

# Campus Wide Administrative Policies and Procedures Approval Process

## I. Overview/Scope of the Procedures

These procedures are designed to guide policy and procedure owners as they develop or review new and existing policies and procedures. Specifically, these procedures outline (A) the areas of responsibility for those involved in the campus wide administrative policies and procedures approval process, (B) the actions required to develop and revise new or existing policies and procedures, (C) the required components of written university policy and procedure documents, and (D) the required components of the final submission package for approval by the Campus Provost/Executive Vice Chancellor (CP/EVC).

## II. Definitions

**Consultation Plan:** The process of reviewing the near final draft policy and procedures with individuals in leadership, stakeholders, required offices, affected parties, and the campus community.

**Headline Banner:** Title and identification block of a policy or procedure. Header information includes: policy/procedure name and number, page number, effective date, latest revision date. Footer information includes: Responsible Officer and individual contact information.

**Purpose of the Policy:** Concise statement of the rationale for the policy and the important policy content. The purpose should address basic values of the university, support the teaching, research, and public service mission of the university, promote efficient operations, manage risk, mandate or constrain certain actions, are consistent with system wide policies, and may contain specific requirements for compliance with federal, state laws and regulations. (*Note:* This summary may be displayed for users as part of on-line searches.)

**Overview/Procedure Description:** Describes the overall objectives, functions, or tasks that the procedures are designed to accomplish and the circumstances under which the procedures should be used.

**Definitions:** Defines terms that are unique or subject to different interpretations to achieve clarity without repetitive explanation.

**Detailed Policy Statement:** The directive the policy is intending to establish.

**Procedure Details:** Using an approach which is customized to the subject, the procedure details provide the reader with the necessary "how to" information and references to all forms and/or supplemental instructions needed to complete the procedures. The details include departments, units, offices, and individual job titles for those who have responsibility for aspects of daily control and coordination of the procedures, authority to approve exceptions to the procedure, and procedural implementation. A transaction flow chart may be included as an appendix to the procedures.

**Getting Help:** The office, specific individual, and/or position title that should be contacted for interpretations, resolution of problems, and special situations. The most frequently asked questions should be addressed in this section.

**Applicability and Authority:** Exactly who the policy or procedure applies to and the consequences for noncompliance, if applicable. The approval date of the CP/EVC and the date of the next review. In general, the order of authority is:

1. The **Chancellor** retains ultimate authority for campus policies.
2. The **CP/EVC** formally approves, denies, or returns campus policies for further review or revision.

3. The **Responsible Officer** sponsors the policy and may grant specific authorities to university officials in formal delegation of authority documents or within the policy text.

**Related Policies/References:** Information about related policies, procedures, guidelines, forms, etc. If needed, provide additional background discussion here.

(For additional definitions see the policy on *Campus Wide Administrative Policies: EVC-0003* <Insert link>

## III. Procedure Details

### A. The Policy Process

See also [Appendix A: Campus Policy Formulation, Approval, and Dissemination Process](#) for a detailed diagram/flow chart illustrating the policy formulation and approval process.

1. Analyze the need for a new policy. Check for existing policies and responsible individuals.
  - a. Identify related policies and procedures manuals (i.e., divisional, campus, and system wide).
  - b. Verify [delegations of authority](#) (or unit with operational responsibility).
  - c. If new or revisions to existing delegation(s) of authority are required, consult the [Delegations of Authority process](#)
  - d. Check with Policy Coordination Office (PCO) for policy background and history.
  - e. Document the findings. This information will be necessary for the completion of Appendix D: *Policy and Procedure Transmittal Sheet* later in the process.
2. Identify Policy Owner and policy gap.
  - a. Work closely with PCO to research policy context and to identify related policies and procedures.
  - b. If the policy has academic implications, check with Academic Senate Office on the need for further consultation.
  - c. If the policy affects specific groups for which explicit consultations are required, check with the appropriate principal officer or unit manager for additional instructions (e.g., policies that affect an individual employee's working conditions, employment requirements, collective bargaining agreements, or have other labor relations implications must follow a specific process).
3. Develop new or revised campus administrative policy—engaging in appropriate consultation and review.
  - a. Work closely with PCO to identify affected parties and appropriate review bodies.
  - b. In the early policy development stages, consult with and consider the views of a working group of stakeholders/leadership who have a substantive interest in the policy and/or its implementation and impact.
  - c. Draft new or revised policy.
4. Review near-final draft of policy with PCO for clarity, readability, and consistency with other policies and procedures. Conduct additional review/consultation (as may be suggested by PCO or EVC Office).
  - a. Review near-final draft of new or revised campus administrative policy with Responsible Officer.
  - b. Provide a period of review for the required reviewing offices (see Appendix F: *Campus Wide Administrative Policy Consultation Plan Check List*). At minimum these offices include:
    - i. Academic Senate
    - ii. Campus Controller
    - iii. Campus Counsel
    - iv. Internal Audit
    - v. Labor Relations
    - vi. Policy Coordination Office (PCO)
  - c. Revise draft as necessary (and engage another round of review/consultation, if appropriate).
5. Final Draft Reviews
  - a. When all required reviewers' comments have been carefully considered and documented, obtain the final approval of Campus Counsel.
  - b. Engage Labor Relations to send union notifications; provide a 30-day union review prior to campus comment.
  - c. Provide PCO with draft of campus community review announcement. PCO will review for clarity, readability, and consistency with other policies and procedures, then engage PIO to make an announcement via all campus

