

UNIVERSITY OF CALIFORNIA

Office of Ethics, Compliance and Audit Services (ECAS)

Institutional Policy Management

August 2016

Background:

The University of California policy management process is supported by a policy infrastructure designed to foster broad and timely dissemination of important governance and administrative information, and to make the information readily accessible to internal and external audiences. The policy management framework demonstrates accountability in support of the University mission and in accordance with the public trust. The Universitywide Policy Office's (UPO) goal is to:

- To create and maintain an integrated policy framework, employing a standard template, easily accessible policy library and standard review and approval procedures for all Presidential policies;
- To create accountability for policy owners to review and maintain policies, providing regular updates 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;

Current Status

During the last fiscal year, the UPO continued to improve the Presidential Policy website, policy template and our communication with campus policy managers. We continue to review Presidential policies and assist policy owners to provide timely updates to their policies. We have integrated the Policy Advisory Committee (PAC) into the early stages of the policy drafting process, requiring policy owners to submit their policies to the PAC for vetting, prior to other review bodies, thereby allowing the PAC to provide comment and guidance at the early stages of development. The PAC continues to approve all Presidential policies before they are submitted to the Policy Steering Committee (PSC) and the President. The UPO has also:

- Developed and revised a Policy Action Form which is to be included with all policy submissions to the UPO, providing a guiding document for policy review and making sure that the correct parties are consulted;
- Expanded the Policy Advisory Committee membership to include the Academic Senate, Risk Services, and Student Affairs;
- Integrated the UPO earlier in the policy development process, as a facilitating unit, to assist and provide documents to policy owners from the onset of the policy development and review process;
- Incorporated feedback and comment into the Policy on Policies framework, this will be the guiding document for policy process;
- Continue to integrate the UPO into the policy review process, specifically during the early draft stages, as well as the early review and comment periods to reduce the need for duplicate reviews;
- Incorporated campus policy managers into the policy review process, by providing copies of draft policies to campus policy managers throughout the review process;
- Provided list of current policies to policy owners to review for update to make them current;
- Continue to provide Campus Policy Managers updates on policies in the works.

Contact: David Lane, Systemwide Deputy Compliance Officer (David.Lane@ucop.edu)
Teresa Alvarez (Teresa.Alvarez@ucop.edu)