

Policy Actions Toolkit

The Universitywide Policy Office

From the Policy Owner Dashboard, click on “Policy Actions”

Ethics Compliance & Audit Services Admin Audit Clerks Act Committees Compliance Education & Training Export Survey HEOA Mandatory Training Policy

Policy Owner Dashboard

This dashboard contains all Policy Actions and Policies under review that are assigned to you, the Policy Owner.

Policy Actions

<input type="checkbox"/> Interim Approval Requested	Title	Action Status	Existing Policy	Policy Number	<input type="checkbox"/> Policy Owner	Reason	Request Status	Responsible Office	Approval Comments	<input type="checkbox"/> Responsible Officer	Responsible Officer Title
<input type="checkbox"/>	Establishing and Maintaining Presidential Policies	1 - New			Andrei Trifonov	Best Practice	3. Approved by Responsible Officer	EC - Ethics, Compliance & Audit Services		Linda Buffett	
<input type="checkbox"/>	Establishing and Maintaining Presidential Policies	1 - New	AM-P196-70: Payroll: Salary Attachments and Assignments		Andrei Trifonov	Best Practice	2. Submit to Responsible Officer for approval	EC - Ethics, Compliance & Audit Services		Andrei Trifonov	

[Add new item](#)

Policies Under Review

<input type="checkbox"/> Type	Name	Title	Policy Number	Policy Action	Approval Status	Responsible Officer	Responsible Office	Modified	<input type="checkbox"/> Modified By
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Approval Status : 2: In Workspace (1)

Content Editor

Published Policies

<input type="checkbox"/> Type	Name	Title	Policy Number	<input type="checkbox"/> Responsible Officer	Responsible Office	Effective Date	Modified	<input type="checkbox"/> Modified By
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There are no items to show in this view of the "Publishing Library" document library. To add a new item, click "New" or "Upload".

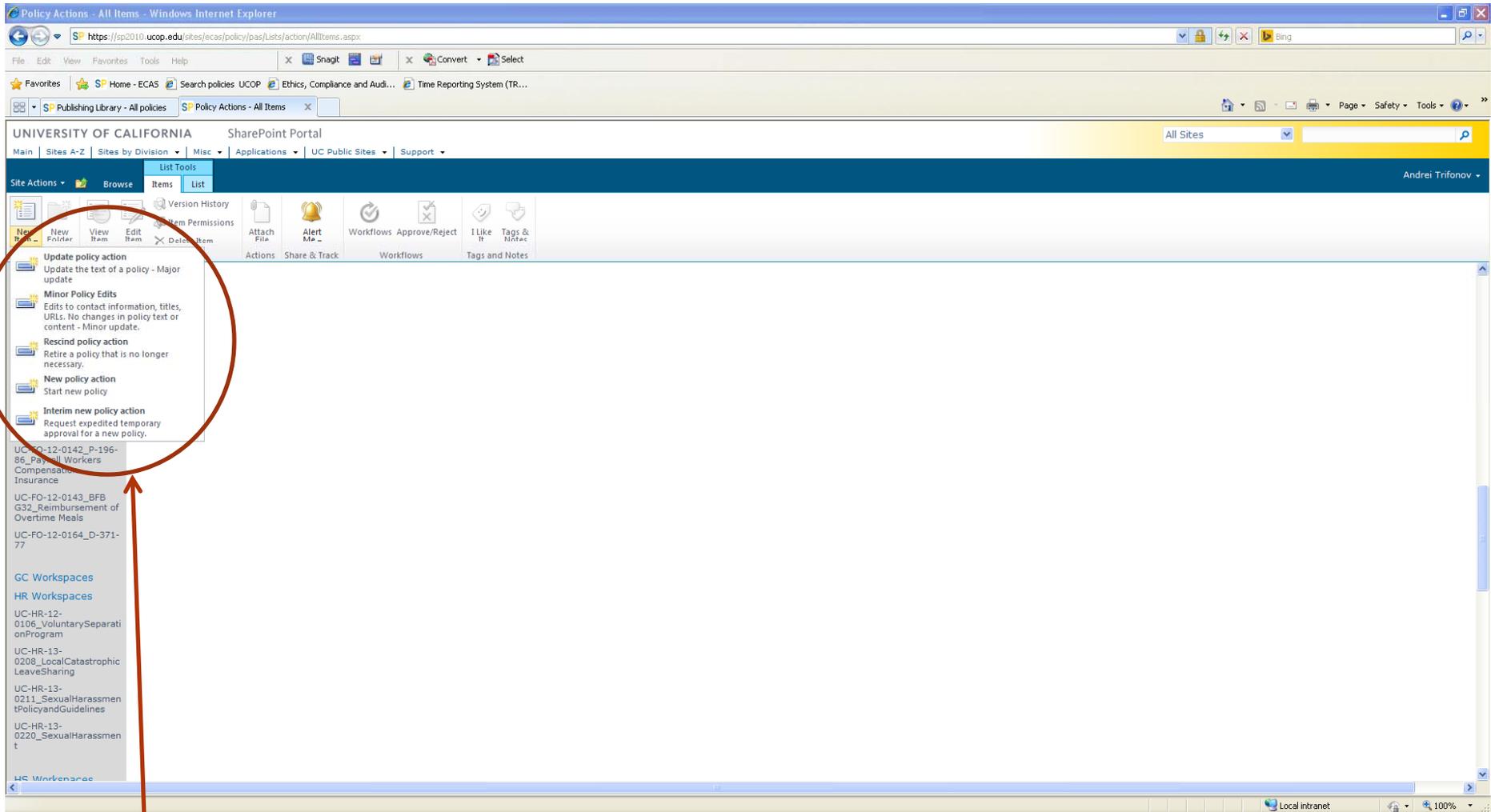
In the Policy Dashboard, you can also see the current policies which are under review, in the publishing library, or those actions which are currently in process and their status.

