~~Establishing~~ Developing and Maintaining Presidential Policies ("Policy on Policies")

Responsible Officer:	SVP – Ethics, Compliance & Audit Services
Responsible Office:	EC - Ethics, Compliance & Audit Services
Issuance Date:	XX~~8~~/XX~~3~~/202X~~1~~
Effective Date:	XX~~8~~/XX~~3~~/202X~~1~~
~~**Last Review Date:**~~	~~6/16/2021~~
Scope:	This Policy applies to all University locations and offices reviewing, developing, and revising ~~and reviewing~~ Presidential Policies.

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I. POLICY SUMMARY

The President is the Chief Executive Officer of the University and is responsible for promulgating Presidential ~~Policies* to support the mission of the University and to~~Policies to ensure compliance responsibilities are met, ~~and~~ carrying out ~~related state and federal~~

~~law and T~~the Regents' Bylaws and Policies (Governing Documents), and ~~to~~ supporting the University's mission of teaching, research, and public service.~~.~~

This Policy:

- Describes the University of California (UC) approval process ~~for Presidential Policies~~ and ~~sets out~~ the ~~general~~ rules and responsibilities for the development, revis~~ion~~ew, and ~~ownership~~ rescission of Presidential Policies.

- Describes the procedural steps required for ~~policy~~ development, ~~review,~~ and approval of new Presidential P~~p~~olicies, and revi~~ew and approval of revi~~sion or rescission of existing Presidential P~~p~~olicies.

- Outlines required consultation with ~~the Academic Senate, Academic Personnel and Programs (APP) staff, Systemwide Human Resources (SHR), and students~~Required Reviewers.

~~*~~A Presidential Policy is a governing ~~principle~~ directive that mandates or constrains actions and:

- Applies ~~across the UC~~ to all UC locations unless indicated otherwise in the p~~p~~olicy;

- Ensures compliance with applicable federal, state and local laws and regulations; enhances ~~the U~~UC~~niversity~~'s mission, promotes operational efficiencies, and/or reduces risk exposure;

- Endures from one Presidential administration to another and sets a course for the foreseeable future; and

- Receives approval by the President ~~or designated executive~~ upon recommendation ~~of~~ from the Policy Advisory Committee (PAC) and the Policy Steering Committee (PSC).

See the University Policy Office (UPO) website for additional information on the differences between a policy and a procedure.

Presidential Policies may address all operations of the University except for those reserved to the Board of Regents, to the Principal Officers of the Regents, to the Academic Senate, or delegated to the Provost and Executive Vice President of Academic Affairs.

II. DEFINITIONS

Campus Policy Managers/Group: Individuals/offices ~~on~~ for each campus responsible for local policy management who may serve in an advisory role to the UPO. The list of campus policy contacts ~~can be found~~are available on the UPO website.

~~**Comprehensive Review:** A full review comprising substantive changes to a Presidential Policy's content, mandates, or principles which requires consultation and vetting by Stakeholders, review by the required bodies as appropriate (e.g., Academic Senate, SHR, Academic Personnel, students) and full review by the PAC, UC Legal – Office of the General Counsel (UCL-OGC) and PSC. All existing Presidential Policies that undergo a Comprehensive Review will be considered by the President and, if approved, will be reissued by the President.~~

Compliance with Law Revision: Changes to a Presidential Policy's content, mandates, or principles that are for the purposes of compliance with law, rules, or regulations.

Compliance with Law Revision Process: The steps required to perform a Compliance with Law Revision, including review by UCL-OGC, approval by the Responsible Officer, and issuance by the University Policy Office.

Effective Date: The date that the version of the Presidential Ppolicy is first enforceable.

Guideline: A written documentSupplemental materials that describes best practices or the recommended processes for implementing a policy or addressing a particular policy topic. It is not a directive that mandates or constrains actions. Guidelines do not necessarily need review by the same audiences as Presidential Policy and do not need Presidential signature and approval unless requested by the owner of the Guideline.

Guidelines should be submitted to the PAC for review and receive their input as part of the consultative process. Upon completion, Guidelines are included and posted on the Presidential Policy website.

Interim Policy: A provisional/temporary policy issued when a Presidential Policy is needed within a period too short for the full Policy Development Process or Policy Revision Process Presidential Policy Approval Process to be completed.

Issuance Date: The date of the Issuance Letter for the new or reissued revised Presidential Policyies.

Issuance Letter: A cover letter signed by the President (for New Policy, Substantive Revision, and Rescission Processes) or Responsible OfficerUniversity Policy Office (for Technical and Required byCompliance with Law Revision Processes) that officially issues a Presidential Policy and makes the Policy available to the University cUC Community and makes the Policy available to the public on the Presidential Policy website.

Policy Action Form: A required document form that is used to propose a new Policy, Technical Revisions, Substantive Revisions, Compliance with Law Revisions, or Rrescission of a Policy that must be presented to PAC as a critical part of the Presidential Policy Approval Process. , drafted by the Policy Owner (PO) and submitted/presented to the PAC and PSC for review. The form includes the following detailed information: describes the need for the policy; outlines the process taken to develop or revise it; discusses the impact, associated risks or risk mitigation; lists key Stakeholders consulted or to be consulted and how their concerns were addressed; notes whether a review is required by the affected parties, such as the Academic Senate, Systemwide Human Resources, students, Academic Personnel, or staff; and a training plan. The form is available on the UPO website.

