

University Policy and Procedure Formulation, Approval, and Dissemination

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Introduction

Among the principles for transforming administration articulated by the 1992 UC Transition Team Task Force on Administrative Systems was that administrative decision-making should be localized. Over the past several years the campus has been actively examining its decision-making processes with an objective of locating decision-making authority at the lowest appropriate levels. To ensure that such changes are linked to an appropriate accountability structure, responsible agents must be identified and information pertinent to decisions needs to be laterally shared and widely accessible. When combined with the campus' efforts to streamline administrative processes to adapt to reduced resources, to reduce paperwork, and to eliminate redundancy, the Policies and Procedures Team concluded that improvements in the campus' process for documenting policies, procedures, and delegations of authority were desirable.

Components of an effective policy and procedures framework include

- a) the need for clear authority for policy formulation (e.g., campus delegations of authority);
- b) guidance concerning the responsibilities of policy owners and how policy is formulated, approved and disseminated;
- c) and the selection of an office responsible for the coordination of campus policies and for setting standards.

This report of the Team addresses each of these issues.

This report recommends adoption of specific definitions for campus policy and a process for policy formulation and approval that provides clarity about who has the authority to make decisions; about the policy makers' accountability for the review, updating, and dissemination of policies in their functional area; and about the consultation process.

The report also recommends implementation of a campus policy and procedures manual using readily-available on-line technologies that are already being utilized on campus. Such on-line access to policies and procedure information is a prerequisite to achieving the campus' goal of providing the tools needed to effectively move decision-making to more appropriate levels within the campus' organization and to streamline its processes. In addition, through consultation with those involved in the process redesign training effort, the team found that these same electronic tools will provide a vehicle for employees to access training materials and detailed procedural instructions via a consistent, easy-to-use format.

The team felt strongly that the function of policy formulation, approval, and dissemination is so important to achieving the campus' re-design objectives that the specific resources should be identified to support a coordinating office function. The team recommends that this function be closely allied with the Chancellor's Office to provide it with the independence, status, and authority required to make this function successful.

For those who do not have the time to read through the full text of this report, a complete listing of the specific Team recommendations is summarized in the following section.

Summary of Recommendations

The Policies and Procedures Team makes the following recommendations which apply not only to UC Santa Cruz administrative policy but also to the larger set of administrative and academic procedures and guidelines which have until now been indistinguishable from policies. We believe that improvements in clarity, consultation, dissemination, and access are possible and desirable in all such documents.

1. Adopt the proposed definition of *UC Santa Cruz Policy*, including those specific individuals or groups who have the authority to issue policy
2. Bring current the campus' delegations of authority, make these listings (along with the full text of delegation letters) easily available, and keep it up-to-date so that the campus community has ready access to information about who is responsible for campus policy.
3. Adopt the proposed policy on *UC Santa Cruz Policy Formulation and Approval* which specifies the authority under which policy is developed, specifies policy owner accountability, and affirms the policy makers' obligation to identify those who will be directly affected by new or revised policies and to consider their views in the early policy development discussions. Adopt the *Policy Implementation Procedure* outlined in this report as the initial procedure under which campus policy is formulated and assign responsibility for this procedure to the Chancellor's Office.
4. Adopt the proposed policy on *UC Santa Cruz Procedure Formulation and Approval* which sets forth the authority under which procedures are developed, specifies procedure owner accountability, outlines the process by which new or revised procedures are developed and approved, and affirms the policy makers' obligation to ensure that their procedures adhere to the principles of and achieve the objectives for campus process re-design, including the principles of incorporating "customer voice."
5. Designate policy and/or procedure "experts" (identified in each policy or procedure document) readily available to departmental administrators and faculty to interpret policies and to resolve problems.
6. Develop a modular *on-line* approach to policy and procedure documentation that clearly separates policies from procedures. Individuals should be able to select the documents they need, rather than having to maintain large multi-subject manuals. Issue new or revised policies in a format that includes specific components, is written in simple language, and is easy to cite. In particular, this report makes specific recommendations (i.e., provides templates and guidelines) for the components of and layout of policy, procedure, and policy roadmap documents; adopt these templates and assign responsibility for maintaining the standards for such documentation to the Chancellor's Office.
7. Place UC Santa Cruz Policy documents, UC Santa Cruz Procedure documents, and the policies and procedures inventory/database in a computer system accessible on demand to all faculty, staff, and students, with good searching tools; commit to maintain the system. This report makes specific software recommendations for the implementation of that system which should be submitted to campus standards groups for review.
8. Adopt a policy that the unit managers is responsible for ensuring that their employees have access to UC Santa Cruz policies and procedures.

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9. Designate (and identify the appropriate resources for) a policy coordinating office and a policy coordinator to maintain the policy and procedures manual and database, and to coordinate the update of all UC Santa Cruz policies. That office (and individual) should be closely linked to the Chancellor's Office.
10. Enhance staff educational materials and/or training to include information about locating and implementing UC Santa Cruz policies.

Definition of Policy and Procedure Terms

Concepts:

As part of its “access to information” project, UC Santa Cruz needs an inventory of and convenient access to the current body of policy and procedure documents. The team feels that improvements in clarity, consultation, dissemination, and access are possible and desirable in all such documents. In order to develop and to classify the items in that inventory, however, several definitions are needed.

- *Policy Definition.* Note that UC Santa Cruz policy consists of both “inherited” (from the University of California system) and locally-developed (campus only) policy. The campus has the authority to develop policies specific to UC Santa Cruz that are not addressed by systemwide University of California policies or that supplement but are not contrary to those systemwide policies. In some cases, broad areas of policy development are delegated to the Chancellors of individual UC campuses.

Policy users need clarification on what is required (i.e., policy) vs. what is recommended (i.e., guidelines). An approved definition of what constitutes UC Santa Cruz policy can also assist redesign teams in distinguishing between actual campus requirements and the existing body of standard practices. In addition, giving the set of UC Santa Cruz policies a special status and clear executive authority could enhance adherence.

The following definition (which encompasses both campus-specific and systemwide policy) is designed to provide this clarification and to set the boundary conditions on what needs to be included in the campuswide policies and procedures manual. The Policies and Procedures Team recommends its adoption.

