

# Guidance on Campus Wide Administrative Policy

## I. Purpose/Scope

Campus wide administrative policies affect a broad range of the campus community, either because they are of general interest or applicability, or because one division/unit establishes a set of principles that others must abide by. To ensure these policies are in support of the university's mission, in compliance with federal and state regulations and university policies, safeguard individuals, and protect university assets, all campus wide administrative policies must be reviewed. This vetting process assures a consistent and inclusive approach to policy development.

Academic Senate policies, as well as policies that divisions/units (or subdivisions thereof) establish for their own operations, are not governed by this policy. Where conflicts exist between this policy and UC policies, UC policies shall take precedence.

## II. Definitions

**Campus Wide Administrative Policy:** A written statement that meets all of the criteria set forth in section III. A. of this document.

**Delegation of Authority:** The assignment of authority and responsibility for actions and/or activities to specified campus administrators.

**Interim Policy:** A provisional policy issued when a campus wide policy is needed within a time frame too short to complete the campus wide administrative policy approval process.

**Responsible Office:** The office(s) responsible for functional oversight of the area of operations addressed within a particular policy.

**Responsible Officer:** The Principal Officer(s) who sponsors the policy, heads the Responsible Office, and has high-level oversight of the area of operations addressed within a particular policy.

**Policy Dissemination:** Dissemination of an approved policy involves two steps: (i) posting the approved policy on the campus policies and procedures website and (ii) formal communication of new or revised policy and/or operational procedures, a summary of changes, effective date, and related guidance to affected parties.

**Procedure:** A process or description of a set of steps for implementing a specific policy.

**Policy Owner:** Policy Owners are designated by the Responsible Officer to develop policy and procedures; execute the consultation plan, approval process, and dissemination; and promulgate new and revised policies. The Policy Owner serves as the subject matter expert and is responsible for interpretation and responding to questions on policies under their purview.

**Policy Promulgation:** Promulgation of an approved policy involves two steps: (i) policy dissemination and (ii) monitoring policy effectiveness and enforcement.

**Procedure Owner:** The university official responsible for the overall implementation of a particular administrative procedure within their area of functional responsibility.

**Technical Review:** Revisions to a policy which are technical in nature, such as updating a link to a website or a contact name, that do not change the substance or principles of the policy.

**Template:** A predesigned, fixed format structure used to provide guidance and facilitate easy, consistent capture of all required policy components.

### III. Detailed Statement

UC Santa Cruz formally approves, issues, and maintains a consistent format for campus wide administrative policies. The process is supported by a formal framework designed to guide Policy Owners in the timely dissemination of important governance and administrative information, and to make the information readily accessible to internal and external audiences.

The guidance in this document sets forth a formal framework for the review, formulation, documentation, approval, dissemination, monitoring of effectiveness, and enforcement of campus wide administrative policies. The framework demonstrates accountability in support of the university's mission in accordance with the public trust.

Individuals engaged in campus wide administrative policy processes must follow the framework outlined in this policy and the *Campus Wide Administrative Policy and Procedure Approval Process*.

#### A. The Framework

A campus wide policy is a written statement that meets all of the following conditions:

- a. has general applicability to members of the UC Santa Cruz campus community and is not specific to a particular division, unit/department, or office;
- b. utilizes the standard policy and/or procedure template and formatting, available on the Policy Coordination Office (PCO) website (see *Getting Help*). Longer more complex policies that cannot conform to the template may simply include the following required sections: *Purpose of the Policy, Definitions, Detailed Policy Statement, Getting Help, Applicability and Authority, Related Policies/References*;
- c. is consistent, more restrictive, or supplemental, but is not contrary to Regental or UC Office of the President (UCOP) policies, including personnel policies and collective bargaining agreements. Where policies intersect or overlap, text should be cross-referenced rather than repeated in the body of the policy;
- d. is distinct from a procedure. Whenever possible, the Policy Owner should make a distinction between policy and procedure. As a general rule, policies and procedures appear as separate documents. Campus policies state a set of directives and provide general parameters for fulfilling the intended campus objective. Campus procedures represent an implementation of policy by providing the steps and detailed guidance related to the successful and efficient performance of a particular administrative process; and
- e. has received approval by the Campus Provost/Executive Vice Chancellor (CP/EVC).

