

University of California, Berkeley
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Management of Campuswide Policies (Non-Academic)

Responsible Executive: Vice Chancellor, Budget and Finance (William C. Webster)

Responsible Office: Office of the Controller
ucbpolicy@berkeley.edu

Contact: Questions about this policy may be directed to the Director of Controls,
Accountability, and Risk Management at 643-4171

Policy Statement

Individuals responsible for developing, approving, interpreting, publicizing, or maintaining campuswide policies must comply with the procedures outlined herein.

Who Is Affected By This Policy

- Everyone at UC Berkeley

Who Administers This Policy

- The Chancellor, the executive vice chancellor and provost, the vice chancellors, and the Controller's Office
- Staff responsible for developing, interpreting, maintaining, or publicizing policies

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

Why We Have This Policy

A comprehensive study by a Leadership Development Program team concluded that the campus needs a formal process for developing, approving, and promoting campuswide policies ([“Policy Access: Campus Needs and Best Practices Project,”](#) December 2003). The study found that campuswide policies are difficult to find, do not always include clear implementing procedures, and frequently omit contact information for help with interpretation.

This Policy on Management of Campuswide Policies sets forth a uniform process for policy creation, format, approval, and promotion, and is intended to increase (1) operational efficiency, and (2) compliance with federal and state regulations and University procedures.

A campuswide policy:

- Affects a broad range of the campus community, either because it is of general interest or applicability, or because one control unit establishes a set of principles and procedures that individuals in other control units must abide by;
- Supports the campus mission of education, research, and public service;
- Articulates desired outcomes and mandates actions and constraints to achieve those outcomes;
- Ensures compliance with applicable laws and regulations, promotes operational consistency and efficiency, and/or reduces institutional risks;
- Fosters an environment that honors individuals and community and balances diverse perspectives in a spirit of civility and mutual respect;
- Requires review and approval by high-level administrative bodies.

Policy and procedures go together, but are two distinct things. A policy is a set of principles intended to govern actions. Procedures are the actions taken to implement the policy. All policy changes will require review and approval. Procedural changes to existing policies will require review and approval only if they significantly increase cost or workload distribution outside the Responsible Office’s control unit (see [Glossary](#) for definition of Responsible Office).

Academic Senate policies, as well as policies that control units (or subdivisions thereof) establish for their own operations are not governed by this document.

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

Responsibilities

Chancellor:

- Retains ultimate authority for campuswide policies.
- Works directly with Responsible Executives to issue emergency policies.

Executive Vice Chancellor and Provost, Vice Chancellors:

- Approve, deny, or return for further review campuswide policies generated by their control unit.

Vice Chancellors' Administrative Council (VCAC) and E-Berkeley Steering Committee:

- Make recommendations about campuswide policies to Responsible Executives who submit policies for review.
- At their own discretion, discuss campuswide policies pending approval and make recommendations about those policies to the Responsible Executive or Chancellor.

Responsible Executives (see [Glossary](#) for definition):

- Sponsor campuswide policies and ensure the policies are reviewed by appropriate campus constituents.

Responsible Offices (see [Glossary](#) for definition):

- Review Office of the President policies in their area to determine whether the policies require further interpretation or procedures at the campus level; campus interpretations and procedures may be more restrictive than the Office of the President's, but not more permissive.
- Develop campuswide policies in areas where policies are required but the Office of the President has been silent.
- Make sure campuswide policies in their area are consistent with Office of the President policies and federal and state regulations.
- Disseminate information about campuswide policies for which they are responsible.
- Promote compliance with policies for which they are responsible through interpretation, training, and other means.
- Provide contact information to help members of the campus community with questions about a policy.

Controller's Office:

- Assists campus departments in developing policy.
- Coordinates the approval process for policies.
- Maintains the Official Campuswide Policies and Procedures Web site.
- Disseminates information about campuswide policies.

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

- Trains the campus community to find pertinent policies quickly.
- Maintains an archive of campuswide policies.

Policy Advisory Group:

- Reviews campuswide policies for their impact on the full range of campus departments and operations.
- At its discretion, reviews pending UC systemwide policies for their impact on the full range of campus departments and operations.
- Makes sure policies are understandable.
- Forwards reservations about the policy, if any, to the Responsible Office.
- Arbitrates disagreements over procedural questions related to this policy.

Faculty, Staff, and Students:

- Accept responsibility for knowing and following applicable campuswide policies and procedures.