Definition of a UC Santa Cruz Policy

A University policy is defined as a written statement that meets all of the following conditions:

1. It has general applicability to members of the University community and is not specific to a particular division, department/board, or office.
2. It
 - addresses basic values of the University, or
 - supports the teaching, research, and public service mission of the University, or
 - promotes efficient operations, or
 - ensures compliance with laws or regulations, or
 - reduces institutional risks.
3. It mandates or constrains certain actions, and may contain specific requirements for compliance.
4. It requires formal approval by the highest executive or academic authorities of the institution:
 - The Board of Regents, or
 - the Office of the President, or
 - the Chancellor’s Office, or
 - an officer of the University specifically designated by the President or Chancellor, or
 - the Academic Senate.

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In some cases, exceptions to UC Santa Cruz policy are granted for special circumstances (often for a limited time). It is important to recognize that such exceptions apply only to the special cases cited in the exception and do not establish new policy.

- *Policy-making authority.* In addition to those campuswide policy documents which will be tracked in the Policies and Procedures Manual, individual campus units will need to develop their own local policies and procedures. The characteristics which distinguish a “local” (e.g., departmental) from a “campuswide” UC Santa Cruz policy are included in the following definition. The Policies and Procedures Team recommends its adoption.

Policy Making Authority of Other Units

Divisions, departments/boards, and offices have the authority to make local policies that are specific to their unit regarding subjects that:

- are not addressed by University policies; or
- supplement but are not contrary to University policies.

Prior to issuing local policy, the unit must consult with the University policy authority in that functional area.

Note that this definition parallels the distinction between systemwide UC policy and that developed locally to apply to UC Santa Cruz only.

- *Policies vs. procedures.* The terms “policies,” “procedures,” and “guidelines” are used in this document. Policies reflect the “rules” governing the implementation of the campus processes. Procedures (or guidelines), on the other hand, represent an implementation of policy and should evolve over time as new tools emerge, new processes are designed, and the risks associated with an area changes in response to internal or external environmental changes.
- *Policy makers/Delegation of Authority.* Campus policy users typically “shop around” for answers to their policy questions. To help minimize the opportunity for conflicting policy answers, one component of a effective policies and procedures infrastructure is a mechanism of identifying the office (or officer) responsible for a particular policy area.

Within UC, this is accomplished partly through a series of delegations of authority. Delegation of authority letters assign authority and responsibility for actions and/or activities to specified campus administrators. Alternatively, authority will rest with the unit which has been assigned operational responsibility for an area.

Thus, access to an up-to-date index to campus delegations is key component of the campus’ “access to information” and process redesign efforts. Fortunately, UC Irvine has just completed a project to update and simplify their delegations of authority on which UC Santa Cruz can base its effort.

Policy and Procedure Formulation and Approval

Objectives: The Team proposes that the following objectives guide the development of a policy and procedure framework. Policies and procedures should:

- Clarify who has the authority to make decisions on specific topics and establish specific steps a policy maker must follow to develop a new or revise an existing policy.
- Be formulated and revised in consultation with those who are affected by a policy or procedure (although ultimately the policy/procedure owner makes the decision and is held accountable for it). Specifically, affirm policy makers' obligation to identify those who will be directly affected by new or revised policies and to include their views in early policy development discussions.
- Affirm policy owners' authority and accountability for the review, updating, and dissemination of policies in their functional area.
- Not conflict with existing University (i.e., campus and University-wide) policies.
- Be clearly written, state a rationale for the policy, and identify who to contact for clarification or further information.

Concepts/Discussion:

- *Existing policies and procedures.* The Policies and Procedures Team observed a number of characteristics associated with our existing set of policies and procedures. Among them:
 - There is some confusion among members of the campus community about what is and is not a required University policy, and about who can issue policy.
 - People do not want more policies—what they want is more clarity about who has the authority to make decisions on specific topics.

The team concluded that improvements in the clarity of, consultation concerning, and dissemination and access to University policies are both possible and desirable. The principles articulated in this policy statement attempt to address the issue of policy formulation and approval.

- *Policies and Procedures Infrastructure.* To help minimize the opportunity for conflicting policy answers, the Policies and Procedures Team also identified a number of additional components needed for an effective policies and procedures infrastructure:
 - *Clear authority for policy formulation.* One component is a mechanism for identifying the office (or officer) responsible for a particular policy area. Within UC, this is accomplished partly through a series of delegations of authority. Delegation of authority letters assign authority and responsibility for actions and/or activities to specified campus administrators. In the absence of specific delegations, authority will rest with the unit which has been assigned operational responsibility for an area. Thus, access to an up-to-date index to campus delegations is key component of the campus' "access to information" and process redesign efforts.

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- *Guidance concerning responsibilities and process.* A second component is clear guidance concerning the responsibilities of policy makers and guidance on how campus policy is formulated, approved, and disseminated.
- *Coordination of campus policies.* A third component is the identification of an office responsible for coordination of campus policy. While the Policies and Procedures Team endorses a model in which individual policy makers must accept accountability for the review, updating, and dissemination of policies in their functional area, there is still the need to designate an individual (or a team) with responsibility for maintaining the policy (and procedures) inventory (and database) and coordinate the update of all University policies. Providing all policy makers with a central consulting resource in the Coordinating Office, will help ensure the clarity of language, consistency of approval process, and technical support. Such a central coordinating office could also act as a conscience to policy makers by monitoring up-to-dateness of documents, and could be conduit for policy improvement suggestions.
- *Policy maker accountability/Consensus vs. consultation.* Policy makers must be accountable for the timely review, updating, and dissemination of policies in their functional area. In a campus environment where decision-making has traditionally been by consensus, it is very likely that interest groups will continue to express concerns that they were not adequately consulted about policies changes. The campus is too large to operate entirely by consensus. Therefore, it is recommended that we move explicitly toward a model in which policy makers take responsibility for identifying those who will be directly affected by new or revised policies and for considering their views in early policy development discussions.
- *Clarity of policy documents.* Policy and procedure documents are often not clearly written and, given the flood of information (e.g., manuals and memos), it is not always clear what is important or who to go to for more information. In order to ensure completeness and consistency of information, it is recommended that the campus adopt a standard format for campus policies. This standard format should include specific components and all campus policies should be re-issued in this format. While it is difficult to quantify the improved efficiency that would result from requiring clear language and a standardized set of information in policy documents, it is anticipated to be considerable. Cost avoidance would come from the heightened ability of users to get the answers they need. Increased understanding of policies should also result in higher levels of compliance.
- *Characteristics of good procedures.* As noted earlier, procedures (or guidelines) represent an implementation of policy and should evolve over time as new tools emerge, new processes are designed, and the risks associated with an area changes in response to internal or external environmental changes. In some sense, they represent a standard that enables individuals to work together as a team more efficiently. A number of characteristics are associated with good procedures:
 - *Procedures are tied to campus policies.* The relationship between policies and procedures needs to be documented for the procedures to be understood and accepted. How the procedures helps the campus achieve its goals or strategic plan help users understand the need for following the recommended steps and help make procedures understandable and thus acceptable.
 - *Procedures are developed with the customer/user in mind.* Good procedures are ones that provide benefits to the customer/user of that procedure. It is difficult to get enthusiastic about following a procedure for which an individual cannot determine whether there is any benefit. Even worse, if the individual perceives that the procedure is an impediment to progress, compliance becomes more difficult.