Version History | Item Permissions | Attach File | Alert Me | Workflows Approve/Reject | I Like It | Tags & Notes

New | Manage | Actions | Share & Track | Workflows | Tags and Notes

<input type="checkbox"/>	Interim Approval Requested	Title	Content Type	Action Status	Existing Policy	Existing Policy:Tracking Number	Existing Policy:UPO ID	Policy Number	<input type="checkbox"/> Policy Owner
		Establishing and Maintaining Presidential Policies	New policy action	1 - New					Andrei Trifonov
		Establishing and Maintaining Presidential Policies	Minor Policy Edits	1 - New	AM-P196-70: Payroll: Salary Attachments and Assignments	3410270	UC-FO-00-0267		Andrei Trifonov
+ Add new item									

Click on "Items" and this will bring up the screen you see here.



New Dropdown – Select the Action you are attempting. Each Action has different required fields. Updates allow you to select the current Policy that you are changing, speeding up the approval process.

Modify Policy Action

Make sure you fill in all 6 required fields marked with a red star, otherwise the submit button will stay grey. You may save and return at anytime. Once all the required, and necessary fields are complete, select “Submit & Close” to send an email to the RO.

You can add comments to the RO to further explain the reason for the modification request. →

The screenshot shows a web form titled "Policy Actions - New Item". The form has a top navigation bar with "Edit" and a toolbar with "Save", "Close", "Paste", and "Cut" icons. Below the toolbar are tabs for "Commit", "Clipboard", and "Views". The form fields are as follows:

- Title: Text input field with a red star icon.
- Policy Number: Text input field with a red star icon.
- Existing Policy: Text input field with a red star icon.
- Reason: A list of checkboxes: Best Practice, Federal Law/Regulation, State Law/Regulation, Minor Edits, and Regents Policy. A red star icon is next to the list.
- Description of Reason: Text input field.
- Policy Owner: Text input field with a red star icon.
- Responsible Office: Text input field with a red star icon.
- Responsible Officer Title: Text input field.
- Responsible Officer: Text input field with a red star icon.
- Additional Information to Support Proposed Action: Text input field.
- Request Status: Dropdown menu with "1. Pending" selected.
- Approve/Return Comments: Text input field.

