



ESTABLISHING AND MAINTAINING PRESIDENTIAL POLICIES

Responsible Officer:	Deputy Compliance Officer
Responsible Office:	EC - Ethics, Compliance & Audit Services
Issuance Date:	44T
Effective Date:	44T
Scope:	This policy applies to all University locations and offices developing and reviewing Presidential policies. <i>This Policy does not affect policy development, consultation, and maintenance of the Academic Personnel Manual.</i>

Contact:	David Lane
Email:	David.Lane@ucop.edu
Phone #:	510-987-0851

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I. POLICY SUMMARY

The President is the Chief Executive Officer of the University and is responsible for promulgating Presidential policies to support the mission of the University and to carry out related state and federal law and The Regents’ Bylaws, Standing Orders and Policies (Governing Documents). This Policy describes the University of California approval process for Presidential policies and sets out the general rules and responsibilities for the development, review, and ownership of Presidential Policies.

This Policy articulates the steps required for policy development, review, and approval for adoption of new policies, revision of current policies, and rescission of existing policies. This Policy outlines required consultation with the Academic Senate, Academic Personnel and Programs staff, and other university staff, and students, according to The Regents' governing documents.

II. DEFINITIONS

Presidential Policy: A governing principle that mandates or constrains actions and:

- Applies across the University of California to all locations unless indicated otherwise in the policy;
- Ensures compliance with applicable federal, state and local laws and regulations;
- Enhances the University's mission, promotes operational efficiencies, and helps to reduce risk exposure;
- Endures from one Presidential administration to another and sets a course for the foreseeable future; and
- Receives approval by the President or designated executive upon recommendation of the Policy Advisory Committee and the Policy Steering Committee.

Presidential Policies may address all operations of the University except for those reserved to the Board of Regents, to the Provost and Executive Vice President of [Academic Affairs](#), or to the [Academic Senate](#).

Comprehensive review: Also considered a substantive review, this process includes changes to the policy's substance, mandates, or principles and requires consultation and vetting by stakeholders, review by the required bodies as appropriate (eg. Academic Senate, Human Resources, Academic Personnel, students) and full review by the Policy Advisory Committee (PAC), Office of the General Counsel (OGC) and Policy Steering Committee (PSC). All comprehensive reviews of existing policies must be re-issued by the President.

Effective Date: The date on which that version of the policy is/was first enforceable.

Guideline: A written document that describes best practices and/or the recommended process for implementing a policy or addressing a particular topic. Guidelines do not necessarily need review by the same audiences as the comprehensive review and do not need Presidential signature and approval unless the owner of the Guidance requests such review and approval.

Initial Issuance: The release by the Universitywide Policy Office of a completely new policy that has been issued by the President.

Interim Policy: A provisional policy issued when a University policy is needed within a time period too short to complete the Presidential Policy Approval Process. Interim Policies are typically issued while the Responsible Office is developing the full policy and is usually issued for new regulations or requirements needed by the University in a more immediate timeframe than the typical policy approval process. An Interim Policy is in effect for six months, with possible renewal in additional six month increments, while the Responsible Office finalizes the development or revision of the policy and completes the Presidential Policy Approval Process. An interim policy still must receive recommendation for approval by the PAC, OGC and the PSC with final approval by the President.

Issuance Date: The date of a policy's Issuance Letter. This date applies to new or re-issued policies.

Issuance Letter: A cover letter signed by the President that officially issues a Presidential Policy and makes the Policy available to the University community and the public on the [Presidential Policy Website](#).

Policy Action Form: As part of the Presidential Policy Approval Process, a required document drafted by the Policy Owner to the PAC and PSC that describes the need for the policy and outlines the process taken to develop or revise the policy, and which includes a list of the Stakeholders who were consulted and how their concerns were addressed. A sample template (INSERT LINK HERE) is available from the Universitywide Policy Office.

Policy Advisory Committee (PAC): The group designated by the Policy Steering Committee (PSC) to be responsible for reviewing proposed policies and recommending approval of those policies to the PSC. PAC members represent divisions of the Office of the President and their role is to review of all proposed policy actions. The PAC membership can be found on the [Policy Governance Site](#).