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- *There is a sense of ownership among users.* This concept of ownership is predicated on the assumption that people will be most willing to follow that which they believe they have developed or owned; i.e., to the extent possible, the individuals who must follow the procedures should be involved in the development of campus procedures. One can state this concept even more strongly, because they participated in the development, they own the procedure and thus are obligated to comply with it.
- *The procedures are understandable.* Procedures should be written so that what needs to be done can be easily followed. In the recommended template for procedures, the Policies and Procedures Team recommend a number of characteristics and styles designed to enhance clarity and readability.
- *When feasible, procedures should offer the user options.* Procedures which are unnecessarily restrictive may limit their usefulness. The more individuals are restricted in the use of available facilities, tools, processes, etc., the less creative ability they can bring to their jobs. On the other hand, conformance to specific, albeit restrictive, procedures may also enhance an individual's ability to exchange information with their colleagues thus enhancing their effectiveness.

In addition to documenting the procedure, the procedure owner should develop support and training options, if appropriate, for the customers/users who are attempting to adhere to their procedure. If units have neither the skills nor the support resources, then compliance will be problematic.

Risks and Assumptions:

- In developing these recommendations, the Policies and Procedures Team made a number of assumptions:
 - Those individuals and units who are assigned responsibilities as policy-owners (either through specific delegations of authority or because they are assigned operational responsibility for an area) will acquire the skills/expertise to develop and document effective policy. Similarly, procedure-owners will acquire the skills to develop and document effective procedures which adhere to the administrative process redesign principles articulated by the campus.
 - Policy (and procedures) owners will allocate the necessary resources to review, update, document, and disseminate policies (and/or procedures) on a timely basis.
 - Policies and procedures will be written in clear, unambiguous language so that the campus' goal to make widely accessible information pertinent to decisions can be achieved.
 - The information technology and training support infrastructure articulated during the 1993-94 Computing Resource Planning and Policy Committee discussions will be implemented in such a way that the tools envisioned by these recommendations are readily available and easy to use.
- The Team recognizes the following risks:
 - These risks closely parallel the assumptions: That policy (and procedure) owners do not take their role seriously enough to devote the resources needed to develop and document effective policy (and procedures). That the campus' information technology and training support infrastructure is not implemented as currently envisioned.

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As a safeguard against these risks, the Team envisions the Policy Coordinating Office acting in a quality control role, providing consulting/training to policy (and procedure) owners, and advising management when objectives for the formulation, approval, and dissemination are not being met. Although envisioned as a last resort, there may also be times when the Policy Coordinating Office may be asked by the Chancellor to help develop policy on behalf of a policy owner when delays are causing a hardship for campus units.

Furthermore, the Team recognizes a practical aspect of manual development—especially during a start-up period or in an environment in which significant new processes are introduced—where there is a need to have fairly rapid access to procedural guidance. Thus the desire to have carefully developed, fully thought out procedures must be balanced against the need to get something out quickly so that individuals and units have the guidance they need. In such cases, it might be more practical to issue procedures in draft form and simultaneously solicit user comments on potential improvements and changes.

Recommended Policy Statements:

- “*Policy on Policies.*” The following policy statement pertains to the formulation and approval of UC Santa Cruz policies, and outlines who has authority to approve policies, who is accountable for review, updates, and dissemination of policy, and who must be consulted in developing new policies or revising existing policies.

UC Santa Cruz Policy Formulation and Approval

Campus administrative policy (i.e., University policy) is a written statement which sets forth courses of action, provides administrative direction, and consists of regulations or processes which are applicable campuswide and which the Chancellor deems appropriate to assure the orderly and effective functioning of the campus. The Office of the Chancellor is the office of record for all campus administrative policies and for delegations of authority.

- *Policy Authority/Delegation of Authority.* Delegation of authority letters assign authority and responsibility for actions and/or activities to specified campus administrators. In the absence of a specific delegation, authority will rest with the unit which has been assigned operational responsibility for an area.
- *Accountability.* Policy makers are accountable for the timely review, updating, and dissemination of policies in their functional area.
- *Consultation.* When developing new policy or revising existing policy, policy makers have an obligation to identify those who will be directly affected by new or revised policies and to consider their views in early policy development discussions.

Unit policy is a local (e.g., departmental) policy applicable only to members of that unit. Unit policy may not be contrary to campus policy. Similarly campus policy may not be contrary to Presidential or Regental policy. (See the definitions section of this policy statement for additional information.)

- “*Policy on Procedures.*” The following policy statement pertains to the formulation and approval of UC Santa Cruz procedures, and outlines who has authority to approve procedures, who is accountable for review, updates, and dissemination of procedures, and who must be consulted in developing new procedures or revising existing procedures.

UC Santa Cruz Procedure Formulation and Approval

Campus administrative procedure (i.e., University procedure) is a written statement which describes how to implement UC Santa Cruz policy. It represents the “how to” documentation which guides individuals and units as they perform administrative tasks needed for the orderly and effective functioning of the campus.

- *Procedure Authority.* Delegation of authority letters assign authority and responsibility for actions and/or activities to specified campus administrators. In the absence of a specific delegation, authority will rest with the unit which has been assigned operational responsibility for an area.
- *Accountability.* Procedure owners are accountable for the timely review, updating, and dissemination of procedures in their functional area. They are also responsible for developing training, if applicable, in the use of their procedures.
- *Consultation/Process Re-design Principles.* When developing new procedures or revising existing procedures, procedure owners have an obligation to identify those who will be directly affected by new or revised policies and to consider their views in early procedure development discussions. They must also ensure that their procedures adhere to the principles of and achieve the objectives for campus process re-design.

Unit procedure is a local (e.g., departmental) procedure applicable only to members of that unit. Unit procedures may not be contrary to campus policy or procedures.

Authority for these two policies should rest with the Office of the Chancellor.