At the bottom of the form are three buttons: "Cancel", "Save", and "Submit & Close". The "Submit & Close" button is circled in red. An arrow points from the text on the left to the "Approve/Return Comments" field.

Policy Action Form – Guide

Title	<input type="text"/>
Policy Number	<input type="text"/> Enter the Reference Number (e.g., APMxxx)
Reason	<input type="checkbox"/> Best Practice <input type="checkbox"/> Federal Law/Regulation <input type="checkbox"/> State Law/Regulation <input type="checkbox"/> Minor Edits <input type="checkbox"/> Regents Policy
Search Term(s)	<input type="text"/>
Description of Reason	<input type="text"/>
Policy Owner	<input type="text"/>   *
	Person responsible for creating or updating the policy
Responsible Office	<input type="text"/> *
Responsible Officer Title	<input type="text"/>
	The title of the responsible officer
Responsible Officer	<input type="text"/>   *
Business Unit Coordination	<input type="checkbox"/> Academic Affairs <input type="checkbox"/> Academic Personnel <input type="checkbox"/> Academic Planning, Programs & Coordination <input type="checkbox"/> Academic Senate <input type="checkbox"/> Agriculture & Natural Resources
Affected Policies or Procedures	<input type="text"/>

Policy Title

Select the option that best describes the reasoning behind the new policy

Provide at least 5 common terms that customers will normally use when searching for this policy. These should be unique, to the policy, including technical and non technical jargon.

Succinctly provide the reason for the create of the new policy

Select the PO from the address book, or type in the name and verify using the check (✓)

Select from the dropdown menu

Select the RO from the address book, or type in the name and verify using the check (✓)

Select which department(s) will be affected by the policy and will provide input during development of the policy

Describe which policies may be impacted by the new /revised policy.

Implementation Methods	<input type="checkbox"/> Procedures <input type="checkbox"/> Forms <input type="checkbox"/> Training <input checked="" type="checkbox"/> <input type="text"/>
Implementation Details	<input type="text"/>
Implementation Challenges	<input type="text"/>
Mechanisms to Ensure Compliance	<input type="text"/>
Additional Information to Support Proposed Action	<input type="text"/>
Financial Impact	<input type="text"/> Discuss the financial impact to the University
Request Status	1. Pending <input type="button" value="v"/>
Approve/Return Comments	<input type="text"/>

If the policy will require changes in procedures in order to meet the mandated actions, indicate how you plan to meet those changes and whether you anticipate any difficulties (eg. new regulations in accounting for time on projects – do you plan to train staff? Will that be difficult to accomplish Systemwide?)

How will you ensure that the policy is being followed? Track training, reporting, etc..

Please provide any additional information that would assist the review process.

Will there be any financial impact from implementing or complying with this policy? (eg. Training requirements, systems purchases)

Please describe the reason that the policy was approved/returned. What needs to be changed in order for the policy to be approved?

New or Interim Policy Action Sample

Title	<input type="text"/>
Policy Number	<input type="text"/> Enter the Reference Number (e.g., APMxxx)
Reason	<input type="checkbox"/> Best Practice <input type="checkbox"/> Federal Law/Regulation <input type="checkbox"/> State Law/Regulation <input type="checkbox"/> Minor Edits <input type="checkbox"/> Regents Policy
Search Term(s)	<input type="text"/>
Description of Reason	<input type="text"/>
Policy Owner	<input type="text"/>    *
	Person responsible for creating or updating the policy
Responsible Office	<input type="text"/> * 
Responsible Officer Title	<input type="text"/>  The title of the responsible officer
Responsible Officer	<input type="text"/>    *
Business Unit Coordination	<input type="checkbox"/> Academic Affairs <input type="checkbox"/> Academic Personnel <input type="checkbox"/> Academic Planning, Programs & Coordination <input type="checkbox"/> Academic Senate <input type="checkbox"/> Agriculture & Natural Resources
Affected Policies or Procedures	<input type="text"/>