Procedures

DEVELOPING AND APPROVING A CAMPUSWIDE POLICY

Every campuswide policy must be sponsored by a Responsible Executive (see [Glossary](#) for definition). The Responsible Executive works with a Responsible Office to write the policy and guide it through the steps described below.

Campuswide policies go through a developmental phase and an approval phase. (Some may find it easier to understand the process by reviewing the flow chart attached as Appendix A, although the chart does not include all the contingencies explained here.)

The Developmental Phase

The Responsible Office fills out a *Proposal to Add or Change Policy* (see [Appendix B](#)) that briefly explains the reasons for the policy and describes the policy's expected impact on the campus. The purpose of the *Proposal to Add or Change Policy* is to inform interested campus constituencies that a new policy or policy change is forthcoming. The policy does not have to be fully developed at this point.

The Responsible Office sends the *Proposal to Add or Change Policy* to the Controller's Office for inclusion on the agenda of the Policy Advisory Group. If a draft of the policy is ready, the Responsible Office may forward that to the Controller's Office as well. At its discretion, the Responsible Office may also send copies of the *Proposal to Add or Change Policy* or the draft policy to the following:

UNIVERSITY OF CALIFORNIA, BERKELEY

Policy on Management of Campuswide Policies

- Vice Chancellor's Administrative Council (VCAC)
- Any other campus group that might benefit from seeing the form

The Policy Advisory Group

The Policy Advisory Group (PAG) is a standing committee chaired by the campus controller. Its composition is determined by the Chancellor. It consists of one representative from the Chancellor's Immediate Office, one representative from each control unit, and selected campus positions with extensive involvement in policy. (See [Appendix C](#) for a list of PAG members by title.)

The chief responsibility of the PAG is to review campuswide policies for their impact on the full range of campus departments and operations. The PAG also makes sure policies are clearly written. The PAG may organize itself and review policies in whatever manner it chooses, provided it responds promptly to requests for policy review. Members will strive for consensus in their deliberations.

The PAG serves an advisory role to the Chancellor, Executive Vice Chancellor and Provost, and vice chancellors. The Responsible Office is therefore obligated to follow up on suggestions (review by other campus constituencies, revision of certain procedures, etc.) offered by the PAG and to report to the PAG how it responded to those suggestions.

PAG members have an obligation to report relevant PAG developments to the Chancellor, executive vice chancellor and provost, or vice chancellor they represent. Although the executive vice chancellor and provost and vice chancellors retain the right to challenge a proposed policy through the VCAC and other venues, Responsible Executives will be entitled to assume that upon receipt of the PAG's recommendation for approval, a policy has the implicit endorsement of the Chancellor, executive vice chancellor and provost, and vice chancellors.

The Approval Phase

If no member of the PAG expresses continuing reservations about a policy, the Responsible Executive's vice chancellor may issue the policy to the campus. (Most of the time the Responsible Executive and the vice chancellor will be the same person.)

When There Is No Consensus to Approve

In the unusual event that one or more PAG members object to a policy, the Responsible Executive may:

- Resolve differences through direct contact with the PAG member's vice chancellor;
- Solicit further input from the VCAC, except for information technology policies, which should be forwarded to the E-Berkeley Steering Committee. The VCAC or E-Berkeley Steering Committee may review policies in whatever manner they see fit, provided they respond promptly to the Responsible Executive;
- Involve the Chancellor in policy negotiations.

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

Ultimate authority for campuswide policies rests with the Chancellor, who may approve a policy that has otherwise been denied, or may deny a policy that has otherwise been approved.

Once a policy has been approved, the Responsible Executive or Responsible Office transmits an electronic version of the policy to the Controller's Office for posting on the Official Campuswide Policies and Procedures Web site.

EMERGENCY (FAST-TRACK) POLICY APPROVAL

Should an emergency require rapid formulation of a new campus policy or revision of an existing policy, the Responsible Executive (through a Responsible Office, if preferred) will submit the policy directly to the Chancellor, who may:

- Approve the policy immediately.
- Consult with various campus experts and constituencies before approving the policy.
- Return the policy to the Responsible Executive or Responsible Office for revision.
- Return the policy to the Responsible Executive or Responsible Office for submission through the regular policy approval process.
- Reject the policy.

The Chancellor has 10 calendar days from receipt to approve or deny a fast-track policy. Denials must be addressed to the Responsible Executive and should include (1) the basis for the denial and (2) the conditions, if any, under which the Chancellor would approve the policy. If the Chancellor does not act on a fast-track policy within 10 calendar days, the policy is considered *denied*.