Recommended Procedures for Policy Development:

- *Consultation with the Policy Coordinating Office.* There are a number of points in the policy formulation and approval process where the Policy Coordinating Office can provide useful assistance to the policy owner:
 - *Help the policy owner research the policy context.* While the policy owner is expected to develop not only a broad understanding of how the elements of policy for which they are responsible fit into the campus’ overall organization, mission, goals, and objectives, but also considerable expertise in the technical considerations associated with their specific policy areas, the Policy Coordinating Office—as custodian of the campus’ approved policies—can provide a larger campuswide or systemwide perspective.
 - *Help the policy owner identify affected parties and recommend groups or committees which should be a part of the formal review process.* Because the Policy Coordinating Office will have a record of the approval process for similar or related policies, they will be able to advise the policy owner concerning review and consultation issues. In fact, the Policy Coordinating Office will develop lists of standard reviewers for specific types of policy areas (e.g., all items with budgetary implications would be reviewed by Planning and Budget; or policy issues are routed to the Internal Auditor for review of risk assessment). However, notwithstanding this assistance from the Policy Coordinating Office, the policy owner still must accept responsibility (and be

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accountable) for ensuring that those affected by a policy are consulted and that the appropriate groups are part of the formal review process.¹

- *Maintain the standards for policy and procedure layouts, language, and formatting.* As custodian of the campus' approved policies and procedures, the Policy Coordinating Office has responsibility for setting these standards² and can assist the policy owner in converting their documents to the standard format. Further, the Policy Coordinating Office assists the policy owner by checking final draft for clarity and readability.
- *Maintain the campus' electronic policies and procedures manual and database.* Approved policies are submitted to the Policy Coordinating Office for posting to the electronic manual. In addition, the Policy Coordinating Office maintains a policy and procedure database showing the status of all policies and procedures along with other pertinent information (e.g., about the review process for each policy).

Note, however, that while responsibility and authority (and therefore accountability) is clearly vested in the policy owner, close consultation with the Policy Coordinating Office is not only useful but expected.

- *Designation of policy experts.* The Policies and Procedures Team recommends that there be designated policy "experts" (identified in each policy document) readily available to faculty and departmental administrators to interpret policies and to resolve problems. Similarly, there should be procedure "experts" associated with each campus procedure. (In some cases, it may be necessary to identify more than one person or office.)

Lacking information on which office to call, users typically "shop around" for answers to policy questions. Identifying a single office in the policy document should limit the opportunities for conflicting answers. It should also result in the following benefits:

- Less time spent on the telephone (or using email) to locate a person to whom a question can be addressed.
- Fewer errors caused by bad advice.
- More consistent answers.

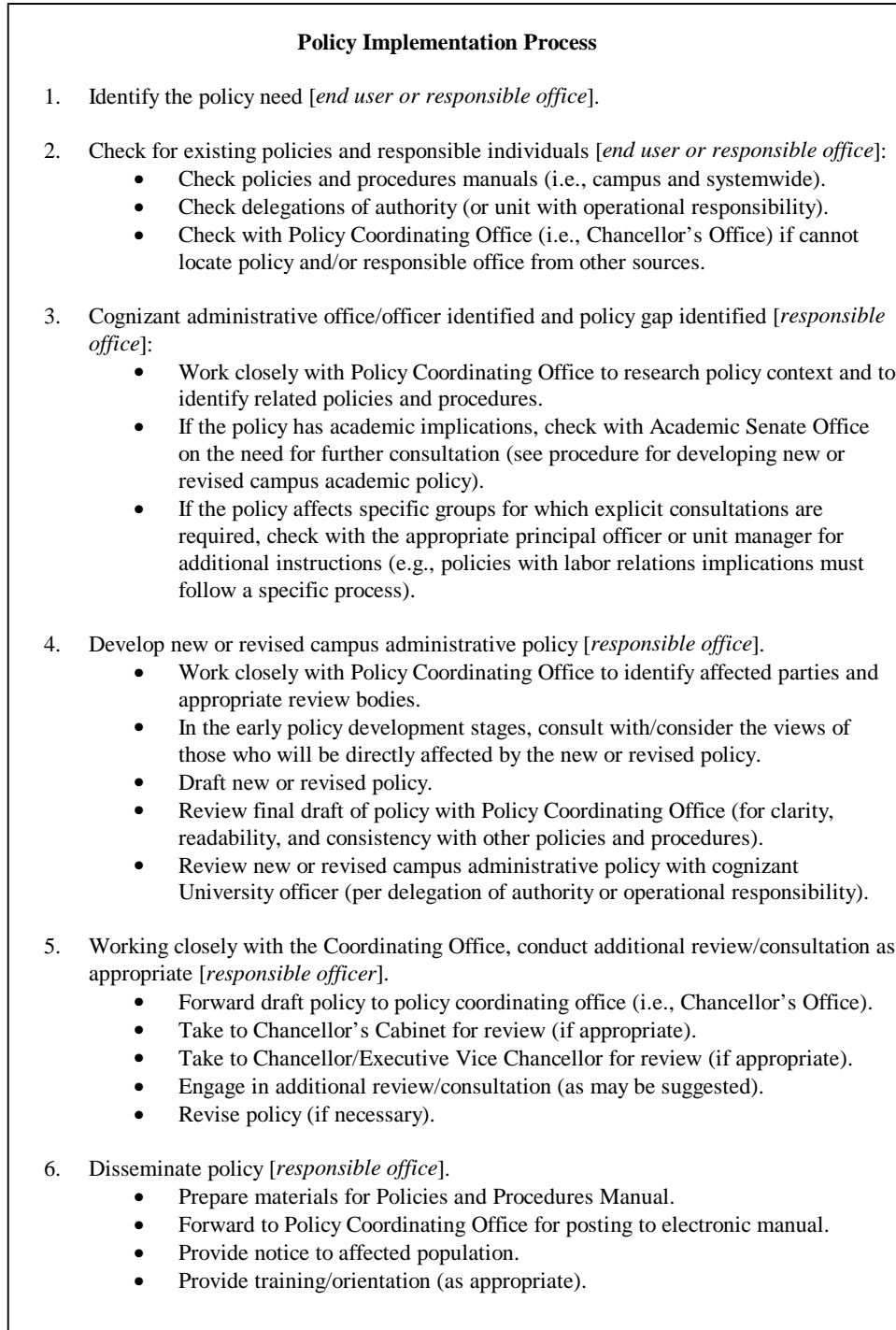
In some cases, the staff of the cognizant office may require additional training in the policy and its implementation. However, their time spent at the front end should pay off in fewer errors and frustrations. Policy makers should therefore be responsible for ensuring that the staff in the cognizant office provide accurate and consistent answers to policy and procedure questions. Generally, these "experts" will work at the level in their organizations that makes them familiar with operational issues. Access (via telephone or email) to a senior person who can make decisions in complicated situations is essential.

