

University of California Policy Toolkit

Policy Development Guidelines



<p>1</p>	<p>Submit a completed Policy Action Form approved by the Responsible Officer to the University Policy Office (UPO)</p> <p>The Form provides advance notice to the UPO of policies under development, revision, or potential rescission. The Form is the record of due diligence for policy consultation, review, and approval.</p> <p>If you consulted with the Office of General Counsel (OGC) before filling out the Policy Action Form, note this on the Form. The Responsible Officer (RO) must endorse the Form before the Responsible Office submits it to the UPO.</p>
<p>2</p>	<p>The UPO forwards the Policy Action Form to OGC and to Ethics and Compliance Services (ECS) for review and comment as to the appropriateness of the proposed policy action. UPO periodically sends a summary of proposed actions to members of the Policy Advisory Committee (PAC)</p>
<p>3</p>	<p>The Policy Owner (PO) receives approval from UPO to proceed, and establishes a Policy Template for the policy in SharePoint.</p> <p>Prepare the policy in Word using the outline format specified in the Template. Use “track changes” to enable reviewers to note any substantive changes to the existing policy. In the text, use <u>underlining</u> only for hyperlinked information. Use bold or <i>italics</i> for emphasis. Provide the full URL for any hyperlinked citations. Do not “right justify” text. Consider including an “internal table of contents” if the policy is more than 10 pages long.</p>
<p>4</p>	<p>The Policy Owner engages stakeholders to address the full range of concerns as drafting proceeds.</p> <p>The Policy Owner consults with stakeholder groups including functional and operational departments affected by the proposed policy (e.g., Chief Human Resources Officers, Academic Personnel Officers, Controllers, Student Affairs, finance staff, etc.), and seeks input from policy users.</p> <p>As appropriate, the PO may convene a work group to assist in developing the policy. The work group might include subject matter experts, frequent users of the proposed policy, and representatives of groups affected by the proposed policy. The Policy Owner may use the SharePoint Policy Administration System for collaboration with reviewers.</p> <p>After incorporating appropriate reviewer comments, and before forwarding the policy to the UPO, the Policy Owner may need to decide whether employee notice</p>

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	is necessary (see 5, next).
5	<p>Consult with Labor Relations or Academic Personnel If the policy subject matter affects the terms and conditions of staff or academic employment, the policy draft may undergo a one to three month (or longer) employee comment period.</p> <p>Incorporate appropriate reviewer comments.</p>
6	<p>Via email, the Policy Owner notifies the UPO that the policy is ready for formal review, and provides the draft Policy to the UPO.</p> <p>UPO will review the draft Policy for formatting, readability and “fit” within the framework of University policies.</p> <p>UPO will route the draft policy via a PAS system workflow to OGC and ECS for in-depth review and comment</p> <p>Once the Policy Owner receives comments back from OGC and ECS, he or she should incorporate reviewer comments, as appropriate.</p>
7	<p>UPO facilitates review by the Policy Advisory Committee (PAC). The PAC is responsible for reviewing the policy for clarity and alignment within the University policy framework.</p> <p>If possible, the Policy Owner should notify the UPO two weeks before the draft nears completion, so that UPO can schedule timely review.</p> <p>UPO will forward the final draft policy and the Worksheet to PAC members via the Policy Administration System workflow.</p> <p>PAC will review the policy and submit any comments on the policy to the Policy Owner through the UPO. The PO revises the policy as necessary.</p> <p>If certain issues cannot be resolved prior to the PAC meeting, the PAC may request that the Policy Owner attend the next PAC meeting.</p>
8	<p>UPO forwards the Policy Advisory Committee Recommendation to the Policy Steering Committee (PSC) via the PAS workflow</p> <p>The UPO will summarize any comments made by the PAC. If issues arise that need to be addressed by the PSC in a formal setting, the UPO will schedule an in-person PSC meeting.</p>
9	<p>Policy Approval Based on PSC approval, the UPO will submit the final policy for executive approval.</p>

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10	<p>The Policy action is communicated to the University Community</p> <p>The UPO:</p> <ul style="list-style-type: none"> • Informs the RO when the policy is approved. • Notifies the Campus Policy Managers to ensure local communication through website posting or other means. • Updates the historical policy database <p>The RO/PO distributes the policy to stakeholders.</p>
11	<p>The Responsible Officer conducts periodic reviews of the Policy</p> <p>At least every five years, the UPO will send each RO a list of policies subject to review under the Policy on Establishing and Maintaining University Policies. The RO must attest that the listed policies have been reviewed and that:</p> <p style="padding-left: 40px;">The policy content is current ~or~ the policy needs substantive content changes (“Revision”).</p> <p>At will, the Policy Owner may make minor changes that do not affect policy scope or objectives that, do not materially change the policy’s intent (e.g., clarifying terms, adding links or procedural aids, correcting spelling or punctuation, updating titles or office names). Consult with the UPO to address and record such changes.</p>

a. Exceptions to the Review Process

The PSC must approve any exceptions to the review process described in this document. Please consult with the University Policy Office about required materials.

b. Expedited Review

The President may authorize an interim policy when there is a compelling University interest to do so. You must consult with the UPO as soon as you think you will need an expedited review, and submit a completed Policy Action. Interim policies are effective for no more than 18 months from the issuance date; they must go through the formal process to be official University policy.

c. Rescinding an Existing Policy

The RO may propose to decommission a policy that has outlived its usefulness or might be more effective if combined with another policy.

1. Contact the UPO to discuss your rationale for rescinding the policy
2. Complete an Policy Action explaining why you are rescinding the policy and indicate other guidance that is available to policy users
3. Incorporate appropriate UPO comments into the Worksheet

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4. Obtain approval from the Responsible Officer via the PAS workflow.
5. Notify the UPO when the Responsible Officer has approved the Policy Action.
6. Send the final approved package to the UPO.

The UPO will consult with the PAC, and send to the PSC for final approval. If the PSC approves decommissioning, the UPO arranges its removal from the University Policy Web Site.

The UPO and the Policy Owner communicate the change in status to the University community