Once the Chancellor approves a fast-track policy, the Responsible Executive or Responsible Office transmits an electronic version of the policy to the Controller's Office for posting on the Official Campuswide Policies and Procedures Web site.

The fast-track approval process is intended for emergencies only and cannot be used to circumvent the regular approval process. Emergencies include imminent danger to human safety, the financial well-being of the campus, or the campus's relationship with the larger community. Emergencies do not include policy changes mandated by federal or state legislation or by the Office of the President, unless said policy changes have themselves been made on an emergency basis and require immediate campus implementation.

PROMOTING AWARENESS OF CAMPUSWIDE POLICIES

New or revised policies are promoted primarily through the Official Campuswide Policies and Procedures Web site administered by the Controller's Office. The Web site serves as the repository for all campuswide policies and is to have a user-friendly search engine. If the Responsible Office wishes, the Controller's Office will post draft versions of pending policies to the Web site for public comment.

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

The Official Campuswide Policies and Procedures Web site includes a means to create voluntary listservs through which members of the campus community may receive notice about policy changes within their areas of concern. When the technology and funding become available, notice of policy changes will be sent automatically to members of the campus community based on job duties.

In addition to these efforts by the Controller's Office, the Responsible Office should publicize policies using CALmessages and other such media as may be deemed effective.

The Controller's Office is responsible for training members of the campus community to access campuswide policies quickly and efficiently. It provides basic policy training at orientation for new employees, and may develop a certification program for employees willing to become "departmental policy resources."

Training in the particulars of a policy is handled by the Responsible Office.

INTERPRETING CAMPUSWIDE POLICIES

The office(s) responsible for the administration of a campuswide policy designate an individual, telephone number, email address, or combination of the three as a contact for questions about the policy. This contact information is posted near the top of every policy and must be kept current by the Responsible Office. If more than one office is responsible for administering the policy, particularly in the area of procedure, the policy must list each Responsible Office, its area of responsibility, and contact information. It is expected that members of the campus community seeking clarification of policies will receive prompt, courteous, and clear responses.

MAINTAINING CAMPUSWIDE POLICIES

The Responsible Office is obligated to keep a policy up-to-date. A review should take place at least once every five years. The Controller's Office will send a reminder to the Responsible Office if a policy has not been reviewed during the previous five years.

When changes to a policy are necessary, the Responsible Office and Controller's Office determine whether the changes require approval. In general:

- Any change to the policy's intent needs to go through the regular policy approval process.
- Changes in procedure that significantly increase cost or workload distribution outside the Responsible Office's control unit require review and approval by the PAG. If the PAG cannot agree on whether to approve the changes in procedure, the changes are forwarded to the VCAC or E-Berkeley Steering Committee for approval or denial.
- Clerical changes and changes in procedure that do not significantly increase cost or workload distribution outside the Responsible Office's control unit do not require review and approval.

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

If the Responsible Office and Controller's Office cannot agree whether changes in procedure require review and approval, the question is referred to the PAG for a final decision.

All campuswide policies, no matter when written or last updated, remain in effect as long as they are posted on the Official Campuswide Policies and Procedures Web site. Should a campuswide policy become obsolete, the Responsible Office notifies the Controller's Office in writing that the policy can be expunged. The Controller's Office maintains an electronic archive of campuswide policies from the time this Management of Campuswide Policies policy was approved.

USING THE STANDARD CAMPUSWIDE POLICY FORMAT

To ensure clarity and consistency, the campus uses a standard format for campuswide policies. The format, exemplified by this document, includes the following sections:

Responsible Executive: The title and name of the Chancellor, executive vice chancellor and provost, vice chancellor, or chief information officer sponsoring the policy.

Responsible Office: The name of the office(s) that will develop and administer the policy and be accountable for the policy's accuracy, interpretation, and updating.

Contact: The individual, phone number, and/or email address that members of the campus community can go to for direct answers to questions about the policy. If different sections of the policy are best answered by different contacts, list the various contacts and what type of questions they should be called about.

Policy Statement: A capsule description (the shorter the better) of what the policy is.

Who Is Affected By This Policy: A list of groups within the campus community expected to abide by the policy, e.g. faculty, staff, students, or sub-groups thereof.

Who Administers This Policy: A list of staff by classification, functional title, or duty expected to develop, interpret, or enforce the policy and any procedures related to it.

Why We Have This Policy: A brief (one single-spaced page or less) explanation of why the policy is necessary. Reasons can be ethical, philosophical, legal, regulatory, historical, financial, pragmatic, or any combination thereof. Please include a short statement about the policy's expected impact on the campus. If serious consequences would result from failure to follow the policy, please describe them.