¹ I.e., when the policy owner is delegated responsibility for a policy area, they must develop the expertise needed to formulate sound policy in that area.

² See policy on standards setting. In a process similar to setting policy, those who develop standards must identify and consult with affected users, provide training, etc.

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- *Implementation of new or revised policy.* The following series of general steps outline a recommended procedure for policy owners to use in developing a new or revised campus administrative policy.



These process steps are illustrated in the following diagram/flow chart.

Procedure Implementation Process

1. Identify the procedure need [*end user or responsible office*].
2. Check for existing policies, procedures, and responsible individuals [*end user or responsible office*]:
 - Check policies and procedures manuals (i.e., campus and systemwide).
 - Check delegations of authority (or unit with operational responsibility).
 - Check with Policy Coordinating Office (i.e., Chancellor's Office) if cannot locate procedure and/or responsible office from other sources.
3. Cognizant administrative office/officer identified and need for procedure identified [*responsible office*]:
 - Work closely with Policy Coordinating Office to research policy context and to identify related policies and procedures.
 - If the procedure requires the development of new policies, follow the steps in the policy formulation and approval process.
4. Develop new or revised campus administrative procedure [*responsible office*].
 - In the early procedure development stages, consult with/consider the views of those who will be directly affected by the new or revised procedure.
 - Review the principles and objectives for campus process re-design and ensure that they are achieved as new or revised procedures are developed.
 - Review new or revised campus administrative procedure with cognizant University officer (per delegation of authority or operational responsibility).
5. Conduct additional review/consultation as appropriate [*responsible officer*].
 - As appropriate consult with policy coordinating office (i.e., Chancellor's Office).
 - Engage in additional review/consultation (as may be suggested).
 - Revise procedure (if necessary).
6. Disseminate procedure [*responsible office*].
 - Prepare training program for new or revised procedures.
 - Prepare materials for Policies and Procedures Manual.
 - Forward to Policy Coordinating Office for posting to electronic manual.
 - Provide notice to affected population.
 - Hold training workshops/orientation (as appropriate).

In step three of this process, one might run into the situation in which there is a need to issue an operational procedure before the policies governing that procedures have been fully formulated or approved. In such cases, it is recommended that the procedure owner get an initial "buy in" from the policy owner on the draft policy and then issue procedure guidance in draft (subject to change) form. If there is no clear policy owner, such initial "buy in" should be sought from the Chancellor's Office.

Policy and Procedure Dissemination/On-Line Manual

Objectives: In this section, the Team provides background information concerning and makes recommendations intended to achieve the following policy dissemination objectives:

- Ensure that individuals have convenient access to up-to-date policies when they need them.
- Have designated policy “experts” (identified in each policy document) readily available to department administrators and faculty to interpret policies and to resolve problems.
- Create and maintain appropriate, flexible University distribution lists usable for both on-line and paper (as appropriate) dissemination of policies and procedures.
- Place the campus’ and the University’s policy and procedure documents (and appropriate sections of the policies and procedure database/inventory) in a computer system (along with good searching tools) accessible on demand to all faculty, staff, and students and commit to maintaining that system.
- Adopt a modular approach to policy and procedure documentation. People should be able to select the (on-line or paper) documentation they need, rather than having to maintain large multi-subject manuals.
- Commit to incorporating the software tools needed to access this system into the campus desktop standards (i.e., for Macintosh, Windows, and Unix workstations) which are supported and integrated into the campus’ training and support infrastructure.
- Issue new or revised policies (or procedures) in a format that includes specific components, is written in simple language, is easy to cite, and has a headline banner identifying them as University Policies (or Procedures).

Concepts/Discussion:

- *Existing policies and procedures infrastructure.* The team observed a number of characteristics associated with our existing methods of distributing policies and procedures:
 - There are too many manuals and loose memos—an information flood. People don’t know what’s important. Policy manuals that do exist are not always kept up-to-date.
 - People cannot always find policies when they need them (although the recent work at the Office of the President to load key University-wide documents on *Gopher* has helped significantly).
 - Policy users do not always get prompt, consistent, and accurate answers when trying to resolve policy problems.
 - Those directly affected do not always receive new or revised policies (and procedures).

The principles articulated in this document attempt to address these concerns.

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- *Modular, easily accessible policies and procedures.* A modular, on-line approach to policy and procedure documentation permits individuals to select the on-line documentation they need (or to print paper copies if this is more convenient for them) without having to maintain their own filing system of policies and procedures. Not only should this eliminate a significant amount of non-value-added duplicative work across campus, but it will also ensure that all members of the campus community have equal (and consistent) access to policy and procedure information. Such access should help ensure that policy users get prompt, consistent, accurate answers when trying to resolve policy problems.

(Note: It is also recommended that, to the extent possible, on-line documentation should be accessible from within on-line transaction systems.)

- *Policies vs. procedures.* The terms “policies,” “procedures,” and “guidelines” are used in this document. In the discussion of an on-line policies and procedures manual, however, it is recommended that—as a general rule—policies and procedures appear as separate documents in the manual. Why is it important to separate the discussion of policies and procedures? Policies reflect the “rules” governing the implementation of the campus processes. Procedures, on the other hand, represent an implementation of policy and should evolve over time as new tools emerge, new processes are designed, and the risks associated with an area changes in response to internal or external environmental changes. (In fact, there is an expectation that individuals will “challenge” outdated procedures and call them to the attention of their owners.) The team feels that this separation will assist the redesign teams in distinguishing between actual University requirements and the existing body of standard practices.

One of the recommendations of the team is that the campus’ policies and procedures be placed on-line. However, as the technology advances, entire manuals of all sorts will be placed on-line. Therefore, making a distinction between what in this body of information is University policy and what is not becomes very important.

In summary, the team recommends a specific format for University policies which, for example, clearly designates them as such. A less structured format for University procedures is also provided and it is recommended that procedures be issued separately from policies (although they should be available via the same on-line interface) in order to clarify what is required (policy) vs. how that policy is implemented (in procedures) at Santa Cruz.

- *Characteristics of good policies manual section.* From a review of best practices at a number of other institutions, several characteristics appear to be associated with good policy write-ups.
 - The presentation is succinct with a minimum of verbiage.
 - Policies are written in clear, simple language.
 - The presentation is structured so that the user can quickly focus to the aspect of policy relevant to their decision (i.e., the detailed policy statement, exactly who the policy applies to, who is the policy authority, etc.).
- *Characteristics of good procedures manual section.* From a review of best practices at a number of other institutions, several characteristics appear to be associated with good procedure (e.g., “how to” or “instructional”) write-ups.

