe how violations will be evaluated and what the potential course of action will be.

Authority

The Director of Business Affairs has the authority and responsibility for administering this policy and may delegate implementation to BAO staff in the appropriate functional area.

References

Business Affairs departments have provided campus with criteria for evaluating and imposing sanctions in the following areas:

PC02 Sanctions for Violations of Procurement Card Policies
<http://baowww.uoregon.edu/Policy/pc02.pdf>

Q&A

What is the purpose of having clearly defined criteria for implementing sanctions?

Rules, regulations, policy and procedures exist to reduce waste, safeguard resources, protect the interest of the public we serve and ensure the mission of the UO is met. Having clearly defined criteria for implementing sanctions encourages compliant behaviors, provides an approved framework to address program violations and ensures consistency in the application of violations noted.

Contact

Director of Business Affairs 6-3165

Definitions

Sanction

A sanction is a specific course of action that is taken or imposed in response to a noted violation or instance of non-compliance with applicable regulations, policies, procedures, generally accepted accounting principles.

Violation

A violation is any action that is not in accordance with applicable regulations, policies, procedures, generally accepted accounting principles, or sound business practices.