Policy Advisory Committee (PAC): The group PSC-designated group by the PSC responsible for reviewing all proposed Presidential Policies and recommending them for approval to the PSC. PAC members represent divisions of the Office of the President and include a member representative from the Campus Policy Managers Group. PAC membership can be foundis available on the Policy Governance Site.

Policy Development Process: The steps required to develop a Presidential Policy prior to the Presidential Policy Approval Process, including consultation with Stakeholders and

Required Reviewers, and review by UC Legal – Office of the General Counsel, Office of the President (UCL-OGC).

Policy Owner (PO): The individual (by position) designated by the Responsible Officer (RO) who serves as the subject matter expert for a Presidential Policy and is responsible for interpreting, and responding to questions regardingfor a Presidential Policy about that policy. The PO is typically designated on the Policy Template as the contact person.

Policy Review: An analysis performed by the RO to assess whether there is a need for a new Presidential Policy or assess whether an existing Presidential Policy is up-to-date, effective, and/or still necessary, which includes appointment of a PO, completion of the Policy Action Form, and discussion with PAC on next steps.

Policy Revision Process: The collective term for the three different processes that can result from a Policy Review of an existing Policy: Technical Revision Process; Substantive Revision Process; and Rescission Process.

Policy Steering Committee (PSC): The committee comprised of the President's direct reports responsible for overseeing the Presidential Policy Approval Process and recommending policy issuance to the President. The SVP/ Chief of Compliance and Audit Officer of Ethics, Compliance, and Audit Services chairs the PSC. PSC membership can be foundis available on the Policy Governance Site.

Presidential Policy Approval Process: The process for submitting a steps required for approval of new Presidential Policyies and Presidential Policies undergoing Substantive Revisions or being recommended for Rescission for approval, which includinges preliminary review and approval by the PAC, a Systemwide Comment Period, final review and approval by PAC, final legal review and approval by UCL-OGC, review and approval by the PSC and issuance by the President. All new and revised Presidential Policies, except for policies undergoing Technical Reviews, are required to go through the Presidential Policy Approval Process.

Presidential Policy Template (Template): The approved standardized format and style for all Presidential Policies. Theis Template is available on the UPO website. Adherence to this the Ttemplate is required for consistency and to ensure accessibility by users with specific information technology needs.

Procedure: A step-by-step description of the tasks required to implement a policiesPresidential Policy. Procedures, as applicable, in Presidential Policies are typically high-level and include steps and implementation mandates that all locations must follow.

Many policies include links to freestanding procedural documents located on departmental websites that often list best practices, detailed process or steps each location can take to implement a policy.

See the UPO website for additional information on the difference between a policy and a procedure .

Required Reviewers: The mandatory reviewing bodies for the PO to consult with, such as Academic Senate; Academic Personnel and Programs (APP); Systemwide Human Resources (SHR); and Graduate, Undergraduate and Equity Affairs (GUEA).

Rescission: The decommissioning of a Presidential Policy (either in whole or in part) that is no longer needed or where the content has been incorporated into another policy.

Rescission Process: The steps required to perform the Rescission of a Presidential Policy, including consultation with Stakeholders, Required Reviewers, and review by UCL-OGC.

Responsible Office: The office designated by the President responsible for ~~high level~~ oversight of the Presidential Policies that fall within its areas of responsibility.

Responsible Officer (RO): The senior level executive who heads the Responsible Office ~~designated by the President responsible for high-level oversight of the Presidential Policies that fall within their areas of responsibility.~~

Stakeholder(s): A~~n~~ individual ~~constituency~~ or ~~functional~~ group from across the UC system with subject matter expertise and/or a substantive interest in a particular Presidential Policy~~system~~, or its implementation, who is consulted to provide comments on a proposed draft. ~~The RO, PAC, and/or PSC may identify individuals or organizations as Stakeholders whose University role or professional expertise relates to the subject of the policy. The PO is responsible for vetting any new or revised policy with all appropriate Stakeholders including the Campus Policy Managers Group.~~

Substantive Revision: Significant changes to a Presidential Policy's content, mandates, or principles that materially change the intent, directive, scope, impacts, and/or substance of the Policy.

Substantive Revision Process: The steps required to perform a Substantive Revision preparatory to the Presidential Policy Approval Process, including consultation with Stakeholders, Required Reviewers, and review by UCL-OGC.

~~**30-day (calendar)**~~ **Systemwide** ~~c~~**C**omment ~~p~~**P**eriod: A Presidential Policy~~public~~ comment period ~~for Presidential Policies~~ that includes the entire UC Community and encompasses all of the calendar days in the specified duration~~a 30-day period, including weekends and holidays~~. Typically, Systemwide Comment Periods are:

- 90-days for a new Policy, or a Policy undergoing the Substantive Revision Process.
- 30-days for a Policy undergoing the Rescission Process.

Systemwide Notification Period: A notification period prior to issuance of a Presidential Policy that includes the entire UC Community and encompasses all of the calendar days in a specified duration. Typically, Systemwide Notification Periods are 30 days for an existing policy undergoing a Technical Revision or Compliance with~~a~~ Law Revision.

Technical Revi~~sio~~new: A ~~Any modifications to a~~ Presidential Policy revision~~s~~ that *do~~es~~ not materially change the intent~~, substance~~ or ~~principles~~directive of the policy*, such as:

~~Title changes~~Changes due to University Presidential reorganization, updating contact information, correcting links, ~~or~~ typographical amendments, additional~~ng~~ language for clarification, changes to legal code numbering, or a change of the Responsible Office. The need for Technical Revisions are determined by the Policy Owner, approved by the Responsible Officer, and ~~—~~do not require PAC and UCL-OGC review and approval, but require ~~nor~~ a ~~30-day~~Systemwide ~~comment~~ Notification ~~P~~period.

