

# UNIVERSITY OF CALIFORNIA

Office of Academic Personnel and Programs

## Academic Review of Presidential Policy

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### Overview

The Office of Academic Personnel and Programs at the Office of the President manages academic review of Presidential Policy when the policy involves issues related to academic employment. Presidential policy, which is maintained separately from the APM by the Universitywide Policy office, applies to multiple employee groups in the University community, for example, staff and academic appointees and, occasionally, students. Academic Personnel and Programs determines when proposed Presidential policy requires academic review, collaborates with the respective policy owners in the Office of the President to develop and revise certain Presidential policies, and coordinates Management Consultation and Systemwide Review with the Academic Senate and Administration.

### Review

Academic Personnel and Programs staff formally circulates the proposed draft policy to solicit feedback during a) Management Consultation (optional), b) Systemwide Review (mandatory), and c) Final Review (optional). A description of these three stages of review follows below. Proposed draft policies and background material, if any, are submitted to the Academic Personnel and Programs Office no later than one week before the intended distribution of documents. Reviewers are invited to submit comments directly to the policy owner, or to the individual identified by the policy owner.

### Consultation

Policy drafts are circulated broadly to the University community according to a schedule and priority assignment determined by the Vice Provost, Academic Personnel and Programs. A description of the review stages follows below. Each stage of the review process may be repeated if necessary. Management Consultation is a voluntary, consultative process, and not mandated by University policy. Systemwide Review is mandatory. Final Review is an optional process. A list of the University offices with which policy owners are expected to consult during these stages follows on page 2.<sup>1</sup>

**Management Consultation – Optional.** Management Consultation is a voluntary internal review and consultation process with academic administrators and other interested constituents, intended to solicit general comments on the policy proposal. Although some campus administrations may circulate draft policy to local advisory groups, broad circulation of the proposal is not recommended at this point, since the goal is to obtain a general sense of the policy proposal as drafted. Academic Senate leadership is included in this stage of consultation but it is not expected that the draft policy will be disseminated broadly to divisional Senates or committees. A review by the relevant systemwide Academic Senate committees is anticipated. Management Consultation is typically a 60-day review or as long as the process requires to reach an understanding of the underlying policy principles.

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<sup>1</sup> Consultation with the Academic Planning Council (APC) is an important academic route for some Presidential policies.

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**Systemwide Review – Mandatory.** Systemwide Review is a public review distributed to select UCOP units, the Chancellors, Academic Council, LBNL Director, and ANR Vice President requesting that they inform the general University community, affected employees, and unions about the policy proposal. Generally, by the time of Systemwide review, it is clear what the final policy is likely to look like based on input from Management Consultation, when conducted. Full Academic Senate Review is mandatory. The Senate requires a three-month review period, which can sometimes be shortened, depending on the complexity of the policy and the Senate calendar.

**Final Review – Optional.** Final review is intended to advise the results of the Systemwide Review and how language has been refined. It is not anticipated that substantive matters will be raised during Final Review. This stage of consultation is intended to resolve prior discussions and to answer remaining questions. However, if Final Review does engender substantive comments and questions, the policy may be circulated for another Final Review; this is and should be rare.

### Constituents Managed by Academic Personnel and Programs

The Office of Academic Personnel and Programs distributes the proposed policy and accompanying documents to the University community as part of the standard Presidential policy development process. Other units are added to the list of consultants when relevant to the policy subject matter; the policy owner is expected to distribute the materials to those stakeholders.