Policy Owner (PO): The individual (by position) who serves as the subject matter expert of a particular policy and is responsible for interpreting and responding to questions about that policy. Policy Owners are designated by the Responsible Officer (RO). The PO is typically the person designated on the Policy Template as the "contact person."

Policy Steering Committee (PSC): Committee comprised of the President's direct reports and responsible for overseeing the Presidential Policy Approval Process and recommending policy issuance to the President. The PSC membership can be found on

the [Policy Governance Site](#). The PSC is chaired by the SVP/CCAO of Ethics, Compliance, and Audit Services.

Presidential Policy Approval Process: The process for submitting a Presidential Policy for approval, which includes review and approval by the PAC, final legal review and approval by OGC, approval by the PSC and issuance by the President. All new and revised Presidential Policies, except for policies undergoing technical changes are required to go through the Presidential Policy Approval Process.

Presidential Policy Template (Template): The approved format and style for all Presidential policies. This template is available from the Universitywide Policy Office (INSERT LINK HERE). Following this template is required for consistency and to ensure accessibility by users with specific information technology needs.

Procedure: A step-by-step description of the tasks required to implement organizational policies. Procedures in Presidential Policies are typically high-level, required overarching, *mandated* processes, steps, implementation requirements that all locations must follow. In addition, many policies have links to freestanding procedural documents located on departmental websites that are linked within the corresponding Presidential Policy, as applicable. These linked procedure documents often list best practices and/or steps each location can take for implementation of the Policy. Presidential policies typically should not include specific campus implementation steps or processes that do not apply across the system.

Rescission: The decommissioning of a policy that is no longer needed or whose content has been incorporated into another policy. Policies needing rescission must still go through a thorough review process by the PAC, the OGC, the PSC, a 30-day posting on the Universitywide Policy website (INSERT LINK HERE).

Responsible Office: The office designated by the President to be responsible for highlevel oversight of the Presidential Policies that fall within its areas of responsibility.

Responsible Officer (RO): The high level executive who heads the Responsible Office and is designated by the President to be responsible for high-level oversight of the Presidential Policies that fall within their areas of responsibility.

Technical/Administrative Review: Any additions or deletions to a policy, including title changes due to University Presidential reorganization, updating links, or typographical amendments that do not materially change the intent, substance or principles of the policy. Technical changes and review such as the above do not require Full Policy Review. However, technical changes other than minor ones such as correction of typographical errors or legal code numbering, or names of the Responsible Officer will be posted on the

Policy website for 30 days before final publishing in the policy library. *Any Changes which alter the direction or scope of the policy are considered substantive and require a comprehensive review.*

Stakeholder(s): A constituency or functional group with subject matter expertise and/or a substantive interest in a particular policy and/or its implementation and who is consulted to provide comments on its draft. Responsible Officers, PAC members, and/or PSC members may identify individuals or organizations as Stakeholders whose University role or professional expertise relates to the subject of the policy. The Policy Owner is responsible for vetting any new or revised policy with all appropriate stakeholders.

Universitywide Policy Office (UPO): The office designated by the President and located within the Ethics, Compliance and Audit Services department that coordinates and is responsible for the Presidential Policy Approval Process and chairs the Policy Advisory Committee and Policy Steering Committee. The UPO facilitates the development and review of Presidential policies and is charged with stewardship of the official policy template and maintaining a central repository of Presidential Policies.

III. POLICY TEXT

All Presidential Policies for systemwide implementation shall follow a standardized policy management process outlined herein. The University of California policy management process is designed to foster broad and timely review, approval, and dissemination of important governance and administrative information, and to make the information readily accessible to internal and external audiences. Policies developed for—and applicable only to—each University location are not obligated to follow this standardized policy management process.

The policy management process demonstrates accountability in support of the University mission and in accordance with the public trust and is subject to these tenets:

- A. All policies should be written in [plain language](#). Plain language is defined as clear, succinct writing, designed to ensure the reader understands as quickly and completely as possible. Plain language is easily understood by all audiences, and does not include field specific language, except where necessary and where defined. When drafting a policy, the writer(s) will make every attempt to integrate the specific topic or issue within the entire framework of University policy.
- B. Policies are intended to be high-level, and as much as possible should not include procedures unless there are compelling, mandated, or legal reasons, so stated, why all units should adopt the same implementing procedures.