- ~~Changes that are required by law, rules and regulations – require PAC and UCL-OGC review and approval, but do not require a 30-day comment period.~~
- ~~Changes that are **not** required by law, rules or regulations, such as additional language for clarification, changes to legal code numbering, a change of the Responsible Office, and changes that are *subject to possible interpretation* – require PAC and UCL-OGC review and approval and a 30-day comment period (see Flowchart for Existing Policies).~~

~~If the scope of the changes alters the intent or scope of the policy, then the UPO, PAC, or UCL-OGC may determine that a Comprehensive Review is necessary.~~

Technical Revision Process: The steps required to perform a Technical Revision including approval by the Responsible Officer and issuance by the University Policy Office.

University Policy Office (UPO): The office designated by the President within the Ethics, Compliance and Audit Services department that manages the Presidential Policy website, the Presidential Policy Approval Process and chairs ~~the~~ PAC and PSC. The UPO coordinates the review, development, and revision~~, and review~~ of Presidential Policies and is charged with stewardship of the Presidential Policy Template and maintaining a central repository of Presidential Policies.

III.   POLICY TEXT

All Presidential Policies ~~must follow~~are subject to th~~e standardized~~ is Ppolicy ~~management process outlined herein. The UC policy management~~is process, which is designed to foster broad and timely review, approval, and dissemination of important governance and administrative information, and to make it readily accessible to internal and external audiences.

Policies developed by ~~for~~ and applicable only to ~~a specific~~ ~~each~~ Universit~~y~~C location are not required to follow th~~e~~is ~~standardized policy management~~ pprocedures set forth belowss. However, consistent with the principles outlined in this Policy, the Executive Officer, or their designee, at each ~~University~~ UC location, must establish a local policy or procedure to implement a standardized policy management process. ~~Campus p~~Policies at each UC location must be compliant with any related Presidential Policy ~~.~~and ~~This~~ ensure~~s~~ compliance with applicable federal, state, and local laws and regulations.

A.   ~~The policy management process~~Presidential Policies demonstrates accountability in support of the ~~University's~~ UC's mission ~~and in accordance with the public trust~~ and ~~is~~ are subject to the~~se~~ following tenets:

1.   ~~All~~ Presidential Policies must be written in plain language. Plain language is clear, succinct writing designed to ensure all audiences understand the content as quickly and completely as possible. Plain language does not include field-specific language, except where necessary ~~and~~ or where defined. When drafting a policy, the POs must make every attempt to integrate the specific topic or issue within the entire framework of the Presidential Policy.

2.   Presidential Policies must meet accessibility standards (see Information Technology Accessibility IMT-1300).

3. Presidential Policies must Uuse neutral, non-binary terms, and avoid gendered references (such as freshman, chairman, congressman, him/her/he/she, etc.).

4. Presidential Policies should be written in an equitable manner with consideration for undesirable impacts on under-served marginalized individuals or groups to increase broader engagement or eliminate barriers.

1.5. In general, Wwhere other UC policies, or laws intersect or overlap, text shouldmust be cross-referenced rather than repeated in the body of the Ppolicy to ensure continued alignmentas to retain viability;

2. Policies are intended to be high-level, and to the extent possible do not typically include Procedures unless there are compelling, mandated, or legal reasons, so stated, why locations must adopt the same implementing Procedures.

6. Presidential Policies must conform to a the standard format —by using the Presidential Policy Template (Template) and use a common glossary of terms, to the extent possible. Policies must include a Definition Section for terms used that require further clarity.

B. Presidential Policies must conform to the following, which are discussed in further detail in Section V:

1. The Responsible Officer (RO) is accountable for updating the policy as needed based on new regulatory requirements, risk assessments, strategic positioning, or other relevant considerations, and for alignment with other Presidential Policies, through appropriate vetting.New Presidential Policies must be proposed through a Policy Review, developed in accordance with the Policy Development Process, and approved in accordance with the Presidential Policy Approval Process outlined in Section V, to ensure that the Policy is necessary, appropriate, and aligned with Regents Policies and other UC policies.

2. Presidential Policies must undergo a Policy Review At a minimum, the RO is responsible for a Technical Review every three years and consideration for a Comprehensive Review every five (5) years, or more frequently as necessary, to ensure that each policy reflects current practice, Government regulations, laws, and guidelines and is aligned with other Regents Policies and UC policies.

3. All active Approved Presidential Ppolicies are published on the Presidential Policy website.

4. Rescinded Presidential or superseded Ppolicies must be included on the Presidential Policy website with a brief explanation or justification of the reason for rescission, information, or and reference to where current information can be found (if applicable), provided by the PO. Archived Rrescinded or superseded Ppolicies are available by request from the UPO at policyoffice@ucop.edu.

C. The following information apply to Presidential Policies:

1. Policy statements are distinct from Pprocedures. Procedures that include high-level steps and implementation mandates may be included in a separate section within the Procedures that document local implementing steps for Presidential Policyies. Departmental or unit-specific procedures that do not require executive-

level review and approval may be maintained by the department or unit. ~~are located on sites other than the Presidential Policy website. These documentsThey do not require the same extensive review as policiesPresidential Policies but~~. ~~However, they should be reviewed and updated regularly to ensure the information remains current and usefulin alignment.~~ Presidential Policies typically do not include specific campus implementation steps or processes that are not applicable across the UC system.