Implementation Methods	<input type="checkbox"/> Procedures <input type="checkbox"/> Forms <input type="checkbox"/> Training <input checked="" type="checkbox"/> <input type="text"/>
Implementation Details	<input type="text"/>
Implementation Challenges	<input type="text"/>
Mechanisms to Ensure Compliance	<input type="text"/>
Additional Information to Support Proposed Action	<input type="text"/>
Financial Impact	<input type="text"/> Discuss the financial impact to the University
Request Status	1. Pending <input type="button" value="v"/>
Approve/Return Comments	<input type="text"/>
<input type="button" value="Cancel"/> <input type="button" value="Save"/> <input type="button" value="Submit & Close"/>	

Rescission or Update Policy Action Sample

Title	<input type="text"/>
Policy Number	<input type="text"/> Enter the Reference Number (e.g., APMxxx)
Existing Policy	<input type="text"/>
Reason	<input type="checkbox"/> Best Practice <input type="checkbox"/> Federal Law/Regulation <input type="checkbox"/> State Law/Regulation <input type="checkbox"/> Minor Edits <input type="checkbox"/> Regents Policy
Search Term(s)	<input type="text"/>
Description of Reason	<input type="text"/>
Policy Owner	<input type="text"/> Person responsible for creating or updating the policy
Responsible Office	<input type="text"/>
Responsible Officer Title	<input type="text"/> The title of the responsible officer
Responsible Officer	<input type="text"/>
Business Unit Coordination	<input type="checkbox"/> Academic Affairs <input type="checkbox"/> Academic Personnel <input type="checkbox"/> Academic Planning, Programs & Coordination <input type="checkbox"/> Academic Senate <input type="checkbox"/> Agriculture & Natural Resources
Affected Policies or Procedures	<input type="text"/>
Additional Information to Support Proposed Action	<input type="text"/>
Request Status	1. Pending
Approve/Return Comments	<input type="text"/>
<input type="button" value="Cancel"/> <input type="button" value="Save"/> <input type="button" value="Submit & Close"/>	

Minor Update Policy Action Sample

Title	<input type="text"/>
Policy Number	<input type="text"/> Enter the Reference Number (e.g., APMxxx)
Existing Policy	<input type="text"/>
Reason	<input type="checkbox"/> Best Practice <input type="checkbox"/> Federal Law/Regulation <input type="checkbox"/> State Law/Regulation <input type="checkbox"/> Minor Edits <input type="checkbox"/> Regents Policy
Search Term(s)	<input type="text"/>
Description of Reason	<input type="text"/>
Policy Owner	<input type="text"/>   Person responsible for creating or updating the policy
Responsible Office	<input type="text"/>  
Responsible Officer Title	<input type="text"/>  The title of the responsible officer
Responsible Officer	<input type="text"/>  
Additional Information to Support Proposed Action	<input type="text"/>
Request Status	1. Pending 
Approve/Return Comments	<input type="text"/>
<input type="button" value="Cancel"/> <input type="button" value="Save"/> <input type="button" value="Submit & Close"/>	

Once complete, the PO will hit submit, and the RO will receive this email. The RO can click the link which will take them directly to the Approval page (example on the next slide).

From: Policy Administration System (PAS) [<mailto:sharepoint@ucop.edu>]
Sent: Wednesday, April 02, 2014 4:42 PM
To: Linda Buffett
Subject: Establishing

Dear Responsible Officer,

A policy action *Establishing* requires your approval. Please click the link below to review the policy action.

<https://sp2010.ucop.edu/sites/ecas/policy/pas/Lists/action/DispForm.aspx?ID=36>

Please review the policy action and click the appropriate **Approve** or **Return** button.
If revisions are necessary, please provide comments to send to the Policy Owner Andrei Trifonov or, if no revisions are required, the approved action is forwarded to the Universitywide Policy Office.

Thanks,
Universitywide Policy Office

This is a sample RO Approval page. The RO will click on the “Edit Item,” on the top left corner, circled here in **RED**, to begin the approval. The RO can also review the item without needing to do any action, but to APPROVE, they must go to “Edit Item.”