- administrative message and administrative headline in campus newsletter. A one month review period is required for all new policies. Revised policies require a two week review period. More time may be provided as needed.
- d. Provide PCO with draft of the Appendix D: *Policy and Procedure Transmittal Sheet* with signature of appropriate Responsible Officer.
  - e. Provide PCO with draft cover letter requesting approval including an impact statement and additional context as needed, to be signed by Responsible Officer if appropriate (to be determined based on complexity of policy).
  - f. Provide PCO with final drafts of the policy, procedures, and appendices.
  - g. Provide PCO with other related documents such as the summary of changes, associated forms, references, checklists, outreach materials, training materials, and signage schematics.
  - h. Provide PCO with the draft of Appendix G: *Campus Wide Administrative Policy Consultation Plan Comments and Responses*).
6. Engage in additional review/consultation (as may be suggested by PCO or EVC Office).
- a. Revise policy as necessary (and engage in another round of review/consultation, if appropriate).
7. CP/EVC Approval
- a. Final documentation should include:
    - i. a cover letter to the CP/EVC requesting approval including an impact statement and additional context as needed, signed by the Responsible Officer (if it was determined to be needed based on complexity of policy);
    - ii. the policy (and procedures if applicable) transmittal, (see Appendix D: *Policy and Procedure Transmittal Sheet*);
    - iii. the final draft of the policy (and procedures if applicable) and all associated appendices, (see Appendix B: *Policy Template* and C: *Procedure Template*);
    - iv. the Consultation Plan Checklist, (see Appendix F: *Campus Wide Administrative Policy Consultation Plan Checklist*);
    - v. all comments and responses, (see Appendix H: *Campus Wide Administrative Policy Consultation Plan Checklist Comment and Response*);
    - vi. a summary of changes;
    - vii. a summary of issues/concerns; and
    - viii. other reference material such as checklists, outreach materials, training materials, signage schematics, etc.
  - b. Final documentation must be provided to the PCO at least one week prior to seeking approval from the CP/EVC. The method of submitting the final documentation will be based on the number of documents and other considerations.
  - c. The Policy Owner and the PCO will present the final documentation to the CP/EVC for approval.
  - d. All original final approval documents must be archived in the PCO Office. Copies may be provided to those who are interested.
8. Disseminate policy.
- a. PCO: amend campus policy website with new or revised policy and procedures.
  - b. Policy Owner: draft an administrative message to notify the campus community of the policy approval and effective date with link to the policy listing on the campus wide policy website: <http://policy.ucsc.edu> -- to be reviewed and approved by PCO and PIO (see Appendix I: *Administrative Policy Announcement*).
  - c. Policy Owner: provide outreach and training/orientation to affected parties (as appropriate).

## **B. The Procedure Process**

Typically, procedures are included in the initial development of the related parent policy, however, revisions to procedures may be more frequent than revisions to policy, therefore, this section covers the process to revise procedures in the absence of revisions to the parent policy.

1. Identify and document the need for revisions to existing procedures. This information will be necessary for the completion of Appendix D: *Procedure Transmittal Sheet* later in the process.
2. Analyze existing policies, procedures, and responsible individuals:
  - a. Identify existing procedures (i.e., campus and system wide).
  - b. Verify existing delegation(s) of authority (or unit with operational responsibility).