2. Presidential Polic~~y~~ies ~~statement must~~ assign authority for high--level actions, including ~~the~~ exception~~s process~~ if any, and specify when a ~~campus~~ location delegation of authority is required, redelegatable, and any restrictions on redelegations.

~~1.~~3. Guidelines should be located on departmental or unit websites and referenced in corresponding Presidential Policies, as necessary. Guidelines should be updated regularly to ensure the information remains current, useful, and in alignment with Presidential Policies.~~requireentitiespublished~~

IV. COMPLIANCE / RESPONSIBILITIES

A. Responsible Office/Officer (RO) is charged with:

- Identifying the need for a new policy;

- Conducting a Policy Review ~~every five (5)~~ years, or more frequently as necessary based on new regulatory requirements, risk assessments, strategic position, or other relevant considerations, including alignment with other Presidential Policies;

- Designating a PO for ~~author~~guiding the P~~p~~olicy ~~, guiding it~~ through the Policy Development or Policy Revision ~~review and approval~~ P~~p~~rocess~~es~~ and the Presidential Policy Approval Process, and interpreting and responding to questions;

- Developing and communicating any related implementing ~~guidance~~ Guidelines and developing training as required by the Policy or applicable laws;

- Reviewing and ~~Conduct~~approv~~ing~~ a Technical Revi~~sion~~ew or a Compliance with Law Revision to an existing Policy ~~and consideration for a Comprehensive Review of policies generated by their office~~;

- ~~Submitting substantive amendments in accordance with the Presidential Policy Approval Process;~~

- ~~Consult~~Ensuring that consultation has occurred with Stakeholders and Required Reviewers~~SHR, Academic Personnel, and/or Labor Relations if the policy potentially will affect terms and conditions of employment~~; and

- Disseminating the Presidential Policy to Stakeholders once ~~it has been issued by~~ the President has issued it.

When a particular subject closely aligns with more than one functional area, more than one RO may be assigned.

B. Policy Owner (PO) is charged with:

- Co~~llabor~~llab~~ansul~~ting with the UPO during a Policy Review prior to ~~any~~ development of a draft Policy~~of a Comprehensive Review~~;

- Completing the Policy Action Form, as necessary, throughout the Policy Review, Policy Development or Policy Revision Processes ~~at the commencement of the policy draft process~~ and submitting it to the RO for approval;

- ~~Coordinating~~ Consulting with Stakeholders and incorporating their comments and suggestions as needed into the draft P~~p~~olicy;

- ~~Working with the appropriate staff in UCL-OGC for legal advice and review;~~

- In ~~consultation~~ collaboration with the UPO~~PAC~~, ~~ensur~~conducting consultation with ~~all Stakeholders~~ Required Reviewers~~are consulted, and that comment periods are met~~ as required by The Regents Policies, Academic Senate rules, Union contracts, and ~~Presidential Guidelines~~this policy;

- Working with the appropriate staff in UCL-OGC for legal advice and review;

- Completing and submitting the draft P~~p~~olicy and any supporting documents in accordance with ~~to~~ the Presidential Policy Approval Process ~~(unless Interim Policy Approval is requested and therefore no formal comment period is possible)~~. Sharing with the UPO and PAC a ~~concise~~ summary of the ~~substantive comments~~feedback received and ~~their~~ its disposition in the final draft P~~p~~olicy;

- Responsible for distributing draft policy for Systemwide Comment Period

- Keeping abreast of changes in federal, state, and local laws and co~~mmunic~~mmunic~~ansul~~ting with the RO on proposed Policy revisions; and

- Typically act~~ing~~s as primary contact person to interpret and respond to questions about the Presidential P~~p~~olicy.

When a particular Presidential P~~p~~olicy applies to ~~employees~~ members of the UC community in more than one functional area, more than one ~~Policy Owner~~PO may be assigned.

C. Members of the ~~University~~ UC Community: Are responsible for ~~knowing,~~ understanding and complying with Presidential Policies that apply to them ~~and their University areas of responsibility~~. ~~Stakeholders have the responsibility for providing input, guidance, and feedback when requested on appropriate policies affecting their subject area(s).~~

~~Campuses should establish their own internal process for review and comment on Presidential policies submitted for comment.~~

D. University Policy Office (UPO) is charged with:

- Maintaining the Presidential Policy website;

- Coordinating with RO/PO during a Policy Review;

- Determining with the PO whether to move a Policy forward to the Policy Development Process or Policy Revision Process and, for existing Policies, identifying the appropriate Policy Revision Process;

- Responsible for distributing draft through the Systemwide Notification Period

- Overseeing the Presidential Policy Approval Process and chairing the PAC and PSC;

- Advising the PSC and the President regarding issues that arise surrounding specific policiesy issues or needs; and

- Coordinating distribution of the Presidential Policies to the Members of the University UC Community. (UC locations should establish their own internal process for review and comment on Presidential policies sent for Systemwide Comment.)

E. Policy Advisory Committee (PAC) is charged with:

- Preliminarily reviewing and approving a draft Policy in accordance with the Presidential Policy Approval Process and determining the appropriate timeline for the Systemwide Comment Period; and

- Conducting a review of the draft Policy after the Systemwide Comment Period and determining whether to recommend the Policy move forward for UCL-OGC review.

- For New Policy, Substantive Revision, and Rescission Process, advances final draft to PSC for approval

F. Policy Steering Committee (PSC) is charged with:

- Conducting a review of draft Policy and recommendings whether to move policy forward for Presidential approval.

