

UNIVERSITY OF CALIFORNIA

Office of Academic Personnel

Academic Personnel Manual (APM) Policy Development Process Guide

Overview

The Office of Academic Personnel at the University of California Office of the President manages the Academic Personnel Manual (APM) policy development process from inception to issuance on behalf of the Provost and Executive Vice President. The policy development process reflects the University of California's shared governance structure and its commitment to accountability and transparency. This Guide articulates the criteria that guide APM policy development and review, establishes standard procedures to insure that policies are developed, approved, and reviewed consistently, and provides a single point of reference for information related to policy development and review. The process is designed to insure that APM policies undergo comprehensive review and meet certain standards.

Presidential policy, which is maintained separately from the APM by the UC Systemwide Policy office, applies to multiple employee groups in the University community, for example, staff and academic appointees and, occasionally, students. Academic Personnel collaborates with the respective policy owners in the Office of the President to develop and revise certain Presidential policies and coordinates systemwide review with the Academic Senate and Administration.

APM Policy Development: Process

- APM policy development process should be clearly defined, transparent, and widely understood.
- APM policy development follows a standard process from drafting to review to approval.
- APM policy development is based on engagement and broad consultation. Academic Personnel solicits, analyzes, and integrates input and feedback from the Academic Senate, Administration and other stakeholders which is used to refine policy concepts and language.

APM Policy Development: Content

- Policy applies broadly across the University's ten campuses.
- Policy is reflective of best practice. Policies align with the University's mission, values, and principles. Policies provide specific direction for operations, administration, or programs.
- New policy and policy revisions are consistent with existing policy, including other APM policy, Presidential policy, Regental Bylaws, Standing Orders, and Policies, and Senate Bylaws and Regulations.
- Policy is reflective of current law. Policies are compliant with current federal and state requirements.
- Policy is written clearly. Policies are written using simple, clear, concise language that can be understood by everyone in the community, including non-subject matter experts. Policies use consistent terminology and complement each other. Specialized terms are defined.
- Policy is organized for continuity. Policies present subject matter according to the APM pre-assigned numerical format for consistency of presentation. Internal references and links should be correct.

Policy Development Process

While each policy initiative and process is slightly different, following slightly different timelines, there are five key stages involved in the policy development process: initiation, development, review, approval, and implementation and maintenance. This Guide defines and describes the elements within each of these five stages.

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The Five Stages Involved in the Policy Development Process

1. Initiation. Any member of the University community may suggest the need for new policy or revisions to existing policy by submitting a request to the Vice Provost, Academic Personnel. Issues may emerge from trends on the campuses, through federal or state legislation or regulation, changes in best practices, new mandates, or in a variety of other ways. When reviewing a request, Academic Personnel identifies the issues and then determines, in consultation with Administration and Academic Council leadership, whether a need exists for policy change. Academic Personnel conducts research and analysis of University policy history files, comparator institution policy, current campus practice, and existing policy including APM, Regental, Presidential, and Senate policy (to identify overlap). A policy consultation path and timeline are determined and a drafting team is identified, comprised of colleagues and/or constituents with subject matter expertise.

2. Development. Academic Personnel discusses policy concepts and changes with the Administration and Academic Council leadership prior to drafting and during all stages of review with the Office of General Counsel, Human Resources, Labor Relations, and the Universitywide Policy Office. Other UCOP units are consulted based on subject matter. Conceptual discussions take place with campus Academic Personnel Offices and the systemwide Senate Committees on Academic Personnel and Faculty Welfare, or others relevant to the subject matter. The drafting team prepares an initial draft, incorporating input from these discussions, benchmarking, and best practice information as appropriate.

3. Review. Academic Personnel 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 on page three. Proposed draft policies and background material are posted to the Academic Personnel website for a defined comment period. Comments are submitted to Academic Personnel, recorded, analyzed, and integrated into new draft language which is further refined based on feedback from the Vice Provost of Academic Personnel and the Provost and Executive Vice President. Decisions made during the review process are discussed with the Administration and Academic Council leadership.