UNIVERSITY OF CALIFORNIA SharePoint Portal

Main | Sites A-Z | Sites by Division | Misc | Applications | UC Public Sites | Support

All Sites

Andrei Trifonov

Site Actions

- Edit Item
- Alert Me
- Delete Item
- Close

Libraries

- Policy Owner Dashboard
- UPO Dashboard
- Delegations of Authority
- Publishing Dashboard
- Reviewer Dashboard
- PAS Training Site
- Rescind Policies

LISTS

- Policy Actions (APDW)
- Keywords List
- PAS Admin Script
- PAS Script
- UPO ID
- TrackingNo
- Policy Actions

LIBRARIES

- Policy Library
- Publishing Library
- Issuance Letters
- History Library
- Policy Green Room
- Delegations of Authority Library
- Reference Library

POLICY WORKSPACES

- AC Workspaces
- UC-AC-13-0193_Self-SupportingPrograms
- AP Workspaces

Title	Establishing
Policy Number	Enter the Reference Number (e.g., APMxxx)
Reason	<input checked="" type="checkbox"/> Best Practice
Description of Reason	
Policy Owner	Andrei Trifonov Person responsible for creating or updating the policy
Responsible Office	EC- Ethics, Compliance & Audit Services
Responsible Officer Title	The title of the responsible officer
Responsible Officer	Linda Buffett
Business Unit Coordination	
Affected Policies or Procedures	
Implementation Methods	
Implementation Details	

In the edit page, the RO can review the application, and make any changes that they deem necessary. The RO can also add a comment at the bottom before selecting Approve/Return. Return will send the Action back to the PO, while the “Approve” will forward the Action to the UPO for processing and notify the PO of approval.

UNIVERSITY OF CALIFORNIA SharePoint Portal

Main | Sites A-Z | Sites by Division | Misc | Applications | UC Public Sites | Support

Site Actions Edit

Current View: Responsible Officer

Libraries

- Policy Owner Dashboard
- UPO Dashboard
- Delegations of Authority
- Publishing Dashboard
- Reviewer Dashboard
- PAS Training Site
- Rescind Policies
- LISTS
- Policy Actions (APDW)
- Keywords List
- PAS Admin Script
- PAS Script
- UPO ID
- TrackingNo
- Policy Actions

LIBRARIES

- Policy Library
- Publishing Library
- Issuance Letters
- History Library
- Policy Green Room
- Delegations of Authority Library
- Reference Library

POLICY WORKSPACES

- AC Workspaces
- UC-AC-13-0193_Self-SupportingPrograms
- AP Workspaces

Title: Establishing and Maintaining Presidential Policies

Policy Number: Enter the Reference Number (e.g., APMxxx)

Existing Policy: AM-P196-70: Payroll: Salary Attachments and Assignments

Reason:

- Best Practice
- Federal Law/Regulation
- State Law/Regulation
- Minor Edits
- Regents Policy

Description of Reason:

Policy Owner: Andrei Trifonov; Person responsible for creating or updating the policy

Responsible Office: EC - Ethics, Compliance & Audit Services

Responsible Officer Title: The title of the responsible officer

Responsible Officer: Andrei Trifonov;

Additional Information to Support Proposed Action:

Request Status: 2. Submit to Responsible Officer for approval

Approve/Return Comments:

Buttons: Cancel, Save, Approve, Return

Establishing

Policy Administration System (PAS) [sharepoint@ucop.edu]

Sent: Wed 4/2/2014 4:53 PM

To: Andrei Trifonov

Dear Policy Owner,

The policy action *Establishing* has been returned to you with comments. Please click the link below to review the policy action.

<https://sp2010.ucop.edu/sites/ecas/policy/pas/Lists/action/DispForm.aspx?ID=36>

Please address the comments and resubmit to the Responsible Officer for approval.

Thanks,
Universitywide Policy Office

If the Action is returned by the RO, the PO will receive the email on the left with the link to the Action needing revision.