G. Stakeholders and Required Reviewers are charged with:

- Consultings with the PO on the development of a draft Policy in accordance with the Policy Development Process or Policy Revision Process.

- Providinge input, guidance, and feedback when requested on appropriate policies affecting their subject area(s).

V. PROCEDURES

The flowcharts (included in **Section IX, Appendices**) depict the mandated steps in the Presidential Policy Approval Process. All Presidential Policies must follow conform to these Procedures, as applicable. However, Ssome policies predate this frameworkthe issuance of the Policy, and have not yet been throughundergone the entire Pproceduress outlined herein. They remain official Presidential Policies and, upon completion of the next SubstantiveComprehensive Revisionew Process, will have completed this process in order to beand brought into compliance.

~~Establishing~~ Developing and Maintaining Presidential Policies

A. Policy Review

A Policy Review assesses whether there is a need for a new Presidential Policy or whether an existing Policy is up-to-date, effective, and/or still necessary. A Policy Review may be precipitated by external factors, such as changes to law, regulation, technology, or internal factors, such as stakeholder feedback, risk assessment, or a gap analysis.

1. RO identifies the need for a Policy Review, or UPO prompts RO to conduct a Policy Review. If the Policy Review is for an existing Policy this must occur, at a minimum, every five years.

2. RO appoints a PO to consult with the UPO in developing the Policy.

3. PO completes the Policy Review section of the Policy Action Form and presents the form to UPO in order to determine whether to move forward with the Policy Review, which groups to consult with during the process (Stakeholders, Required Reviewers, UCL-OGC), and which policy process to complete.

4. PO and UPO determine whether to move forward with the Policy Development Process or the Policy Revision Process.

    For a new Policy, PO completes the Policy Development Process (See Section B below).

    For an existing Policy, PO completes the appropriate Policy Revision Process (See Section C below) as identified by UPO.

B. Policy Development Process

A new Presidential Policy is developed and used by ROs to support the missions of their units and often to meet regulatory and legislative requirements. Any individual or unit may identify the need for a new Policy, but at least one RO must sponsor its development and be accountable for the content of its principles, oversight, and implementation, and Procedures.

1. The Policy Action Form acts as a guide for RO and PO with development and drafting the Policy.

2. PO develops the content of the draft Policy in consultation with Stakeholders and Required Reviewers

3. Consultation with UCL-OGC may be necessary based on the Policy Review.

4. All substantial feedback should be carefully considered and adjudicated before moving forward.

5. Once RO approves the draft of the Policy, the Policy Owner completes the appropriate section of the Policy Action Form prior to the commencement of the Presidential Policy Approval Process (See Section D below).

C. Policy Revision Process

Following the Policy Review of an existing Policy, PO and UPO determine whether to complete the Substantive Revision Process, Technical Revision Process, Compliance with Law Revision Process, or Rescission Process.

1. **Substantive Revision Process**

   a. The Policy Action Form acts as a guide for the PO with development and drafting the Policy revision.

   b. PO develops the content of the Policy revision in consultation with Stakeholders and Required Reviewers.

   ~~a.~~ All substantial feedback should be carefully considered and adjudicated before moving forward.

   c. Consultation with UCL-OGC may be necessary based on the Policy Review.

   d. Once the RO approves the draft revision, the PO completes a "track-changes" version (with changes identified) and the appropriate section of the Policy Action Form prior to commencement of the Presidential Policy Approval Process.

2. **Technical Revision Process**

   a. The Policy Action Form acts as a guide for ~~the~~ PO with drafting the Policy revision.

   b. PO receives approval from ~~the~~ RO.

   c. PO sends a "track-changes" version of the updated Policy draft to UPO.

   Note: Policies undergoing the Technical Revision Process do not need to complete the Presidential Policy Approval Process. These revisions will go to PAC for notification purposes and will complete a Systemwide Notification Period. These revisions may be approved by the Responsible Officer, issued by the University Policy Office, and move to the Communicating and Disseminating the Presidential Policy (See Section E below).

3. **Compliance with Law Revision Process**

   a. The Policy Action Form acts as a guide for PO with drafting the Policy revision.

   b. PO develops the content of the Policy revision in consultation with UCL-OGC.

   c. PO receives approval from RO.

   d. PO sends a "track-changes" version of the updated Policy draft to UPO.

   Note: Policies undergoing the Compliance with Law Revision Process do not need to complete the full Presidential Policy Approval Process. These revisions will go to PAC for notification purposes and will complete a Systemwide Notification Period. These revisions may be approved by the Responsible Officer, issued by the University Policy Office, and move to the Communicating and Disseminating the Presidential Policy (See Section E below).

4. **Rescission Process**

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    a. The Policy Action Form acts as a guide for ~~the~~ PO with drafting the case for Policy Rrescission (in whole or in part).

    b. PO develops the content of the case for rescission (including reference to location where current information will be found) in consultation with Stakeholders and Required Reviewers.

    — All substantial feedback should be carefully considered and adjudicated before moving forward.

    c. Consultation with UCL-OGC may be necessary based on the Policy Review.

    d. Once the RO approves, PO completes a draft case for rescission and the appropriate section of the Policy Action Form prior to commencement of the Presidential Policy Approval Process.