#### Academic Administrators

- Chancellors
- Lawrence Berkeley National Laboratory Director
- Agricultural and Natural Resources Vice President
- Executive Vice Chancellors and Provosts
- Vice Provosts/Vice Chancellors of Academic Personnel/Academic Affairs
- Academic Personnel Directors

#### Academic Senate

- Academic Council Chair and Vice Chair
- Executive Director
- Systemwide Academic Senate Committees
- Division Academic Senates (as circulated by Academic Council leadership during Systemwide Review)

#### Office of the President

- President
- Provost and Executive Vice President
- President's Advisory Group
- Office of General Counsel
- Human Resources and Benefits
- Labor Relations
- Universitywide Policy Office

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### Policy Development Checklist

#### 1. Initiation

- Contact Academic Personnel and Programs Policy Director to discuss policy project
- Identify type of policy review, i.e., Management Consultation, Systemwide Review, or Final Review
- Prepare timeline

#### 2. Development

- Policy owner prepares draft policy in redline and clean version formats
- Policy owner prepares cover letter to be signed by policy owner's division head, indicating comment deadline (see sample Management Consultation and Systemwide Review cover letters on pages 4-5 and 6-7)
- Policy owner prepares Model Communication if circulating policy for Systemwide Review (see sample Model Communication on page 8)
- Policy owner submits all documents to Academic Personnel and Programs Policy Director

#### 3. Review

- Academic Personnel and Programs staff reviews documents and requests changes, if necessary
- Academic Personnel and Programs staff prepares cover email
- Academic Personnel and Programs staff distributes all documents to addressees and standard cc list
- Policy owner distributes all documents to any specialized or subject matter expert distribution lists
- Policy owner receives and analyzes feedback from reviewers and prepares next draft or final version

#### 4. Approval

- Policy owner submits to the Universitywide Policy Office for review by the UC Policy Advisory Committee
- If approved by the UC Policy Advisory Committee, the Universitywide Policy Office seeks approval from Office of General Counsel and Policy Steering Committee
- Assuming approvals from Office of General Counsel and Policy Steering Committee, the Universitywide Policy Office seeks approval from the President

*Contact Director Kimberly Grant  
Office of Academic Personnel and Programs  
University of California Office of the President  
[Kimberly.Grant@ucop.edu](mailto:Kimberly.Grant@ucop.edu) or telephone (510) 987-9499*

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### SAMPLE MANAGEMENT CONSULTATION COVER LETTER

[Place on unit letterhead]

[Date]

EXECUTIVE VICE CHANCELLORS/PROVOSTS  
ACADEMIC COUNCIL CHAIR [INSERT INCUMBENT NAME]  
VICE PROVOSTS/VICE CHANCELLORS – ACADEMIC AFFAIRS/ACADEMIC PERSONNEL

**Re: Management Consultation of Proposed Presidential Policy XXXXXXX**

Dear Colleagues:

Attached for Management Consultation [is new] [are proposed revisions to] Presidential Policy XXXXXXX.

[Describe context and rationale for new policy or revisions to policy. Identify policy drafters, including any committees or work groups responsible. Summarize key issues addressed in policy.]

#### **Management Consultation**

Please note that this request is for Management Consultation only. Management Consultation is a voluntary internal review and consultation process with academic administrators and other interested constituents, intended to solicit general comments about this proposal. Although some campus administrators may circulate Management Consultation policies to local advisory groups, I do not recommend broad circulation of the proposal at this point, since the goal is to obtain a general sense of the policy proposal as drafted. Academic Senate leadership is included in this stage of consultation, but we do not expect that the draft policy will be disseminated broadly to divisional Senates or committees until the next stage of review during systemwide consultation. We do anticipate a review by the relevant systemwide Academic Senate committees.

We would appreciate receiving your comments by [60 days after date of letter]. Please submit your comments to [policy owner email]. If you have any questions, please contact [policy owner at policy owner telephone number].

Sincerely,

Division Head, Responsible Office  
Title

Attachments: Presidential Policy XXXXXXX (redline and clean copy)

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### Sample Management Consultation Cover Letter