UNIVERSITY OF CALIFORNIA SharePoint Portal

All Sites

Main Sites A-Z Sites by Division Misc Applications UC Public Sites Support

Site Actions View



- Libraries
- Policy Owner Dashboard
- UPO Dashboard
- Delegations of Authority
- Publishing Dashboard
- Reviewer Dashboard
- PAS Training Site
- Rescind Policies
- LISTS
- Policy Actions (APDW)
- Keywords List
- PAS Admin Script
- PAS Script
- UPO ID
- TrackingNo
- Policy Actions
- LIBRARIES
- Policy Library
- Publishing Library
- Issuance Letters
- History Library
- Policy Green Room
- Delegations of Authority Library
- Reference Library
- POLICY WORKSPACES
- AC Workspaces
- UC-AC-13-0193_Self-SupportingPrograms
- AP Workspaces

Title	Establishing
Policy Number	Enter the Reference Number (e.g., APMxxx)
Reason	<input checked="" type="checkbox"/> Best Practice
Description of Reason	
Policy Owner	Andrei Trifonov Person responsible for creating or updating the policy
Responsible Office	EC- Ethics, Compliance & Audit Services
Responsible Officer Title	The title of the responsible officer
Responsible Officer	Linda Buffett
Business Unit Coordination	
Affected Policies or Procedures	
Implementation Methods	
Implementation Details	

Clicking the link will take the PO to this edit page, similar to the RO Edit page. The PO must click the "Edit Item" on the top left to make the required changes.

The PO will be able to see the comments from the RO at the bottom of the Edit page.

Once the PO has made the required changes, the PO can resubmit to Action to the RO for approval, and also add comments for the RO.

The screenshot shows a web application window titled "Policy Actions - New Item". The interface includes a top navigation bar with an "Edit" tab and a toolbar with icons for Save, Close, Paste, Copy, and Cut. Below the toolbar is a "Current View:" dropdown menu set to "Edit item". The main content area is divided into several sections:

- Procedures:** A section with a "Commit" button and a "Clipboard" icon.
- Implementation Methods:** A section with three checkboxes: "Procedures", "Forms", and "Training". A fourth checkbox is checked and has a text input field next to it.
- Implementation Details:** A text input field.
- Implementation Challenges:** A text input field.
- Mechanisms to Ensure Compliance:** A text input field.
- Additional Information to Support Proposed Action:** A text input field.
- Financial Impact:** A text input field.
- Request Status*:** A dropdown menu with "1. Pending" selected.
- Approve/Return Comments:** A text input field.

At the bottom of the form, there are three buttons: "Cancel", "Save", and "Submit & Close". The "Submit & Close" button is circled in red.

Once the Policy Action has been edited and re-submitted to the RO, the RO will receive an email asking them to review the Action. The RO can follow the link in the email for the resubmission as with the original submission.

Below is a sample email to the RO.

From: Policy Administration System (PAS) [<mailto:sharepoint@ucop.edu>]
Sent: Wednesday, April 02, 2014 4:42 PM
To: Linda Buffett
Subject: Establishing

Dear Responsible Officer,

A policy action *Establishing* requires your approval. Please click the link below to review the policy action.

<https://sp2010.ucop.edu/sites/ecas/policy/pas/Lists/action/DispForm.aspx?ID=36>

Please review the policy action and click the appropriate **Approve** or **Return** button.

If revisions are necessary, please provide comments to send to the Policy Owner Andrei Trifonov or, if no revisions are required, the approved action is forwarded to the Universitywide Policy Office.

Thanks,
Universitywide Policy Office

From the email link, the RO will need to click “Edit Item” as before. This will allow the RO to review and submit/return the Action to the PO.

The screenshot shows a SharePoint Portal interface for the University of California. The top navigation bar includes 'Main', 'Sites A-Z', 'Sites by Division', 'Misc', 'Applications', 'UC Public Sites', and 'Support'. A search bar on the right shows 'All Sites'. The user's name, 'Andrei Trifonov', is visible in the top right corner.