D. Presidential Policy Approval Process

1. UPO distributes a draft (or the case for rescission) of the Policy, Policy Action Form, and any attachments to PAC for review in advance of a PAC meeting.

    a. If PAC approves the proposed policy action, UPO moves the draft Presidential Policy forward to the Systemwide Comment Period (See Item 2 below).

    b. PAC may determine that sufficient consultation has not occurred or the incorrect Policy Revision Process has been applied, and require additional work on the draft Presidential Policy, or case for rescission. (In these cases, PO must see Section B or C above and re-start process.)

2. PAC determines the duration of the Systemwide Comment Period. PO completes a cover letter to accompany the draft Presidential Policy, Policy revision, or case for rescission. In order to ensure the draft is communicated broadly for comment, PO sends the draft with cover letter to Stakeholders and Required Reviewers. UPO sends the draft Presidential Policy to the Campus Policy Managers Group, and posts the draft with cover letter on the UPO website.

    a. New Policies and Policies undergoing a Substantive Revision complete a 90-day comment period.

    b. Policies undergoing the Rescission Process complete a 30-day comment period.

    Note: Comment periods may change based upon recommendation from PAC. The majority of the Systemwide Comment Period should occur during the Academic Year.

3. Upon Systemwide Comment Period completion, PO completes the 'Systemwide Comment Period Feedback' section on the Policy Action Form to summarize~~s the~~ comments received and their disposition. PO submits the completed form to UPO.

4. UPO distributes the draft Policy and completed Policy Action Form with the 'Systemwide Comment Period Feedback' section to PAC for review in advance of a PAC meeting. PO presents the feedback received and any changes to the draft

Policy, or case for rescission.

a. If PAC approves the draft Presidential Policy, UPO moves the draft Policy forward. PAC may recommend changes to PO due to feedback received during the Systemwide Comment Period, but still approve the draft Policy.

b. PAC may determine that due to feedback received during the Systemwide Comment Period, PO must complete more consultation with necessary Stakeholders and Required Reviewers, require additional work on the draft Policy, or case for rescission (In these cases, PO must see Section B or C above and re-start the process.)

5. If approved by PAC, PO finalizes any changes to the draft Presidential Policy, or case for rescission, and provides the final version to UPO who sends the proposed Policy, or case for rescission, to UCL-OGC for final legal review.

Note: There may be occasions where UCL-OGC recommends edits to the draft Presidential Policy before it goes to PSC. PO revises the draft Policy before it goes to PSC.

6. After completion of the legal review, UPO submits the final draft Presidential Policy, or case for rescission, to PSC for final review, and recommendation for Presidential approval.

a. PSC typically provides approval electronically, but any PSC member may request an in-person meeting.

b. PSC members are generally provided 10 business days for review and recommendation for approval.

c. Any "not approved" responses from PSC members may require a formal meeting with PO and RO that will be conveyed to the President for final review.

7. Upon PSC approval, UPO prepares and submits the Presidential Policy and Issuance Letter for the President's final review and approval.

8. The President issues the Presidential Policy by signing the Issuance Letter.

E. Communicating and Disseminating the Presidential Policy

1. A new Presidential Policy and all Revision Processes will complete require an Issuance Letter.

a. New Policies, Substantive Revisions, and Rescissions must be issued by the President

b. Technical Revisions and Required by Compliance with Law Revisions are issued approved by RO and issued by UPO.

2. The Issuance Letter and Presidential Policy, or case for rescission, are disseminated by UPO, on behalf of the President, to the Chancellors, Lawrence Berkeley National Laboratory Director, Vice President-ANR, Systemwide Division Leaders, Systemwide Academic Senate Chair, Campus Policy Managers, the PO

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and all named parties in the Issuance Letter.

3. RO distributes the Presidential ~~P~~policy to the Stakeholders and Required Reviewers.

4. The UPO publishes the Presidential ~~P~~policy or the case for rescission on the Presidential Policy website.

5. RO and PO delivers any additional communication~~,~~ or training.

F. Interim Policies

In special circumstances, which are approved on a case-by-case basis, the President may approve a Presidential Policy as an Interim Policy.

1. RO and PO completes the necessary steps of the Policy Review (See Section A above).

2. If it is determined at the outset of a Policy Review that the draft Presidential Policy needs to be completed as an Interim Policy, PO completes the Policy Action Form and meets with UPO to determine the appropriate steps to complete the Policy Development Process or Policy Revision Process.

3. If a draft Policy is already in the Policy Development Process or Policy Revision Process and it is determined that the draft Policy needs to be completed as an Interim Policy, then the draft Policy will move to the Presidential Policy Approval Process. RO must continue to finalize the Policy Development Process or Policy Revision Process.

   Note: At a minimum, the PO must consult with Required Reviewers (even if in an expedited manner) and must receive approval from PAC, review by the UCL-OGC, and approval by the PSC before Presidential approval.

4. An Interim Policy must be approved through the Presidential Policy Approval Process, but may need to delay steps such as the Systemwide Comment Period. Interim Policies are approved for a 12-month time period, with possible supplemental approval in 12-month intervals. An Interim Policy must complete the Policy Development Process or Policy Revision Process (See Section B or C above), preferably within two years of the issuance of the Interim Policy.

5. Interim Policies are clearly marked as "INTERIM POLICY".

6. Once the Interim Policy is approved, the procedures moves ahead to Communicating and Disseminating the (Interim) Presidential Policy (See Section E above).

7. The target date for completing the Presidential Policy Approval Process is published at the time the Interim Policy is approved.

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A. Proposing a Policy:

A policy is developed and used by ROs to support the missions of their units to the University. Any individual or unit may identify the need for a new policy, but at least one RO must sponsor its development and be accountable for the content of its principles and Procedures.