- C. Presidential policies will conform to a standard format ([template](#)), and will use a common glossary of terms, to the extent possible. All policies will define any “terms of art” in the Definitions Section.
- D. The Responsible Officer (RO) is accountable for updating the policy based on new regulatory requirements, risk assessments, strategic positioning, or other relevant considerations, and for aligning the policy with other Presidential policies, through appropriate vetting. At a minimum, the RO is responsible for a technical review every three years and a comprehensive review every five years.
- E. In addition, the RO shall ensure that each policy undergo a more comprehensive review every five years to assure that it continues to reflect current practice, current Government regulations, laws and guidelines and is aligned with other Regents and University of California policies.
- F. All active Presidential policies are published on the Presidential Policy website: <http://policy.ucop.edu>.
- G. Rescinded or superseded policies are identified on the Presidential Policy website with a brief explanation for the rescission or supersession provided by the Policy Owner. Past copies of rescinded or superseded policies are available by request from the [Policy Office](#).
- H. Procedures documents that implement policies and are located in other sites other than the Presidential Policy website do not require the same extensive review as policies. Like policies, however, procedures documents should be reviewed regularly to make sure information remains current.

IV. COMPLIANCE/RESPONSIBILITIES

- A. Responsible Office/Officer (RO):** is charged with:
- Identifying the need for new policy;
 - Designating a Policy Owner for authoring the policy and guiding it through the review and approval process;
 - Developing and communicating any related implementing guidance and developing training as required by the Policy or applicable laws;
 - Making technical changes following consultation with the Office of General Counsel and other appropriate subject matter experts/stakeholders;

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- Conducting a technical review of policies generated by their office once every three years and a comprehensive review of policies generated by their office once every five years, or as required by Federal, State and Local regulations;
- Submitting non-technical amendments for review by the Policy Advisory Committee;
- Consulting with human resources and/or labor relations if the policy potentially will affect terms and conditions of employment; and
- Disseminating the Presidential Policy to stakeholders once it has been issued by the President.

On occasion, additional Responsible Officer(s) will be assigned, when a particular subject closely aligns with more than one functional area.

B. Policy Owner (PO): is charged with:

- Completing the Policy Action Form at the commencement of the Policy review/draft process and submitting it to the RO for approval;
- Coordinating with the interested stakeholders and incorporating comments and suggestions as needed into the draft policy/policy revision;
- Working with the appropriate staff in the Office of General Counsel (OGC) for legal advice and review;
- In consultation with the PAC, making sure that all interested parties, review bodies, and key subject matter experts are consulted and that comment periods are met as required by The Regents Policies, Academic Senate rules, Union contracts, and Presidential guidelines;
- Completing the draft policy and submitting it for review to the UPO and the PAC after all required comment periods have ended (unless Interim Policy Approval is requested and therefore no formal comment period is possible). The substantive comments received and their disposition in the final draft policy must be detailed to the UPO and PAC, and;
- Keeping abreast of changes in Federal, State, and local laws and consulting with the Responsible Officer on policy revisions.

C. Members of the University Community: Are responsible for knowing, understanding and complying with Presidential policies that apply to their University areas of responsibility. Members of the University Community who are subject matter experts

have the responsibility for providing input, guidance, and feedback when requested on appropriate policies affecting their subject area(s).

D. University Policy Office (UPO) is charged with:

- Maintaining the Universitywide Policy website;
- Overseeing the Policy process;
- Advising the Policy Steering Committee and the President regarding issues that arise surrounding specific policy issues and/or needs;
- Coordinating distribution of the Policies to the University Community; and
- Ensuring that the policy development process within this policy is followed correctly.