The 'Site Actions' menu is open, and the 'Edit Item' option is circled in red. Other options in the menu include 'Alert Me', 'Delete Item', 'Close', and 'Manage'.

The left sidebar contains a list of navigation links under various categories: Libraries, Policy Owner Dashboard, UPO Dashboard, Delegations of Authority, Publishing Dashboard, Reviewer Dashboard, PAS Training Site, Rescind Policies, LISTS, Policy Actions (APDW), Keywords List, PAS Admin Script, PAS Script, UPO ID, TrackingNo, Policy Actions, LIBRARIES, POLICY WORKSPACES, and AP Workspaces.

The main content area displays a form for creating or updating a policy item. The form fields are as follows:

Title	Establishing
Policy Number	Enter the Reference Number (e.g., APMxxx)
Reason	<input checked="" type="checkbox"/> Best Practice
Description of Reason	
Policy Owner	Andrei Trifonov Person responsible for creating or updating the policy
Responsible Office	EC- Ethics, Compliance & Audit Services
Responsible Officer Title	The title of the responsible officer
Responsible Officer	Linda Buffett
Business Unit Coordination	
Affected Policies or Procedures	
Implementation Methods	
Implementation Details	

Once the RO has reviewed the Policy Action and is satisfied, the RO can click “Approve” which will generate an email to the PO and the UPO stating that the Action has been approved.

UNIVERSITY OF CALIFORNIA SharePoint Portal

Main | Sites A-Z | Sites by Division | Misc | Applications | UC Public Sites | Support

All Sites

Site Actions | Edit

Save | Close | Paste | Copy | Cut | Delete Item

Current View: Responsible Officer

Commit | Clipboard | Actions | Views

Andrei Trifonov

Libraries

- Policy Owner Dashboard
- UPO Dashboard
- Delegations of Authority
- Publishing Dashboard
- Reviewer Dashboard
- PAS Training Site
- Rescind Policies
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- Keywords List
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- Policy Green Room
- Delegations of Authority Library
- Reference Library
- POLICY WORKSPACES
- AC Workspaces
- UC-AC-13-0193_Self-SupportingPrograms
- AP Workspaces

Title	Establishing and Maintaining Presidential Policies
Policy Number	Enter the Reference Number (e.g., APMxxx)
Existing Policy	AM-P196-70: Payroll: Salary Attachments and Assignments
Reason	<input checked="" type="checkbox"/> Best Practice <input type="checkbox"/> Federal Law/Regulation <input type="checkbox"/> State Law/Regulation <input type="checkbox"/> Minor Edits <input type="checkbox"/> Regents Policy
Description of Reason	
Policy Owner	Andrei Trifonov; Person responsible for creating or updating the policy
Responsible Office	EC- Ethics, Compliance & Audit Services
Responsible Officer Title	The title of the responsible officer
Responsible Officer	Andrei Trifonov;
Additional Information to Support Proposed Action	
Request Status	2. Submit to Responsible Officer for approval
Approve/Return Comments	

Cancel Save **Approve** Return

Once the Action is approved by the RO, the Policy Owner, and the UPO will receive an automatic email, telling them that the Policy Action has been approved. A sample notification email can be seen below.

Establishing and Maintaining Presidential Policies

Policy Administration System (PAS) [sharepoint@ucop.edu]

Sent: Wed 4/2/2014 4:59 PM

To: AUD-POLICY-SA

Cc: Andrei Trifonov; Linda Buffett

Dear Policy Owner,

The policy action *Establishing and Maintaining Presidential Policies* has been approved and forwarded to the Universitywide Policy Office for processing.

Thanks,
Universitywide Policy Office

What Happens after Policy Action Approval?

- UPO forwards the Policy Action to OGC and Compliance to ensure regulatory and legal compliance.
- UPO notifies the Policy Advisory Committee (PAC)
 - PAC provides guidance
 - Mention that another department is working on a similar policy
 - Suggest that the PO collaborate with another department or campus.