The RO appoints a PO to consult with the UPO in developing the policy.

The PO completes the Policy Action Form and submits it to the UPO to inform PAC of the intent to develop a policy.

The Policy Action Form is used to propose the establishment of a new policy or substantive changes to an existing one and will be presented to the PAC for review and approval. The form is not required for technical changes such as correcting links, typographical errors and updating contact information.

B. Developing a Policy

The Policy Action Form acts as a guide for the RO with drafting the policy.

1. The PO develops the content of the draft policy, consults with all Stakeholders and incorporates their comments into the draft, as appropriate.

2. Once the RO approves the policy draft, the PO shares it with the Stakeholders and subject matter experts identified in the impact statement to solicit comments.

3. The PO shares the draft with the PAC for information purposes, comments, and questions.

The PO and RO must consider feedback from Stakeholders and PAC to determine whether and how their responses will be incorporated, as appropriate.

4. See Section V.D. for Updating an Existing Policy with Technical Changes.

C. Reviewing and Approving a New Policy or Policy with Substantive Changes

All policies (new and those under Comprehensive Review) must be formally vetted with Stakeholders. At a minimum, the PO must consult with the Offices of Academic Personnel and Programs (APP); Systemwide Human Resources (SHR); and Graduate, Undergraduate, and Equity Affairs (GUEA) for their documented decision on whether formal vetting is needed. APP and SHR have written and published their vetting processes:

- Academic Personnel and Programs vetting process; and

- Systemwide Human Resources vetting process.

1. If formal vetting is needed, the PO must issue a cover explanation memo and sends it to the UPO.

1. The UPO advises the PO of the timeline for comment.

The PO forwards the draft policy and communication memo to APP, SHR and GUEA, as appropriate, to distribute to the campuses. Comments must be directed to the PO for their review and consideration in the final draft.

UPO distributes the draft policy for formal vetting to the Campus Policy Managers Group and Campus Ethics and Compliance Officers for the 30-day comment period.

After completion of the formal vetting and PO's approval, the UPO distributes the draft policy to members of the PAC in advance of a PAC review meeting.

The PO presents the following during the PAC review meeting:

a. The draft policy and Policy Action Form where they will be reviewed for practicality and clarity.

b. The summary of the comments received during the vetting period and their disposition.

Note: There may be occasions where comments and changes from the PAC requires further consultation with relevant Stakeholders or further review by the PAC.

Upon the PAC's recommendation for approval of the policy, the PO reviews and makes any accepted changes proposed by the PAC.

Once changes have been finalized, the PO provides the final version to the UPO who sends the proposed policy to UCL-OGC for final legal review.

Note: There may be occasions where UCL-OGC recommends edits to the draft Policy before it goes to the PSC. The PO revises the draft Policy before it goes to the PSC.

After completion of the legal review, the UPO submits the final draft policy to the PSC for their final review and recommendation for Presidential approval.

a. The PSC typically provides approval electronically but any PSC member may request an in-person meeting.

b. PSC members are generally provided with 10 business days for review and recommendation for approval.

c. Any "not approved" responses from PSC members may require a formal meeting with the PO and RO and will be conveyed to the President for final review.

Upon PSC approval, the UPO prepares the Policy and Issuance Letter for the President's final review and approval.

The UPO submits the packet (Presidential info memo, clean final draft policy, and final draft Issuance Letter) to the President for final review and approval.

The President issues the Presidential Policy by signing the Issuance Letter. The Issuance Letter and Presidential Policy are disseminated by the UPO, on behalf of the President, to the Chancellors, the Lawrence Berkeley National Laboratory Director, the Vice President ANR, the Division Leaders, Campus Policy Managers, the PO and all named parties in the Issuance Letter.

Policies with technical changes as required by laws and regulations are issued by UPO.

~~The PO and RO distributes the policy to their Stakeholders.~~

~~The UPO publishes the policy on the Presidential Policy website.~~

D. Updating an Existing Policy with Technical Changes

1. ~~The PO and RO conducts a Technical Review at a *minimum every three years* and notifies the UPO when the review has been completed.~~

~~On an as-needed basis, the PO requests that the UPO make routine or minor technical changes to an existing policy (such as new contact names, position titles and e-mail or Web addresses).~~

~~The UPO provides the Policy Action Form to PAC for evaluation of technical changes. Technical Reviews (see **Section II Definitions**) do not require the President's review and approval unless the PAC determines the changes are substantive. If so, the Policy will be required to go through a Comprehensive Review and the Presidential Policy Approval Process (see Flowcharts for New Policies/Substantive Changes). The UPO posts all Technical Reviews (**except** minor corrections such as *updating contact info, position titles, updating links or typographical errors*) on the Presidential Policy Office website for the 30-day comment period.~~

~~Upon PAC review and approval (and UCL-OGC review and approval, if required) the UPO disseminates the policy to the Chancellors and the Campus Policy Managers Group and publishes it to the Presidential Policy website.~~

E. Revising a Policy with Substantive Changes

1. ~~Significant changes to the policy's substance, mandates, or principles that may be subject to possible interpretation, must be approved by the PAC, the PSC, and the President, based on the submission of a new Policy Action Form and draft policy. It may be announced, or "promulgated," to the University community by the UPO, via Presidential Issuance.~~

2. ~~Consideration for a Comprehensive Review of the entire policy will be conducted at least every five years by the RO, as prompted by the UPO. The extent of any changes resulting from this review will determine the review process. The UPO will note the date of all revisions in "Revision History" section of the policy document.~~