V. PROCEDURES

The attached flowcharts (INSERT LINK HERE) depict the mandated steps in the policy development process that are explained further below. All policies must follow the attached process. However, *there are some policies that predate this framework, and as yet have not been through the entire process outlined herein. They remain official university policies and, upon the next comprehensive review for that policy, will complete this process in order to fall into compliance*

I. Proposing a Policy:

- A. A Policy is developed and used by Responsible Officers to support the missions of their units to the University. Any individual or unit may identify the need for a new policy, but at least one Responsible Officer must agree to sponsor its development and be accountable for the content of its principles and procedures.
- B. The Responsible Officer will appoint a Policy Owner to consult with the University Policy Office (UPO) in developing that policy. The Policy Owner will complete the policy action for the policy, informing the UPO and PAC of the intent to develop a policy. The Policy Action also outlines which key stakeholders will be consulted and if review is required by the affected parties, such as the faculty senate, students, academic personnel, or staff.
- C. The Policy Action which proposes the establishment of a new policy or major revision to an existing one, will be presented to the PAC for review and approval. The Policy Action includes detailed information on the impact of the policy on the university, who will be consulted, how any training will be conducted, and associated risks or risk mitigation of the policy to the University.

II. Developing a Policy

- A. The Policy Action form is used to guide the drafting of the full policy document which is accomplished by the Responsible Office. The Policy Owner is responsible for developing the content of the policy, as well as making sure all stakeholders are consulted, and that their comments are incorporated, if appropriate.
- B. When the Responsible Officer has approved this draft, Policy Owner will share the document with those stakeholders and subject matter experts identified in the impact statement for their comment. In addition, the Policy Owner should share the draft with the PAC members for information purposes, comment, and questions. This feedback from stakeholders and PAC members must be considered by the Policy Owner who, along with the Responsible Officer, will determine whether and how these responses will be incorporated.

III. Reviewing and Approving a Policy

- A. Formal vetting is required for all policies (new and those under comprehensive review) with affected offices. At a minimum, the Policy Owner must consult with the Offices of Academic Personnel and Programs, Human Resources, and Student Affairs and get their documented decision on whether formal vetting is needed.
- B. If formal vetting is needed, the Policy Owner must issue a cover explanation memo and send to the Division Head of the appropriate office(s) e.g. Office of Academic Personnel and Programs, Human Resources, and Student Affairs. These offices will advise the Policy Owner of the timeline for comment. In addition, these offices will direct any comments received on the draft policy to the Policy Owner for review and consideration in the final draft.
- C. Once formal vetting is complete and with the Policy Owner's approval, the UPO will distribute the draft policy to members of the PAC in advance of a PAC review meeting. The Policy Owner will present the draft policy, Policy Action Form at the meeting where the documents will be reviewed for practicality and clarity. The Policy Owner will also provide a summary of the comments (and their disposition) received during the vetting period.
- D. Upon recommendation for approval of the policy by PAC, the Policy Owner will review and make any accepted changes proposed by the PAC. Once changes have been finalized, the Policy Owner will provide the final version to the UPO. The UPO will send the proposed policy to OGC for final legal review.
- E. Once legal review is complete, the UPO will submit the draft Policy to the Policy Steering Committee (PSC) for review and approval. *Note: There may be occasion*

where comments and changes from PAC will require further consultation with relevant stakeholders or further review by PAC.

- F. The UPO will send the approved final draft of the policy to the Policy Steering Committee (PSC) for their final review and recommendation for Presidential approval. Generally, the PSC will provide approval electronically but any PSC member can request an in-person meeting. PSC members are generally provided with 10 business days for review and recommendation for approval. Any “not approved” responses from PSC members may require a formal meeting with the Policy Owner and Responsible Officer. In any case, any “not approved” responses or negative comments will be conveyed to the President for final review.
- G. Once PSC approval is received, the UPO will prepare the Policy and issuance letter for the President’s final review and issuance. The UPO will submit the packet (Presidential info memo, clean final draft policy, and final draft issuance letter) to the President for final review and approval.
- H. The President will issue the policy through an Issuance Letter sent to the University locations. Once approved, the Issuance Letter and policy will be disseminated by the UPO, on behalf of the President, to the Chancellors, the Division Leaders, Campus Policy Managers, the Policy Owner, and all named parties in the Issuance Letter. It is the responsibility of the Policy Owner and Responsible Office to distribute the Policy to their Stakeholders.
- I. The UPO will also publish the policy to the Policy Library at policy.ucop.edu.