Responsibilities: A bulleted list of what every administrative unit involved in the policy must do, e.g. Deans and Directors must do A, B, and C; Departmental Business Officers must do D, E, and F.

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

Procedures: A series of steps, described in logical order and plain language, for carrying out the policy. Complex procedures should be presented in outline form. If there is a procedure for requesting exceptions to the policy, please include it here.

Web Site Address for This Policy: Where a reader can find an electronic version of the policy on the World Wide Web (will be supplied by the Controller's Office when the policy is approved).

Glossary: An alphabetical list defining in plain language terms in the policy that have a specialized meaning.

Keyword Index: A list of words a non-expert might use to find the policy through the search engine at the Official Campuswide Policy and Procedures Web site. (This field will not be displayed in the final version of the policy.)

Related Documents: Other policies or documents (such as federal and state laws or regulations) referred to in the policy or of interest to a reader who may want to investigate further. Please provide Web links if they exist.

Appendix: Supplementary material that makes it easier for a reader to understand or comply with the policy. Forms referred to in the Procedures section of the policy may be attached as appendices if they are short; longer forms should be listed under Related Documents, with Web links provided if possible. If the policy has more than one appendix, refer to each by letter in the text (Appendix A, Appendix B, etc.) and order them appropriately at the end of the policy.

Web Site Address for This Policy

<http://campuspol.chance.berkeley.edu/PolicyonPolicies.pdf>

Glossary

Campuswide Policy: A set of principles and procedures intended to govern actions affecting a broad range of the campus community. A policy is considered campuswide if it has broad interest or applicability or has an impact on individuals in control units beyond that of the Responsible Executive. Policies restricted to the Academic Senate, or to department or unit operations, are not considered campuswide policies and are not governed by this document.

Contact: The name, email address, and/or telephone number of the individual most capable of answering questions about the administration or interpretation of a policy.

Control Unit: The administrative domain of an executive vice chancellor and provost or vice chancellor.

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

Guidelines: Shortcut, user-friendly versions of procedures, usually presented in a pamphlet, newsletter, or Web site.

Listserv: An automatic email distribution list. The list of email recipients can be compiled from an existing database, by asking people to sign up, or both.

Policy: A set of principles intended to govern actions.

Policy Advisory Group (PAG): A standing committee with broad campus representation responsible for assisting in the formulation and review of campuswide policies and procedures.

Procedures: The actions necessary to carry out a policy.

Responsible Executive: The Chancellor, executive vice chancellor and provost, vice chancellor, or chief information officer responsible for developing campuswide policies within his or her area of jurisdiction.

Responsible Office: The office(s) that will develop and administer a particular campuswide policy, and which will be accountable for the policy's accuracy, interpretation, and updating.