- c. If new or revisions to existing delegation(s) of authority are required, consult the [Delegations of Authority process](#).
  - d. Confirm changes in authority, Policy Owner, procedure owner(s).
  - e. Work closely with PCO to research procedure context and to identify related policies and procedures.
  - f. If the procedure requires the development of new policies, follow the steps in the policy development and approval process.
3. Develop new or revised campus administrative procedures.
    - a. In the early procedure development stages, consult with/consider the views of those who will be directly affected by the new or revised procedures.
    - b. Review the objectives for the revision and ensure that they are achieved as new or revised procedures are developed.
    - c. Review final draft of new or revised campus administrative procedures with Responsible Officer.
    - d. Submit near-final draft to PCO for review of clarity, readability, and consistency with other policies and procedures.
  4. Conduct additional review/consultation (as may be suggested by PCO or EVC Office).
    - a. Revise procedures as necessary (and engage another round of review/consultation, if appropriate).
  5. Prepare training program for affected parties.
  6. Complete the *Procedure Transmittal Sheet* (a modification of Appendix D: Policy and Procedure Transmittal Sheet) and submit with the final draft procedures to the PCO for final review of clarity, readability, and consistency with other procedures.
  7. Approval
    - a. Work with PCO on how best to submit final approval package based on the number of documents and other considerations.
    - b. PCO: request approval signature from CP/EVC.
    - c. PCO: archive original final approval documents and send copy of approval to the Responsible Officer.
  8. Disseminate procedures.
    - a. PCO: Amend campus policy website with revised procedures.
    - b. Procedures Owner: Draft an administrative message to notify the campus community of the procedures approval and effective date with link to the policy listing on the campus wide policy website: <http://policy.ucsc.edu> -- to be reviewed and approved by PCO.
    - c. PCO: Engage PIO to make announcement via all campus administrative message and administrative headline in campus newsletter.
    - d. Procedures Owner: Provide training/orientation (as appropriate).

## **C. The Technical Review Process**

If a policy requires technical updates that do not change the substance or principles of the policy, such as; a correction of broken links, the addition of clarifying text, the addition of resources citations, or a refreshment of next review dates with no revisions to the policy, the PCO may determine criteria has been met to follow the Technical Review process.

1. Revise existing policy and/or procedures, including the next revision date (typically five years).
2. Submit proposed revisions to the PCO for concurrence that revisions meet criteria for the Technical Review process.
3. Replace the PCO signature line on Appendix D: *Policy and Procedure Transmittal Sheet*, with text from Appendix J: *Technical Review Replacement Signature*
4. Obtain final approval signature from Responsible Officer.
5. Submit the revised policy and/or procedure and transmittal to the PCO.
6. PCO: archive original final approval documents and send copy of approval to the Responsible Officer.
7. PCO: will amend campus policy website with revised policy and/or procedures.

## **D. The Interim Policy Process**

Occasionally, changes to regulations affect operations with inadequate time for a full and complete consultation plan and approval period. In such cases, the Policy Owner and the PCO will work together to streamline the consultation plan and approval processes. An interim policy is effective for six-months from the approval date and renewable in six month

increments while the Policy Owner completes the campus wide administrative policy approval process, preferably, within one year of the approval date of the interim policy.

1. The Policy Owner, working with the Responsible Officer, will determine the need for an interim policy.
2. The Policy Owner and the PCO must be in concurrence that an interim policy is necessary to address emerging regulations and reduce risk. A timeline for completion of the full approval process must be identified.
3. Draft new or revised policy. Interim policies must be clearly marked "INTERIM POLICY:" preceding the policy name and are effective for six months from the approval date. Interim policies may be renewed by contacting the PCO.
4. PCO will work with the Policy Owner to create a streamlined consultation process that includes key stakeholders and the required reviewing offices. (see Appendix F: *Campus Wide Administrative Policy Consultation Plan Check List*). At minimum these offices include:
  - i. Academic Senate
  - ii. Campus Controller
  - iii. Campus Counsel
  - iv. Internal Audit
  - v. Labor Relations
  - vi. Policy Coordination Office (PCO)
5. CP/EVC Approval
  - a. Final documentation should include:
    - i. a cover letter to the CP/EVC requesting approval, including the reason for instituting an interim policy and additional context as needed, signed by the Responsible Officer;
    - ii. the policy (and procedures if applicable) transmittal, (see Appendix D: *Policy and Procedure Transmittal Sheet*);
    - iii. the final draft of the policy (and procedures if applicable) and all associated appendices, (see Appendix B: *Policy Template* and C: *Procedure Template*);
    - iv. the Consultation Plan Checklist, (see Appendix F: *Campus Wide Administrative Policy Consultation Plan Checklist*);
    - v. a summary of changes;
    - vi. a summary of issues/concerns; and
    - vii. other reference material such as checklists, outreach materials, training materials, signage schematics, etc.
  - b. Final documentation must be provided to the PCO at least one week prior to seeking approval from the CP/EVC. The method of submitting the final documentation will be based on the number of documents and other considerations.
  - c. The Policy Owner and the PCO will present the final documentation to the CP/EVC for approval.
  - d. All original final approval documents must be archived in the PCO Office. Copies may be provided to those who are interested.
6. Disseminate policy.
  - a. PCO: Amend campus policy website with new or revised policy and/or procedures.
  - b. Policy Owner: Draft an administrative message to notify the campus community of the interim policy and effective date with link to the policy listing on the campus wide policy website: <http://policy.ucsc.edu> -- to be reviewed and approved by PCO and PIO (see Appendix I: *Administrative Policy Announcement*).
  - c. Policy Owner: Provide outreach and training/orientation to affected parties (as appropriate).