IV. Updating a Policy for Technical Changes

- A. On an as-needed basis, the Policy Owner will request that the UPO make routine or technical changes (such as new contact names, position titles and e-mail or Web addresses) to an existing policy document.
- B. Technical changes do not require a full Policy Review (and President’s review and approval), but are subject to review if the UPO or PAC determines the changes are substantive, and therefore required to go through the formal review process. This evaluation is made on a case-by-case basis, based on the requested changes. All technical changes (except for extremely minor corrections or typographical errors) will be posted on the Universitywide Policy Office website for 30 days.
- C. Technical reviews must be conducted and documented with the University wide Policy Office at a minimum every three years.

V. Revising a Policy with Comprehensive Changes

- A. Significant changes to the policy's substance, or principles, must be approved by the PAC, the PSC, and the President, based on the submission of a new Policy Action and draft policy and may be announced, or "promulgated," to the university community by the UPO, via Presidential Issuance.
- B. Comprehensive Review of the entire policy will be conducted at least every five years by the Responsible Office, as prompted by the UPO. The extent of any changes resulting from this review will determine the review process. The UPO will note the date of all revisions in "Revision History" on the policy document.
- C. Revised policy documents "red-lines" will be presented showing changes, unless these changes are so substantial as to make this impractical. In this event, the existing policy document and the document with the proposed revisions will be provided to the PAC at the time of review.

VI. Communicating, Promulgating, and Training

- A. The UPO will issue an announcement of a new or substantially revised policy, on behalf of the President, once the Policy has been issued. The communication from the UPO will include the Issuance Letter and the policy, sent to the Chancellors, the Division Leaders, Campus Policy Managers, the Policy Owner, and all named parties in the Issuance Letter. The UPO will also publish the policy in the Policy Library (SharePoint) and will conduct training as needed.
- B. The Responsible Office and Policy Owner will deliver any additional communication or training.

VII. Establishing an Interim Policy

- A. Based on exigent circumstances, which are approved on a case-by-case basis, the President may promulgate an interim Presidential policy outside of the formal Policy Approval Process. Interim policies are approved for a 6-month time period, with possible supplemental approvals in 6-month intervals. The target date for completing the formal approval process will be published at the time the interim policy is approved.
- B. Interim Policies will be clearly marked in red as "INTERIM POLICY PENDING FINAL APPROVAL."

- C. To derive the benefits of a standard policy document and the full review cycle, the interim policy must complete the process outlined in this document, preferably, within one year of the issuance of the interim policy.

VIII. Rescinding a Policy

- A. In certain circumstances, a Responsible Officer may deem it appropriate or necessary to rescind an existing policy or consolidate with another policy. Once a Policy is deemed in need of rescission, the Policy Owner will contact the UPO who will assist with the rescission.
- B. All potential rescissions must be thoroughly vetted and approved by stakeholders as well as the necessary review committees. Once a policy rescission has been vetted, the Policy Owner will submit the policy, Policy Action Form to the PAC members at their next meeting for rescission approval.
- C. The UPO will send the proposed rescission to OGC for legal review and concurrence that the rescission is legally appropriate and/or necessary.
- D. Upon recommendation from PAC, the UPO will post the Policy on the Policy Office website for a 30 day public comment and review. Any comments, questions, or concerns about rescission must be addressed and resolved by the Responsible Officer and Policy Owner.
- E. After the 30 day vetting period, the rescission decision will be sent to the PSC for final rescission recommendation.
- F. PSC must approve the rescission prior to the rescission being finalized and sent to the President for issuance. Once the Policy has been approved for rescission by the President, the UPO will send out the rescission notice to the Chancellors, the Division Leaders, Campus Policy Managers, the Policy Owner, and all named parties in the Issuance Letter. The UPO will also publish the Policy in the [Policy Library](#).

VI. RELATED INFORMATION

[Policy Development Resources](#)

[Article IX, Section 9 of the California Constitution](#)

[Bylaws and Standing Orders of The Regents](#)

[Regents Policy 1000: Policy on Policies of the Regents of the University Of California](#)

VII. FREQUENTLY ASKED QUESTIONS

[Frequently Asked Questions](#)

How to Contact the Universitywide Policy Office (INSERT LINK)

VIII. REVISION HISTORY

This Policy is initially issued on XX/XX/2017.