4. Approval. Regental review and approval is required to revise certain policies, for example, The Faculty Code of Conduct (APM - 015), University Policy on Faculty Conduct and the Administration of Discipline (APM - 016), and the Health Sciences Compensation Plan (APM - 670). For all other policies within the APM, the Provost and Executive Vice President may approve and issue the policy immediately, revise as necessary and issue, or instruct the Office of Academic Personnel to circulate new draft language for comment if substantial revisions are required.

5. Implementation and maintenance. The Provost and Executive Vice President issues final policy to all locations, an action delegated by the President to the Provost. The Office of Academic Personnel prepares implementing guidelines and toolkits as appropriate, distributes these communications along with or following policy issuance, archives the policy development process records, and maintains the APM and all official records (see <http://www.ucop.edu/academic-personnel/academic-personnel-policy/index.html>).

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Review and Consultation

Policy drafts are circulated broadly to the University community according to a schedule and priority assignment determined by the Vice Provost, Academic Personnel. 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 a mandated procedure. Final Review is an optional process. A list of the University offices with which Academic Personnel consults during these stages follows this description.

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. There is no prescribed or required timeline for Management Consultation, which can be as short as one week, or as long as the process requires to reach an understanding of the underlying policy principles.

Systemwide Review – Mandatory. Systemwide Review is a public review distributed to the Chancellors and Executive Vice Chancellors and Provosts 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. 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.

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Constituents

The Office of Academic Personnel solicits, analyzes, and integrates comments from the University community during the consultation and review phases of policy development. Below are the offices with which Academic Personnel consults as part of the standard policy development process. Other units are added to the list of consultants when relevant to the policy subject matter.

Academic Administrators

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

Academic Senate

- Academic Council Chair and Vice Chair
- Executive Director
- Systemwide Academic Senate Committees (e.g., University Committee on Academic Personnel and University Committee on Faculty Welfare)
- Division Academic Senates (as circulated by Academic Council leadership during Systemwide Review)

Office of the President

- Provost and Executive Vice President
- Office of General Counsel
- Human Resources and Benefits
- Labor Relations
- University-wide Policy Office

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Policy Development Checklist

1. Initiation

- Identify issue(s) and concepts
- Consult with Vice Provosts of Academic Affairs, Academic Personnel Directors, and Academic Council leadership
- Conduct research and analysis of current campus practice, existing APM, Regental, Presidential, and Senate policies, comparator institution policies, and policy history files
- Assign priority, prepare timeline
- Identify drafting team

2. Development

- Discuss policy concepts with Provost and Executive Vice President, Academic Council leadership, Office of General Counsel, and as appropriate, Human Resources, Labor Relations, and other UCOP units
- Discuss policy concepts with Vice Provosts of Academic Affairs and Academic Personnel Directors
- Discuss concepts with University Committees on Academic Personnel and Faculty Welfare, or other appropriate committees
- Prepare initial draft based on feedback

3. Review

- Circulate initial draft for a) Management Consultation, b) Systemwide Review, or c) Final Review indicating comment deadline
- Follow-up with all constituents for submission of comments, including Office of General Counsel for legal compliance review
- Record and analyze comments, follow-up as necessary to respond to any questions
- Identify key items for discussion with the Provost and Executive Vice President, Vice Provosts of Academic Affairs, Academic Personnel Directors, and Academic Council leadership
- Prepare next draft or final for a) Systemwide Review, b) Final Review, or c) approval

4. Approval

- Submit to Provost and Executive Vice President for review, revisions if required, and/or issuance

5. Implementation and Maintenance*

- Prepare implementing guidelines and/or toolkit if appropriate
- Prepare for keyword search
- Issue final policy to all locations with effective date
- Archive policy review files and comments
- Post to Academic Personnel website

*Some policies require campus implementation guidelines