##### 1. Responsibilities of Policy Owner

###### a. Policy Development

- i. **Establishing need:** Policy Owners are accountable for identifying the need for new or revised policies, the timely review and updating of existing policies, and identifying the best method of dissemination (i.e. training, outreach, and reference materials). Policy Owners must determine whether the UCOP policies require further interpretation or procedures at the campus level.
- ii. **Plain language:** 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.
- iii. **Assigning authorities:** The authority and responsibility for actions that implement policy are assigned through formal delegations of authority documents. Policy Owners must also explicitly and formally delegate authority for exceptions to policy when allowable unless the policy specifies no exceptions. A process for resolution of conflicts must be identified, including the responsibility for final determination based on Delegation of Authority. In the absence of a formal delegation, the authorities, including exceptions, will rest with the Responsible Officer unless otherwise specified in the relevant policy.
- iv. **Ensuring compliance with existing laws and policies:** All policies should consider applicable federal, state and local laws and regulations, and system wide policies. Campus wide policies should be developed to manage risk where policy has been determined to be required, yet UCOP Policy remains unestablished.

b. **Consultation Plan**

- i. **Stakeholders/leadership:** Policy Owners must coordinate with professionals who have related expertise and/or substantive interest in the policy and/or its implementation and incorporate their comments into the policy draft.
- ii. **Required reviewing offices:** All policies are to be reviewed by the following offices:
  - a. Academic Senate
  - b. Campus Controller
  - c. Campus Counsel
  - d. Internal Audit
  - e. Labor Relations
  - f. Policy Coordination Office (PCO)
- iii. **Affected parties:** The Policy Owner must identify and consider the views of those who will be directly affected by changes in policy. Early communication with high-interest stakeholders is encouraged.
- iv. **Campus community review and comment period:** 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.

c. **Approval**

Final documentation must be provided to the PCO at least one week prior to seeking approval from the CP/EVC. The Policy Owner and the PCO will present the final documentation to the CP/EVC for approval. The CP/EVC may approve, deny, or return campus policies for further consideration and/or revision.

d. **Dissemination**

- i. **Dissemination;** Approved policies shall be formally communicated to the campus community by the Public Information Office.
- ii. **Training:** Guidance materials or classes that effectively support the components of the policy must be made readily accessible to all affected parties.
- iii. **Resources:** Supplemental resources that aid in the context or interpretation of the components of the policy must be made available to all affected parties. This includes, at a minimum, the designation of whom the user may consult with for guidance or problem resolution. These support options should be documented within the policy under the *Getting Help* section.

e. **Implementation, Promulgation**

- i. **Ongoing review and revision:** Policy Owners are responsible for ongoing review and revision of policies within areas they have been formally delegated (or for which they have been assigned) operational responsibility and must assess whether the policy is effective in meeting its intended purpose. A review should be undertaken at least once every five years or when relevant new laws, regulations, or systemwide policies emerge. Procedure Owners are responsible for communicating changes in law and/or system wide policy that may affect implementation processes.
- ii. **Interpretation:** Policy Owners and those listed in the *Getting Help* section of the policy are responsible for interpretation of the intent and implementation of the policy for both internal and external audiences.

2. **Role of the Policy Coordination Office**

The PCO assists Policy Owners in navigating campus wide administrative policy and procedure approval processes, ensures consistency and provides technical support in the writing of policies and procedures, analyzes policies in the system wide context, acts as quality control agent on behalf of the CP/EVC, and advises leadership when objectives are not being met.

The PCO is the office of record for the campus wide administrative policy and delegation of authority documents (active and inactive); and provides access to active documents on the Policy Coordination website.