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UC Presidential Policy Development Process: **New Policies and Substantive Revisions**

STAGE 1
(0 – 1 Months)

RO identifies need for new/revised policy and designates PO.

PO contacts UPO. UPO has discussion to go over approval process and gives PO the policy action form template to complete.

PO discusses proposed policy with PAC and provide which stakeholders are contributing to and reviewing the policy.

PAC will give feed back on the proposed policy, as well as determine which review period(s) are needed (SA, AP, HR, and/or Labor). OGC input and review should be limited to subject matter experts at this stage

STAGE 2
(1 – 4 Months)

PO finalizes draft policy in continued consultation with stakeholders.

PO brings to PAC as needed for review and information.

PO sends draft policy to UPO for distribution to key offices for review period(s).

Review period is a minimum of 30 days and up to 90 days.

If applicable, UPO/Academic Affairs (AP)/Student Affairs (SA)/Human Resources (HR) collect and send comments to PO.

PO incorporates/responds to comments.

STAGE 3
(4 – 6 Months)

UPO sends draft policy and updated memo for PAC review.

PO attends PAC meeting to answer questions.

PAC approves, rejects, or approves with changes/edits

UPO sends approved policy revisions to OGC for final review.
If OGC has significant changes policy returns to PAC for additional review.

UPO send approved draft to PSC.

PSC approves/rejects.

UPO drafts information memo and issuance letter for President's approval and sends to President's office.

President approves and signs issuance letter; returns to UPO.

UPO publishes policy on online policy library and distributes to Chancellors and Campus Policy Managers

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ABBREVIATION:

PO = Policy Owner
RO = Responsible Office
UPO = University Policy Office
PAC = Policy Advisory Committee
PSC = Policy Steering Committee
OGC = Office of General Council

**UC Presidential Policy Development
Process: Existing Policies**

RO identifies need for policy for revision

PO discusses proposed policy changes to UPO who determines if the policy revisions are technical or substantive in nature.

Technical changes include, but not limited to:
 Changes to law
 Regulatory changes
 Updates to PO and/or RO details
 Updates for clarity
 Updates to bring UCOP in line with updated issues, policies, laws, etc.

Technical Change

Substantive Change

PO makes changes and submits revised policy to UPO.

UPO brings changes to PAC for approval of technical changes

Follow process for new policies starting at STAGE 2

If technical changes are not required by law/regulations then revised policy is post on UPO website for 30 day comment period.

If comments are received, UPO sends to PO for response edits. Policy is then published.

Technical changes are required by law/regulation.

Final OGC review.

UPO publishes policy on online policy library and distributes to Chancellors and Campus Policy Managers.

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PO = Policy Owner
 RO = Responsible Office
 UPO = University Policy Office
 PAC = Policy Advisory Committee
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Technical Changes

**UC Presidential Policy
Development Process:
Rescinding Policies**

RO identifies need for policy rescission

PO discusses proposed policy rescission with UPO and provides business justification for the policy action, confirming that it was thoroughly vetted and approved by stakeholders including OGC.

Reasons for policy rescission include:
 Old or obsolete and not needed
 Consolidated with another policy
 Duplicate policy
 Interim or short term in nature policy

PO submits request for a rescission of policy to UPO.

UPO sends policy and rescission memo request for PAC review.

PO attends PAC meeting to answer questions.

PAC approves request.

UPO send the rescission request to OGC for final legal review and approval.

OGC reviews and approves request.

The approved policy for rescission is posted on UPO website for 30 day comment period.

If comments are received, UPO sends to PO for response.

If no comments are received, UPO send request to PSC for approval.

Note: OGC reviews again if changes are made.

PSC approves request for rescission.

UPO drafts information memo and issuance letter for President's approval and sends to President's office.

President approves and signs issuance letter; returns to UPO

UPO publishes policy on online policy library and distributes to Chancellors and Campus Policy Managers.

Policy is rescinded.

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 RO = Responsible Office
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