Campus Policy/Procedure Process

Sheryl Ireland and Viola Kinsman
Controls and Accountability
Campus Policy/Procedure Process

- **Formal Process**
  - Policies are issued by UCOP
  - Campus Policy and Procedure Coordination is in Controls & Accountability at UC Merced
  - Formalized a process for review, update and approval of administrative policies and procedures at UC Merced
  - Vice Chancellor Council approved campus process
Campus Policy/Procedure Process

■ Benefits:
  ○ Ensures Vice Chancellors are aware of emerging policies and procedures in their respective areas
  ○ Identifies responsible parties, stakeholders and approvals needed
  ○ Allows for tracking through the process so things won’t fall through the cracks
  ○ Enables risk based and timely review and update
  ○ Helps close the loop on implementation and communication
Department identifies the need for a new or revised policy/procedure and discusses with the Responsible Official. Policy Contact in the Department completes the Policy/Procedure Development Worksheet, signed by the Responsible Official.

Worksheet is submitted to Policy Coordination, who works with the Policy Contact on the draft policy/procedure.

If required, Policy Coordination posts the new or revised policy for 30 days and solicits comments from the campus. If there are additional changes after the commenting period, the revised policy is sent back to Policy Coordination for review.

Policy Coordination determines approval route.

If no further approvals are necessary, Policy Coordination posts the policy/procedure on Policy website.

VC Council approval if policy/procedure has a campus-wide impact on multiple units.

Campus Counsel approval if policy/procedure has legal implications.
Campus Policy/Procedure Process

Key Responsibilities Include:

- **Policy Contact**: The Policy Contact is the author of the policy and the main point of contact for Policy Coordination.

- **Responsible Office**: The Responsible Office is the office responsible for the policy/procedure.

- **Responsible Official**: The Responsible Official is the head of the Responsible Office at the Vice Chancellor level and above.

- **Vice Chancellor’s Council**: The Vice Chancellor’s Council reviews and approves new and revised policies/procedures with campuswide impact.

- **Administrative Policy Coordination**: Policy Coordination works with the Policy Contact on the development, approval, and dissemination of the policy/procedure.
Campus Policy/Procedure Process

Steps for New and Revised Policy/Procedure Approvals

- Step 1: Department identifies the need for a new or revised policy/procedure
  - The department:
    - Identifies a Policy Contact who will author the policy and be the main point of contact for Policy Coordination
    - Coordinates with the Responsible Official who will sponsor the policy/procedure
    - Coordinates with all stakeholders involved in or impacted by the policy/procedure
Campus Policy/Procedure Process

Steps for New and Revised Policy/Procedure Approvals

- Step 2: Policy Contact works with Policy Coordination early in the development of the policy/procedure
  - The Policy Contact completes the Administrative Policy and Procedure Development Worksheet to provide general information about the policy/procedure
  - The Policy Contact obtains signatures on the Worksheet from all Responsible Officials sponsoring the policy/procedure
Campus Policy/Procedure Process

Steps for New and Revised Policy/Procedure Approvals

- Step 3: Policy Contact drafts the new or revised policy/procedure
  - Using the **UCM Policy/Procedure Template** as a guide, the Policy Contact writes the revised or new policy/procedure
  - The draft policy/procedure is vetted with all stakeholders and comments are incorporated into the draft document
  - The draft policy/procedure is forwarded to Policy Coordination once it is ready for approval
Campus Policy/Procedure Process

Steps for New and Revised Policy/Procedure Approvals

■ Step 4: Policy Coordination determines the appropriate approval route

○ If there are legal implications or notice requirements, Policy Coordination routes the policy/procedure to Campus Counsel for review

○ If approval is necessary, the Responsible Official(s) sponsoring the policy/procedure takes it to the Vice Chancellor Council for review and approval

○ After approval, the policy/procedure is posted to the Policy website and key stakeholders are notified
Campus Policy/Procedure Process

Policy/Procedure Review and Update

- On a three year cycle, policies and procedures will be reviewed by Policy Coordination and Responsible Offices to ensure all policies/procedures are kept up-to-date and accurate.