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- The presentation is succinct with a minimum of verbiage.
- It is well-organized by function.
- It contains references to policy.
- It gives an overview/purpose for each procedure.
- It is designed to be used as a reference by the end-user.
- It has a flexible, modular design making it easy to update (and therefore kept up-to-date).

Some of the best examples made generous use of white space and graphics (e.g., icons, computer “screen shots” or forms displays) to enhance clarity and readability. For example, Stanford University used icons such as the following to guide readers to the information they needed:



The “important” icon highlights a critical piece of information that, if overlooked, could cause an error; the “tip” icon points to suggestions for handling a form or procedure more efficiently; the “policy” icon quickly guides the reader to specific sections of the policy manual; and the “help” icon points the reader to information they need such as training classes, other source documents, and the phone numbers of departments or individuals who can provide assistance. Other icons used at Stanford include an “exception” icon points the reader to a way of doing something that is an exception to the general rule and a description of *why* it is an exception; a “definitions” icon that explains key terms; and the “example” icon that highlights a specific example of an activity, a document, etc.

In addition to using the “definitions” icon to draw attention to the definition of a special term, it is suggested that a highlight or special font be used to identify such new terms (for which definitions are available) throughout the document (so that the reader is aware that they can look in the definitions section of the policy or procedure statement for more information). If the policy or procedure was developed as a hypertext document, the user could then click on the highlighted word in order to see its definition.

- *Policy inventory and database.* As noted earlier, policy users want clarification of what is required (i.e., policy) vs. what is recommended (i.e., guidelines or procedures). In that it will take some time to implement a fully on-line policy and procedures manual as envisioned in this document, an early deliverable in this effort might be an inventory or database (i.e., at a minimum a list) of the current body of policies and procedures. Further, by codifying the University’s policies, the Inventory will help reduce confusion (i.e., all relevant data about policies is in one place) and may make policy more aware of their own sets of policies and the need to update them.

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- *Components of University policies.* In order to meet a number of the concerns articulated above, it is recommended that as new or revised policies and procedures are issued on campus, that they be formatted to include the following components:

| Components of Campus Policies | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Campus policies will be written in clear, simple language. They will use a paragraph numbering system that permits them to be cited easily. All administrative campus policy documents will include the required components listed below, in the order shown. Academic policy documents may also follow this format, if their content lends itself to this approach, or may be summarized in this format.</p> | |
| 1. Headline banner | <p><i>UC Santa Cruz Policy</i>, the policy title, issuing date, and an identification block which includes: Policy number, Page Number, Effective Date, “Supersedes” notification, Office of Origin, and Policy Approval Authority. The Policy Number and Page Number would appear on all subsequent pages; the footer of each page should repeat the Issuing Date and the Policy Title.</p> <p><i>Note:</i> The policy title should be carefully selected so that it is simple and clearly conveys the policy’s content.</p> |
| 2. Purpose of the policy/ Policy statement | <p>A <i>concise</i> statement of the rationale for the policy, including if appropriate, reference to external regulations, further policy discussion, etc. Summary (one paragraph) clearly stating the important policy content.</p> |
| 3. Detailed policy statement | <p>Complete policy statement. If the effective date is different from the issuing date in the headline banner, and then an appropriate discussion of when the policy applies should be included with the policy statement.</p> |
| 4. Applicability | <p>Exactly who the policy applies to and the consequences for non-compliance, if applicable.</p> |
| 5. Definitions | <p>Definitions of terms (as needed).</p> |
| 6. Cognizant office(s)/ Getting Help | <p>The office and specific individual position title (with telephone number and electronic mail address, as appropriate) that should be contacted for interpretations, resolution of problems, and special situations.</p> |
| 7. Policy authority | <p>The highest administrative or academic officer or group authorizing the policy.³ If appropriate, one might also note the next required review date.</p> |
| 8. Related policies/ References for more information | <p>Information about related policies or procedures, guidelines, forms, etc. Give complete references and ensure that documents cited are readily available (i.e., either as widely distributed manuals such as the Business and Finance Bulletins, Accounting Manual, Contracts and Grants Manual; or available in the on-line campus Policies and Procedure Manuals). If needed, provide additional background discussion here.</p> |
| 9. Implementation procedures | <p>Reference to detailed procedures that are recommended in order to carry out the intent of the policy. It is recommended that a similar structured format for <i>UC Santa Cruz Procedures</i> be employed.</p> |

³ In addition, the Policy Coordinating Office should keep a record of other reviewing bodies along with a record of those individuals/units who are directly affected by the policies and should be consulted when the policy is revised.

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The content and style of some academic policies may not lend themselves to a standard format and components. Where this is the case, it is recommended that a summary in component format could be useful (with a reference to the full academic policy document).

- *Components of University procedures.* In order to meet a number of the concerns articulated above, it is recommended that as new or revised policies and procedures are issued on campus, that they be formatted to include the following components:

| Components of Campus Procedures | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Campus procedures will be written in clear, simple language. They will use a consistent format using standard language and icons so as to become an easy-to-use reference and training tool for both academic and staff employees.</p> | |
| Headline banner | <p><i>UC Santa Cruz Procedure</i>, the procedure title, issuing date, and an identification block which includes: Procedure number, Page Number, Effective Date, “Supersedes” notification, Office of Origin, and Procedure Approval Authority. The Procedure Number and Page Number would appear on all subsequent pages; the footer of each page should repeat the Issuing Date and the Procedure Title.</p> <p><i>Note:</i> The procedure title should be carefully selected so that it is simple and clearly conveys the procedure’s content.</p> |
| Overview/procedure description | <p>Describes the overall objectives, functions, or tasks that the procedure is designed to accomplish and the circumstances under which the procedure should be used.</p> |
| Areas of responsibility | <p>Lists departments, units, offices, and individual job titles for those who have responsibility for aspects of daily control and coordination of the procedure, authority to approve exceptions to the procedure (if applicable), and procedural implementation (including responsibility for any required electronic or written forms). Sets forth the scope of such department’s, unit’s, office’s, or individual’s responsibilities under the procedure, the procedural areas subject to discretionary modification (if any), and the responsibility for implementation.</p> |
| References | <p>UC Santa Cruz policies (i.e., University-wide and campus-specific), federal and state laws and regulations, or other references directly applicable to the procedure.</p> |
| Procedure | <p>Using an approach which is customized to the subject (i.e., can be a statement in outline format of each step required, a checklist of what needs to be done, an explanation of how to complete the necessary forms or screens—including copies of the forms or screens, or an appropriate combination of techniques), provide the reader with the necessary procedural and “how to” information. Included in this section should be definitions of unique terms or terms subject to different interpretation and copies of all forms needed to complete the procedure. A transaction flow chart might also be included in this section.</p> |
| Help page | <p>A table which points users to training programs, classes, University offices, other University documentation, telephone numbers, and other sources of help completing forms or carrying out procedures.</p> |