3. **Technical Review**

Updates that do not change the substance or principles of the policy may be approved by the Responsible Officer. The PCO will determine if the proposed revisions meet the criteria of a technical review. If technical updates trigger substantial changes, such as the direction or scope of the policy, a full CP/EVC approval process is required.

**4. Interim Policy**

An interim policy may be approved on a case by case basis. Policy Owners seeking to develop an interim policy should meet with the PCO to identify the existing policy gap and associated risks. PCO will work with the Policy Owner to streamline the consultation plan and approval process. 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. All interim policies must be clearly marked “INTERIM POLICY:” preceding the policy name.

**5. Rescinding a Policy**

A policy that has been determined by the Policy Owner to no longer be necessary may be rescinded. Examples include when two or more policies are consolidated, when a policy has been superseded by another policy under a new Policy Owner, or when the need to administer the activity ceases. The Policy Owner must contact the PCO to develop a consultation plan and timeline to establish stakeholder concurrence.

Note: There are some policies that predate this framework, and have not completed each step of the campus wide administrative policy approval process. These policies remain official UCSC policies and in time, are expected to complete the process in order to fall into compliance.

## IV. Getting Help

The campus PCO provides training and assistance to campus units (including help with completing forms, carrying out procedures, or interpreting guidance within this document).

<b>If you need help with ...</b>	<b>contact ...</b>
questions about guidance within this document,	the PCO, 459-3411, <a href="mailto:pco@ucsc.edu">pco@ucsc.edu</a> .
obtaining templates for policies and procedures,	the PCO, 459-3411, <a href="mailto:pco@ucsc.edu">pco@ucsc.edu</a> or see the Policy Coordination website for downloadable templates <a href="http://policy.ucsc.edu/resources/index.html">http://policy.ucsc.edu/resources/index.html</a> .
additional guidance and resources,	the PCO, 459-3411, <a href="mailto:pco@ucsc.edu">pco@ucsc.edu</a> or see the Resources for Policy Writers website <a href="http://policy.ucsc.edu/resources/index.html">http://policy.ucsc.edu/resources/index.html</a> .
navigation of the policy approval process,	the PCO, 459-3411.

## V. Applicability and Authority

*Guidance on Campus Wide Administrative Policies* applies to all campus wide administrative policies and procedures and the individuals engaged in the processes leading to approval and dissemination of administrative policy.

The PCO has issued this guidance on behalf of the Office of the Chancellor and CP/EVC who are the campus authorities on campus wide administrative policies.

The CP/EVC is designated authority for resolution of conflicts and approval of exceptions to guidance outlines herein.

## VI. Related Policies/References for More Information

Related Policies and Procedures

Bylaws and Standing Orders of the Regents, Standing Order 100.6, *Duties of the Chancellors*.

#### References

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

*Presidential Policies Frequently Asked Questions*, <http://policy.ucop.edu/policy-resources/faq.html>

*University of California Policy Toolkit Policy Development Guidelines*,  
[http://ucop.edu/ethics-compliance-audit-services/\\_files/policy-toolkit/pol-guidelines.pdf](http://ucop.edu/ethics-compliance-audit-services/_files/policy-toolkit/pol-guidelines.pdf)

#### Delegation of Authority

UC Santa Cruz Delegation of Authority number SCDA-EVC0001 *Authority to Approve Campus Administrative Policies* from Chancellor to Campus Provost/Executive Vice Chancellor dated June 29, 2007,  
<http://delegations.ucsc.edu/sites/delegations.ucsc.edu/files/delegations/SCDA-EVC0001.pdf>

#### Implementation Procedures

[\*Campus Wide Administrative Policy and Procedure Approval Process\*](#)

*Guide to Writing Policy and Procedure Documents*,  
<http://policy.ucsc.edu/resources/images/GuidetoWritingPolicy.pdf>

*University of California Policy Stylebook*,  
[http://www.ucop.edu/ethics-compliance-audit-services/\\_files/policy-toolkit/pol-stylebook.pdf](http://www.ucop.edu/ethics-compliance-audit-services/_files/policy-toolkit/pol-stylebook.pdf)

