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# Campus Policy on Policies

(Policy MSC-0001)

## I. Purpose/Scope of the Policy

This policy sets forth a process for the formulation, documentation, review, approval, and promulgation of campus policies. The goal is to promote effectiveness of campus operating policies, ensure compliance with federal and state regulations and University policies, safeguard individuals, and protect University assets. Campus policies affect a broad range of the campus community either because they are of general interest or applicability, or because one division/unit establishes a set of principles that other divisions/units must abide by.

Academic Senate policies, as well as policies that divisions/units (or subdivisions thereof) establish for their own operations, are not governed by this policy. Where conflicts exist between this policy and UC policies, UC policies shall take precedence.

## II. Definitions

**Delegation of Authority.** Delegation of authority documents assign authority and responsibility for actions and/or activities to specified campus administrators. Alternatively, in the absence of a formal delegation, authority will rest with the unit assigned operational responsibility for an area.

**Owner.** Individual assigned responsibility for a policy area through a delegation of authority. Typically, a policy owner is a manager assigned responsibility by their vice chancellor.

**Policy Dissemination.** Dissemination of an approved policy involves two steps: (i) posting the approved policy on the campus' Policies and Procedures Web Site and (ii) formally communicating to those affected by the policy of its existence. This latter step can be satisfied by transmitting a brief but formal memorandum (either via paper or via approved electronic means) to the affected parties referencing the on-line documentation.

**Principal Officer.** Individual delegated responsibility for developing policy or operational procedure by means of a formal delegation of authority from the Chancellor; in the absence of a formal delegation, authority will rest with the individual assigned operational responsibility for an area.

**Procedure.** A process or description of a set of steps that implements policy.

**Template.** A predesigned, fixed format structure used to provide guidance and facilitate easy, consistent capture of all required policy components.

## III. Detailed Policy Statement

Individuals responsible for developing, approving, interpreting, publicizing, or maintaining campus policies must comply with the following:

### A. General Provisions

1. **Campus Policy.** A written statement that meets all of the following conditions:

- a. General applicability to members of the UCSC campus community and is not specific to a particular division, department/unit, or office.

- b. Purpose:
  - i. addresses basic values of the University;
  - ii. supports the teaching, research, and public service mission of the University;
  - iii. promotes efficient operations;
  - iv. ensures compliance with laws or regulations; and/or
  - v. reduces institutional risk.
- c. Mandates or constrains certain actions, and may contain specific requirements for compliance.
- d. Requires formal approval by the highest executive or academic authorities of the institution.
- e. Are more restrictive or supplement but are not contrary to University policies, including personnel policies and collective bargaining agreements.
- f. Are consistent with existing policy. Owners must ensure that new or revised policies are consistent with existing University policies, laws, regulations, and systemwide directives provided by The Regents or the University of California Office of the President.
- g. Adhere to the principles of and achieve the objectives for campus process redesign— ensuring that each campus process “adds value” to the services delivered.

## 2. Authority.

- a. The **Chancellor** retains ultimate authority for campus policies.
- b. The **Campus Provost and Executive Vice Chancellor (CPEVC)** approves, denies, or returns campus policies for further review or revision.
- c. **Vice Chancellors** and **Vice Provosts** sponsor campus policies within their functional area and ensure policies are reviewed by appropriate campus constituents. Additionally, they approve, deny, or return for further review / revision campus policies generated by their functional area.

## B. Responsibilities of Policy Owners

- 1. Policy “owners” are accountable for the timely review, updating, and dissemination of policies within their functional area.
- 2. Assignment of responsibility for policies is accomplished through delegations of authority.
- 3. Campus policies may be more restrictive than University Regental or Presidential policy, but not more permissive.
- 4. Policy “owners” ensure campus policies within their functional area are consistent with University policy and federal and state laws and regulations.
- 5. Specific responsibilities of policy owners include:
  - a. *Consultation and Review*
    - i. *Identification.* Within respective functional areas divisions are responsible for the identification of policy need to:
      - a. Address a campus specific risk;

- b. Determine whether the Office of the President (OP) policies require further interpretation or procedures at the campus level; and/or
  - c. Develop campus policies in areas where to manage risk policies are determined to be required, yet OP has been silent.
- ii. *Affected parties.* When developing new or revising existing policies “owners” must identify and consider the views of those who will be directly affected by such changes. The Policy Coordination Office (PCO) is available to assist the “owner” to develop an appropriate consultation plan.
  - iii. *Resolution.* When developing new or revising existing policies “owners” must explicitly delegate authority for policy exceptions when allowable and identify a process for resolution of conflicts; specifically, detailing responsibility for final determination based on Delegation of Authority. Unless the policy specifies no exceptions, the policy owner is the default approver of exceptions, unless explicitly stated otherwise.