#### Page 2

cc: President  
Provost and Executive Vice President  
[Chancellors](#)  
[President's Advisory Group](#)  
Vice President (Human Resources Office)  
Vice President (Research and Graduate Studies Office)  
Vice President (Student Services Office)  
Vice Provost (Academic Personnel and Programs Office)  
Vice Provost (Diversity and Engagement Office)  
Deputy General Counsel  
[Academic Personnel Directors](#)  
Chief of Staff (President's Immediate Office)  
Deputy Compliance Officer  
Executive Director (Academic Council Office)  
Executive Director (Academic Personnel and Programs Office) Director  
(Labor Relations Office)  
Director (Human Resources Office)  
Director (Academic Personnel Policy and Programs)  
Manager (Labor Relations Office)  
Manager (Labor Relations Office)  
Academic HR Manager (Agricultural and Natural Resources Office)  
Human Resources Manager (Lawrence Berkeley Laboratory)

**(For cc list - following the title, insert last name of incumbent for non-group addressees. Groups are addressed as displayed above in blue font.)**

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### SAMPLE SYSTEMWIDE REVIEW COVER LETTER

[Place on unit letterhead]

[Date]

CHANCELLORS

ACADEMIC COUNCIL CHAIR [INSERT INCUMBENT NAME]

LABORATORY DIRECTOR [INSERT LBL INCUMBENT NAME]

ANR VICE PRESIDENT [INSERT INCUMBENT NAME]

**Re: Systemwide Review of Proposed Presidential Policy XXXXXXX**

Dear Colleagues:

Attached for Systemwide Review [is new] [are proposed revisions to] Presidential Policy XXXXXXX.

[Describe context and rationale for new policy or revisions to policy. Identify policy drafters, including any committees or work groups responsible. Summarize key issues addressed in policy.]

[Describe feedback from Management Consultation, if any. Describe consultation process and key issues addressed as a result of Management Consultation, if any.]

#### **Systemwide Review**

Systemwide Review is a public review distributed to the Chancellors, the Director, Lawrence Berkeley National Laboratory, the Chair of the Academic Council, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, affected employees, and union membership about policy proposals. Systemwide Review also includes a mandatory, three-month full Senate review. Employees should be afforded the opportunity to review and comment on the draft policy. Attached is a Model Communication which may be used to inform non-exclusively represented employees about these proposals. The Labor Relations Office at the Office of the President is responsible for informing the bargaining units representing union membership about policy proposals.

We would appreciate receiving your comments no later than [90 days after date of letter]. Please submit your comments to [policy owner's email]. If you have any questions, please contact [policy owner] at [policy owner's telephone].

Sincerely,

Division Head, Responsible Office  
Title

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### Sample Systemwide Review Cover Letter

Page 2

Attachments: Presidential Policy XXXXXX (redline and clean copy)  
Model Communication

cc: President  
Provost and Executive Vice President  
[Executive Vice Chancellors/Provosts](#)  
[President's Advisory Group](#)  
Vice President (Human Resources Office)  
Vice President (Research and Graduate Studies Office)  
Vice President (Student Services Office)  
Vice Provost (Academic Personnel and Programs Office)  
Vice Provost (Diversity and Engagement Office)  
Deputy General Counsel  
[Vice Chancellors/Vice Provosts of Academic Personnel/Academic Affairs](#)  
[Academic Personnel Directors](#)  
Chief of Staff (President's Immediate Office)  
Deputy Compliance Officer  
Executive Director (Academic Council Office)  
Executive Director (Academic Personnel and Programs Office)  
Director (Labor Relations Office)  
Director (Human Resources Office)  
Director (Academic Personnel and Programs Office)  
Manager (Labor Relations Office)  
Manager (Labor Relations Office)  
Academic HR Manager (Agriculture and Natural Resources Office)  
Human Resources Manager (Lawrence Berkeley Laboratory)

**(For cc list - following the title, insert last name of incumbent for non-group addressees. Groups are addressed as displayed above in blue font.)**

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### SAMPLE MODEL COMMUNICATION FOR SYSTEMWIDE REVIEW

#### MODEL COMMUNICATION

The Office of the President invites comments on a proposed Presidential Policy XXXXXX. The Policy is [new] [proposed to be revised] and includes the following key issues:

- Key issue #1
- Key issue #2
- Key issue #3

If you have any questions or if you wish to comment, please contact \_\_\_\_\_ at \_\_\_\_\_, no later than [insert date].