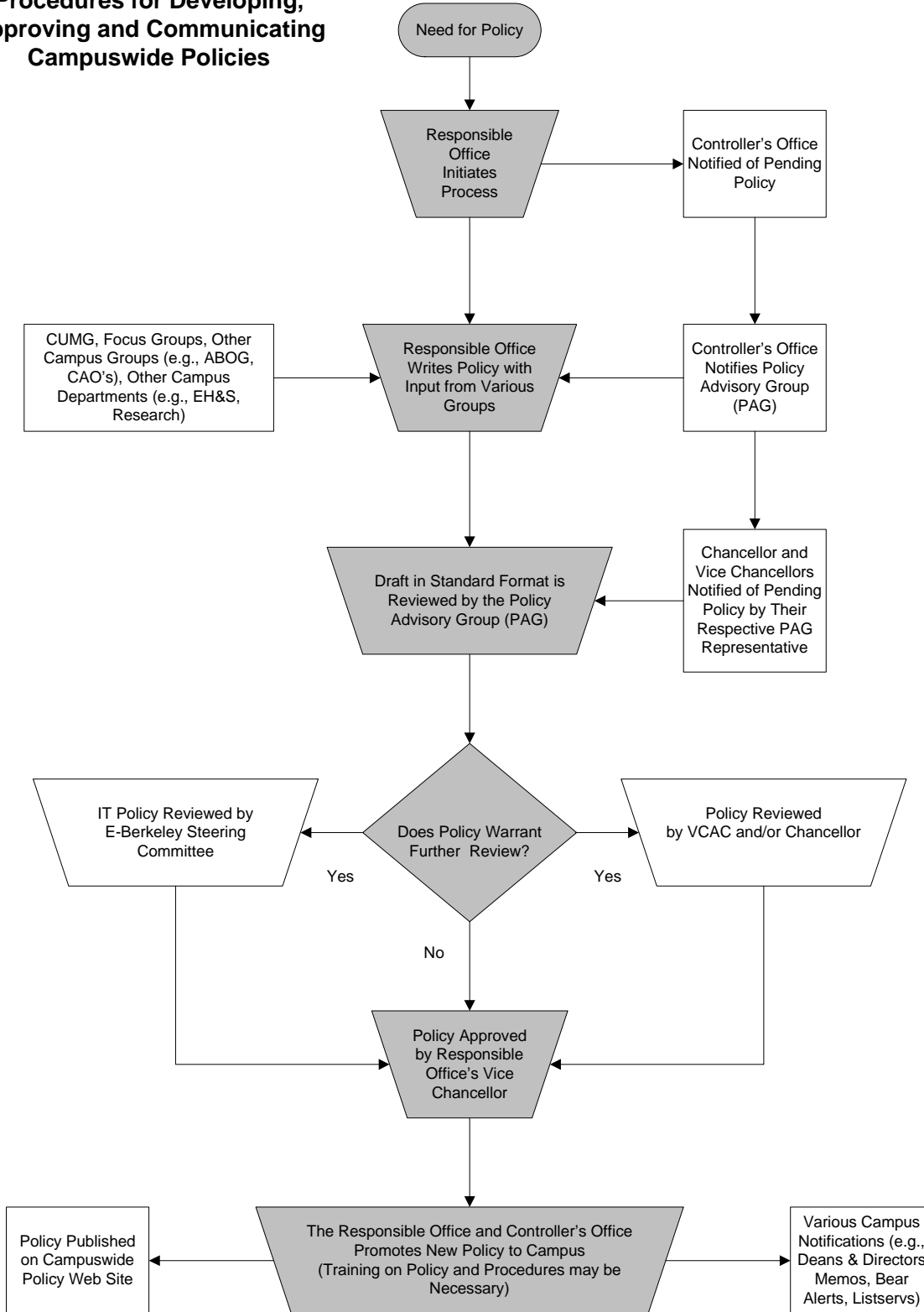
Related Documents

- [Policy Access: Campus Needs and Best Practices Project](#)
- [Navigating UC Berkeley's Business Environment: A Guide to Administrative Responsibilities](#)

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

APPENDIX A:

Procedures for Developing, Approving and Communicating Campuswide Policies



UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

APPENDIX B: PROPOSAL TO ADD OR CHANGE POLICY

1. What is the name of the policy? If this is a request to change an existing policy, also give the name and approval date of the existing policy (provide a copy or Web address if possible):

2. Name and office of the person submitting this form:

3. This policy affects (check all that apply):

CONTROL UNITS

- Budget & Finance
- Business & Administrative Services
- Executive Vice Chancellor & Provost
- Facilities Services
- Research
- Student Affairs
- University Relations
- Specific Entities within Affected Control Units:

CONSTITUENCIES

- Faculty
- Staff
- Students
- Alumni
- Affiliates
- Visitors
- Others (specify):

4. Name and title of the Responsible Executive sponsoring this new or changed policy:

5. Name of the office(s) charged with administering the policy and accountable for the policy's accuracy, interpretation, and updating:

6. If this is a new policy, summarize what it is and why it is needed. If this is a change to an existing policy, explain why the change is necessary:

7. Estimate the impact (financial, workload, etc.) of this policy on the campus:

8. List the names of any individuals or offices you have already consulted about this policy:

UNIVERSITY OF CALIFORNIA, BERKELEY
Policy on Management of Campuswide Policies

APPENDIX C

Members of the Policy Advisory Group, by Title:

The Policy Advisory Group (PAG), chaired by the Controller and staffed by a Policy Access Coordinator, is made up of individuals from a broad range of central, college, and departmental administrative units, as follows:

- One appointee from each control unit who represents the unit's Vice Chancellor
- One appointee from the Chancellor's Immediate Office
- Director of Audit and Advisory Services
- Dean of Students
- Human Resources Policy Coordinator
- Director of Academic Personnel
- Academic Senate Office representative
- Information Technology Policy Coordinator
- Research Compliance Officer
- Director of Controls and Accountability

The composition of the PAG may change as the campus gains experience with the policy approval process. Changes in PAG membership are authorized by the Chancellor.