3. ~~Revised policy documents "red-lines" will be presented showing changes. If the changes are so extensive that it would be impractical to include the "red-lines," the existing policy document and the draft with the proposed revisions will be provided to the PAC at the time of review.~~

F. Communicating, Promulgating, and Training

1. ~~Once the Policy has been issued, the UPO sends the announcement of a new or revised policy and Issuance Letter, on behalf of the President to the Chancellors, the Lawrence Berkeley National Laboratory Director, the Vice President-ANR, the Division Leaders, Campus Policy Managers Group, the PO, and all parties named in the Issuance Letter.~~

2. The UPO will also publish the Policy in the Presidential Policy website.

3. The RO and PO will deliver any additional communication or training.

G. Establishing an Interim Policy

1. Based on special circumstances, which are approved on a case by case basis, the President may approve an Interim Presidential Policy outside of the Presidential Policy Approval Process. Interim Policies are approved for a 6-month time period, with possible supplemental approvals in 6-month intervals. The target date for completing the Presidential Policy Approval Process will be published at the time the Interim Policy is approved. Interim Policies should be finalized within one year.

Interim Policies can be issued while the RO is finalizing the development or revision of a policy and is effective for six months, with the possible renewal in additional six month increments. An Interim Policy must receive recommendation for approval by the PAC, OGC and the PSC with final approval by the President.

Interim Policies will be clearly marked in red as "INTERIM POLICY PENDING FINAL APPROVAL."

To derive the benefits of a standard policy document and the full review cycle, the Interim Policy must complete a Comprehensive Review outlined in this document, preferably within one year of the issuance of the Interim Policy.

H. Rescinding a Policy

1. The RO identifies the need to rescind an existing policy or consolidate it with another policy.

1. The PO discusses the proposed policy rescission with the UPO.

2. The PO vets the potential Rescission with Stakeholders and necessary review committees.

3. After the Rescission has been vetted, the UPO submits the policy and the Policy Action Form to the PAC members at their next meeting for approval. The PO attends the PAC meeting to answer questions.

4. Upon PAC approval, the UPO sends the proposed Rescission to UCL-OGC for final legal review and approval to ensure that the Rescission is legally appropriate and/or necessary.

Upon recommendation from PAC and UCL-OGC, the UPO publishes the policy on the Presidential Policy Office website for the 30-day comment period.

The UPO sends any comments received to the PO to respond

The RO and PO addresses and resolves any comments, questions, or concerns.

After the 30-days comment period, the Rescission recommendation is sent by the UPO to the PSC.

Upon PSC approval of the Rescission, the UPO drafts an information memo and Issuance Letter and submits it for the President's approval.

~~Once approved by the President, the UPO sends the Rescission notice to the Chancellors, the Lawrence Berkeley National Laboratory Director, the Vice President ANR, the Division Leaders, Campus Policy Managers, the PO, and all named parties in the Issuance Letter.~~

~~The UPO publishes the rescinded policy on the Presidential Policy website.~~

VI.   RELATED INFORMATION

Academic Review of Presidential Policy

Article IX, Section 9 of the California Constitution

Bylaws of The Regents

~~HR Policy Creation and Review Process~~SHR Policy Creation and Review Process

Policy Manuals & Guidelines

Policy Development Resources

Regents Policy 1000: Policy on Policies of the Regents of the University Of California

University of California Policy Governance

VII.   FREQUENTLY ASKED QUESTIONS

~~Frequently Ask Questions~~Frequently Ask Questions – ~~to be updated~~[FAQ will be posted on the Presidential Policy website]

How to Contact the Universitywide Policy Office (policyoffice@ucop.edu)]

VIII. REVISION HISTORY

TBD, 2023: The policy underwent substantial revisions to standardize and clarify the approval process, requirements and responsibilities for development, revision, and rescission of Presidential Policies to promote compliance and efficiency.

Revisions include:

- updating the Policy name, scope, and summary to accurately reflect content;

- adding and updating definitions for terms frequently used and removal of terms that are not used;

- adding requirements such as:

    o use of gender-neutral terms;

    o cross-referencing of UC policies and laws for continued compliance and ease of maintenance;

    o New Presidential Policies must be proposed through a Policy Review, developed in accordance with the Policy Development Process, and approved in accordance with the Presidential Policy Approval Process;

- o all Presidential Policies must undergo a Policy Review every 5 years, or more frequently as necessary;
- o a Compliance with Law Revision Process to handle changes to a policy that are for the purposes of law, rules, or regulations
- o rescinded Policies on the website must also include reference where current information can be found (if applicable);
- o policies must specify when a campus location delegation of authority is required, redelegatable and any restrictions on redelegations;
- o Guidelines should be updated regularly to ensure the information remains current, useful, and in alignment with Presidential Policies
- adding responsibilities for the Policy Action Committee, Policy Steering Committee, Stakeholders, and Required Reviewers;
- revising procedures to describe the action steps for accomplishing required tasks that have to be completed; and
- editorial changes for readability and clarity.

August 3, 2021: The policy underwent technical revisions in order for Section II Definitions and Section V Procedures to read more clearly. Revisions include: updating embedded links; re-locating policy text for readability and clarity; and using defined terms consistently.

August 10, 2018: Initial issuance of this Policy. The Policy was also remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0.

APPENDIX

Flowcharts for the Review and Approval Process of Presidential Policies:

NEW POLICIES AND SUBSTANTIVE CHANGES

EXISTING POLICIES

RESCINDING POLICIES