## **E. The Policy Rescission Process**

When two or more policies are consolidated, a policy has been superseded by another policy under a new Policy Owner, or when the need to administer the activities have ceased, a policy may be rescinded.

1. The Policy Owner, working with the Responsible Officer, will determine the need to rescind a policy.
2. The Policy Owner will work the PCO to develop a consultation plan and timeline to establish stakeholder concurrence. At minimum the following offices must concur:
  - i. Academic Senate

- ii. Campus Controller
  - iii. Campus Counsel
  - iv. Internal Audit
  - v. Labor Relations
3. The Policy Owner must submit a letter to the CP/EVC announcing the rescission of the policy, including the reason for the rescission and additional context as needed, signed by the Responsible Officer.
  4. The PCO: amend the policy listing on the campus wide policy website: <http://policy.ucsc.edu>.
  5. Policy Owner: Draft an administrative message to notify the campus community of the policy rescission and effective date -- to be reviewed and approved by PCO and PIO.
  6. Policy Owner: Provide outreach and training/orientation to affected parties (as appropriate).
  7. All original documentation must be archived in the PCO Office. Copies may be provided to those who are interested.

### III. Getting Help

The PCO provides assistance on these procedures.

If you need help with ...	contact ...
the approval process or the policy and procedure formats,	the PCO, <a href="mailto:pco@ucsc.edu">pco@ucsc.edu</a> , 831-459-3411; <a href="http://policy.ucsc.edu">http://policy.ucsc.edu</a>
obtaining additional training,	the PCO, <a href="mailto:pco@ucsc.edu">pco@ucsc.edu</a> , 831-459-3411; <a href="http://policy.ucsc.edu">http://policy.ucsc.edu</a>
understanding the possible exceptions to an existing policy or procedure,	the PCO or check the <i>Applicability and Authority</i> section of the written policy or procedure for the appropriate point of contact.
finding a policy or procedure which does not appear to be documented,	the office responsible for this area (as indicated in the campus' official delegations of authority, or as implied by operational responsibility) or the PCO, <a href="mailto:pco@ucsc.edu">pco@ucsc.edu</a> , 831-459-3411; <a href="http://policy.ucsc.edu">http://policy.ucsc.edu</a>

### IV. Applicability and Authority

The *Campus Wide Administrative Policy and Procedures Approval Process* applies to Responsible Officers, Policy Owners, staff, faculty, and other individuals engaged in the formulation and approval of campus wide administrative policies and procedures.

The Office of the CP/EVC is the campus authority for the *Campus Wide Administrative Policies and Procedures Approval Process*. The Policy Coordination Office acts as coordinator on behalf of the CP/EVC on these matters.

### V. References

Related Information

[Guidance on Campus Wide Administrative Policies.](#)

UC Office of the President, Draft *Establishing and Maintaining Presidential Policies*, March 4, 2015.

Appendices

Appendix A: [University Policy Formulation, Approval, and Dissemination Process Flowchart](#)

Appendix B: [Policy Template](#)

Appendix C: [Procedure Template](#)

Appendix D: [Policy and Procedure Transmittal Sheet](#)

Appendix E: [Guide to Writing Policy and Procedure Documents, December 02, 1994.](#)

Appendix F: [Campus Wide Administrative Policy Consultation Plan Checklist](#)

Appendix G: [Sample announcement for review period](#)

Appendix H: [Consultation Plan Checklist Comment/Response and Summary Sample](#)

Appendix I: [Administrative Policy Announcement Sample](#)

Appendix J: [Technical Review Replacement Signature](#)

Appendix K: [UC Policy Style Guide](#)