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- *Structured vs. free form presentation of policies and procedures.* Note that a very structured template is recommended for policies while a more informal template is recommended for procedures. Policy presentations are structured so that the user can quickly focus to the aspect of policy relevant to their decision. The less structured format for procedures permit the owner/author to customize the document using presentation techniques that are specific to the procedure. Note however, that an overall standard style that makes consistent use of language and icons is recommended for ease of use.
- *“Policy Roadmap” Template.* Unlike many of the other non-UC campuses contacted, policies which affect the UC Santa Cruz community will reside in multiple locations (e.g., in our own on-line policies and procedures manual, on the UC Office of the President gopher server, in paper-only documents, etc.). In that the campus does not want to duplicate electronic manuals available elsewhere (but rather provide references or electronic links to such resources), the Team recommends that a “roadmap” template (in addition to the “policy” template and the “procedure” template) be designed for use in the campus’ electronic manual.

Given the number of different resources for policy and procedure information and the different indexing methods used by these resources, this new template is recommended in order to ensure that end-users are provided rapid, consistent access to the specific policy and procedure documents they need to complete their work regardless of where they are located. For selected, often used areas for which there is no campus-specific policy, the “policy roadmap” would provide a listing of appropriate policies and/or procedures which the user should consult in order to get the information they need to complete a task/make a decision. In addition the template would guide the user to appropriate on-campus resources for help and assistance. Because this information has been pre-compiled (and appropriately indexed), queries to the electronic manual will guide each user to the same base of information.

- *Paper vs. On-line Documentation.* As the team developed plans for an on-line policy and procedures manual, it became clear that it would be better if the document layout were redesigned to make them easier to view on a computer screen. Incorporating a required set of components (as outlined above) was one aspect of this redesign. In addition, it should be easy to print the (fully formatted, graphic) manual pages if the end-user is more comfortable using paper (than a video display) when referring to policies and procedures documents.

A one-time effort will be needed to design an effective layout for campus policy and procedure documents. Particular attention will be paid to readability on-line, as opposed to the traditional 8½-by 11-inch page, and to the need to support both on-line and paper environments for some time. Once developed, a template can be made available to policy and procedure writers. Sample policies and procedures written in the formats suggested in this section are available for review as are the “best practices” examples from other institutions. Responsibility for setting the standards for policy and procedure documents should be vested in the Policy Coordinating Office.

Several institutions have taken a dual approach to their policies and procedures manuals—providing the information in electronic form for those who had the desire and capability for access such media and in 3-ring binders for those who did not. Given the campus-wide effort over the past few years to completely re-wire campus offices for high-speed network connections and the investment being made in campus-standard workstations, the Policies and Procedures Team recommends that the campus proceed with the implementation of an electronic-only manual. We believe the at number of efficiencies will be achieved by taking this course of action (e.g., elimination of manual printing and

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distribution costs, elimination of effort within the departments keeping 3-ring binders up-to-date, etc.). Those department who require paper copies of the manual can print their own.

- *Tools for a campus On-Line Policies and Procedures Manual.* The Policies and Procedures Team recommends that the campus adopt a technology approach that uses readily-available hardware and software solutions that are already being utilized on campus (i.e., World Wide Web servers and various multimedia document readers). In selecting these tools, the Team considered the following objectives:
 - *From end-user perspective:*
 - easy/intuitive to use;
 - ability to display/view text, graphics, multimedia;
 - ability to download forms (with the capability of future EDI⁴ possibilities);
 - ability to print documents (with full formatting);
 - ability to do searches.
 - *From policy and procedure creator perspective:*
 - easy to create documents with text, graphics, multimedia;
 - ability to use familiar tools (e.g., word processor, spreadsheet, page layout software, etc.);
 - simple, streamlined procedure for converting existing documents to a common electronic file format;
 - ability to create links/hot buttons.
 - *From a support perspective:*
 - works on campus-standard Mac, DOS/Windows, and Unix workstation platforms;
 - low cost so that software components can be incorporated into desktop standard (i.e., no barriers to use);
 - incorporate solution into campus workstation standards so that
 - tools not unique to policy and procedure manual (i.e., other campus document distribution efforts are using the same tools);
 - support available from CATS help-desk, etc.

In order to be integrated into the campus' information technology support infrastructure, the recommended solution must be compatible with the campus' existing hardware/software standards. The tools recommended by the Team require the following workstation components (which are already part of or are easily incorporated into the campus' standard configuration):

- Network ready workstation (i.e., 68020 or greater Macintosh, 386 or greater DOS/Windows 3.1, or Open Windows/Motif Unix)
- Connection to the campus network using TCP/IP protocol (i.e., MacTCP, Winsock Version 1.1 TCP/IP stack, Unix TCP/IP).

⁴ EDI (electronic data interchange) permits the user to fill out on-screen forms and then transmit them to another department (usually through some electronic mail/messaging transport) for automatic incorporation into a database. At some point, the campus may wish to consider permitting individuals to fill out the forms contained in the manual sections and simply submit them to the appropriate office via electronic mail.

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- Web reader such as *Mosaic* or *Netscape* (available for all three campus-standard platforms at no charge via anonymous FTP from NCSA @ *ftp.ncsa.uiuc.edu* and Mosaic Communications Corporation @ *ftp.mcom.com*, respectively) or one of the other shareware or commercially supported products.
- Portable document reader (e.g., PDF) such as Adobe Acrobat 2.0 (available for all three campus-standard platforms at no cost via anonymous FTP from Adobe @ *ftp.adobe.com*). For offices that need to *create* PDF documents, either Acrobat 2.0 (\$49.00, allows one to “print” PDF files from common applications such as word processors and spreadsheets, build in navigational links, also provides additional search capabilities over the reader) or Acrobat Pro 2.0 (\$149.00, in addition provides the capability of converting PostScript files into PDF files) must be acquired.