b. *Approval*

Policy owners are responsible for carrying their documents through the approval process (as outlined in “Approval Process for Campus Policies”). All approved policies must be documented in written form and submitted to the PCO in both printed and electronic form along with the appropriate approval documentation.

c. *Implementation*

- i. *Dissemination.* Policy owners are responsible for dissemination of new policies ensuring the new or revised policy is formally communicated to affected parties.
- ii. *Training.* Policy owners are responsible for providing notification, guidance, and consultation necessary to effectively support the components of the policy.
- iii. *Resources.* Appropriate support and training options must be developed and provided by the owner. This includes, at a minimum, the designation of “experts” to whom the user can consult for guidance or problem resolution. These support options should be documented within the policy under the “Getting Help” section.

d. *Ongoing Review and Revision*

Process owners are responsible for ongoing policy review and revision, for policies within areas they have been formally delegated (or for which they have been assigned) operational responsibility, to determine if the policy is effective in meeting its intended purpose. A review should be undertaken at least once every five years or when relevant new laws, regulations, or systemwide policies emerge. In advance of policy revisions, within **XX (timeframe TBD)**, process owners are responsible for communicating law and/or systemwide policy changes and implementing processes.

## C. Documentation requirements for campus policies

Policy statements must include:

- 1. *Distinction between policy and procedure.* Whenever possible, the policy owner should make a distinction between policy and procedure. As a general rule, policies and procedures appear as separate

documents. Campus policies reflect the “rules” governing implementation of campus processes, and are intended to provide general parameters under which an administrative process is to be undertaken in pursuit of fulfilling a campus objective. Campus procedures represent an implementation of policy and provide a process user with detailed guidance related to the successful performance of a particular administrative process.

2. *Posting policies on Campus Policies Web Site.* All official campus policies must be recorded on the campus’ web site (<http://policy.ucsc.edu/>). The CPEVC is the office of record for the official version of all campus policies.
3. *Components.* In order to ensure a consistent format, policies are organized into six sections: Scope/Purpose, Definitions, Detailed Statement, Getting Help, Applicability and Authority, Related Policies and References. The policy must explicitly delegate authority for policy exceptions and interpretation of the policy for purposes of refining or developing procedures.

## IV. Getting Help

The campus PCO provides training and assistance to campus units (including help with completing forms, carrying out procedures, or interpreting policy).

If you need help with ...	Contact ...
... questions about this policy.	... the PCO, 459-4003. Also available is the “Guide to Writing Policy and Procedure Documents.”
... finding a good example of a model policy document.	... the PCO, 459-4003, or simply review the policies that are posted on the campus’ PCO web site ( <a href="http://policy.ucsc.edu/">http://policy.ucsc.edu/</a> ).
... obtaining templates for policies.	... the PCO, 459-4003, or download a copy from the PCO web site ( <a href="http://policy.ucsc.edu/">http://policy.ucsc.edu/</a> ).
...navigation of the policy approval process.	... the PCO, 459-4003.

## V. Applicability and Authority

- A. This policy, *Campus Policy on Policies*, applies to all campuswide policies and procedures.
- B. This is a new policy and thus supersedes any campus practices in existence prior to its effective date.
- C. The campus PCO on behalf of the Office of the Chancellor and CPEVC is the campus authority for the policy, *Campus Policy on Policies*. This policy was reviewed and approved by the CPEVC on \_\_\_/\_\_\_/2008. Next review date is 2013.
- D. The CPEVC is designated authority for resolution of conflicts and approval of exceptions to this policy.

E. The **Policy Coordination Office**

1. Assists campus departments in developing policy and identifying affected campus constituents.
2. Facilitates the approval process for campus policies.
3. Maintains the Official Campus Administrative Policies and Procedures web site and policy archives.
4. Promotes awareness of campus policies.

## VI. Related Policies/References for More Information

A. *Related Policies and Procedures*

Bylaws and Standing Orders of the Regents, Standing Order 100.6, Duties of the Chancellors.

B. *References*

“Presidential Policies: Development, Coordination, Review, and Issuance,” Office of the President, Coordination and Review dated April 1991

<http://www.ucop.edu/ucophome/coordrev/process/welcome.html>.

C. *Delegation of Authority*

UC Santa Cruz Delegation of Authority number SCDA-EVC0001 “Authority to Approve Campus Administrative Policies” from Chancellor to Campus Provost/Executive Vice Chancellor dated June 29, 2007.

D. *Related Policies and Procedures*

*UCSC Procedure #00-00-000: Approval Process for Campus Policies*