Among the alternatives considered when making its recommendation, were the use of gopher (or gopher+) rather than a Web/HTTP server. This alternative was rejected for ease-of-use considerations. Alternative document formats included ASCII text; commonly used application formats, e.g., PostScript, Microsoft Word, Microsoft Excel; and native use of HTML formats. These alternatives were rejected for reasons of flexibility, consistency across platforms, and ease of creating documents. Finally, several portable document formatters were considered (i.e., Adobe “Acrobat”, No Hands “Common Ground”, WordPerfect/Novell “Envoy”, and Farallon “Replica”). The Adobe product was selected because it appeared easiest to use, was available on all campus-standard platforms, and because the readers were available at no cost.

The Team recommends that, if its overall recommendations are accepted, these recommended software components be submitted to CATS standards-setting process and that the CATS Information Resource Center prepare setup/training material for computing coordinators.

Recommended policy:

- *Unit manager accountability to ensure employee access to policies and procedures.* Although the campus has invested significant resources to completely re-wire campus offices for high-speed network connections and to develop campus-standard workstations capable of on-line access to information such as campus policies and procedures, not all employees have access to such a workstation. If managers choose not to provide the facilities for their employees to access campus policies and procedures electronically, then they must take responsibility for ensuring access in some other form (e.g., paper).

The Policies and Procedures Team recommends that the campus adopt a policy which holds unit managers for ensuring that their employees have access to UC Santa Cruz policies and procedures.

Staffing/Organizational Recommendations

Objectives: In this section, the Team provides background information concerning and makes recommendations intended to achieve the following objectives:

- Develop an appropriate coordination function to ensure consistency and proper consultation on institution-wide operational implications associated with new or revised administrative policies.
 - That function should be independent in order to permit it to render impartial and unbiased judgments essential to the coordination of campuswide, cross-functional policies.
 - That function should set the standards for the policies and procedures manual, provide training and consultation to preparers of policies and procedures, and act as a quality-control agent to ensure that the objectives of the campus' policies and procedures manual are being achieved.
- Provide sufficient core staffing to ensure that the campus' policies and procedures manuals are maintained and updated.

Concepts/Discussion:

- *Need for a coordinating function.* Earlier in this report, the Team identified a several campuswide coordinating functions that are currently not being addressed effectively. Among these is the need for a central consulting/training resource to ensure clarity/consistency of language, consistency of the approval process, and technical support for policy development. In addition, the maintenance of policy records (i.e., of approved delegations and policies) along with tracking the progress of policy revisions and the maintenance of the campus' electronic policies and procedures manual and database is viewed by the Team as functions that are appropriately handled in a centralized fashion.

An on-line system will make it possible to implement a modular approach to policy and procedure documentation; and, because accountability for keeping policies up-to-date rests with policy makers, it will also increase the need for policy maker involvement. Providing all policy makers with a central consulting resource in the Coordinating Office, however, will help ensure the clarity of language, consistency of approval process, and technical support in moving to an on-line environment.

Thus, while the Policies and Procedures Team endorses a model in which individual policy makers must accept accountability for the review, updating, and dissemination of policies in their functional area, there is still the need to designate an individual (or a team) with responsibility for maintaining the policy (and procedures) inventory (and database) and coordinating the update of all University policies. This individual (or team), for example, might also undertake functions similar to a more traditional "Policies and Procedures Manual" editor, acting as a resource to policy makers.

- *Link to the Chancellor's Office.* The Chancellor's Office (and specifically at Santa Cruz, the Executive Assistant to the Chancellor) is responsible for coordination of campus policy. The Policies and Procedures Team saw a number of benefits to affiliating closely a Policy Coordinating Office with the Chancellor's Office. Among them,

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- Policies and procedures (and the content of the campus' electronic manual) will span a number of functional areas (e.g., administrative, student services, academic, etc.) and the one office which perceived to take the broadest campuswide perspective is the Chancellor's Office. In fact, it was felt that in some legal contexts⁵ since the Chancellor is ultimately responsible for campus policy, having at least a "dotted line" reporting relationship between the Policy Coordinating Office and the Chancellor's Office was appropriate.
- Because of the cross functional nature of campus delegations, policies, and procedures, it is important that the Policy Coordinating Office has the "clout" to act as a conscience to policy makers by monitoring up-to-dateness of documents and be a conduit for policy improvement suggestions. If policy conflicts arise between different segments of the campus, the Chancellor's Office can also be viewed as the ultimate impartial party.

At other UC campuses, responsibility for the policies and procedures manual resides either in the Chancellor's Office or the Administrative Vice Chancellor's Office. However for the reasons stated above, the Team recommends that at Santa Cruz, the function remain with the Chancellor's Office. It is important to note, however, that while responsibility for the policy function might remain with the Chancellor's Office, operational responsibility for maintaining the on-line manual could be shared. In such a model, the Vice Chancellor for Business and Administrative Services might oversee the maintenance of the manual on behalf of the Chancellor's Office.

Based upon a review of policy and procedure operations at comparable institutions, the Team felt that to maintain the consistency, timeliness, and appropriate cross-indexing of the electronic manual; to develop standards for policies and procedures documents; and to provide the consultation and training needed to permit decentralized development of policies and procedures, a central coordinating office will need to devote approximately two full-time equivalent staff to this effort on an on-going basis. In addition, given that this area has been neglected for so long, a one-time resource allocation to bring the campus' delegations, policies, and procedures up-to-date (and to convert them to an electronic format) is recommended.

The Team notes that the campus is currently exposed to some risk (including financial risk) by not having its policies and procedures up-to-date and documented. Given the current state of this area, it is recommended that management adopt some solution immediately. The Team felt that the recommendations of this report provide a good starting point for the standardization of campus policy formulation, approval, and dissemination processes.⁶

- *Employee training and development.* It is recommended that staff educational materials and/or training to include information about locating and implementing University policies. In this area, the Policy Coordinating Office could act as liaison with those involved with the employee development program. With appropriate training, the campus should achieve efficiencies, and individuals should make fewer errors caused by bad advice and should receive more consistent answers.

⁵ For example, not following campus policy is analogous to "breaking" the law. If policies are perceived to be under the purview of a specific vice chancellor, then employees not reporting to that vice chancellor might argue (unsuccessfully) that the policies did not apply to them. Even so, there is some symbolic benefit to having a direct link to the Chancellor's Office.

⁶ Accordingly, in a parallel effort, a more detailed description of job duties (including job descriptions) and appropriate levels of staffing (both one-time and on-going) is being proposed by the Vice Chancellor for Business and Administrative Services (where this policy and procedures manual maintenance function currently resides).

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