

UC Davis Policy and Procedure Manual

Introduction

Development and Management of Campus Administrative Policies

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Responsible Department: Offices of the Chancellor and Provost

Source Document: N/A

[*Exhibit A, Structure for Policy and Procedure Manual Sections*](#)

[*Exhibit B, Policy Development Best Practices*](#)

[*Exhibit C, New Policy Development Plan*](#)

[*Exhibit D, Policy Update Submission Checklist*](#)

[*Exhibit E, Administrative Policy Development Process Flow Chart*](#)

I. Purpose

This section provides the policy, procedures, and responsibility for development, review, and approval of all campus administrative policies.

II. Policy

- A. The Policy and Procedure Manual (PPM) issued by the Offices of the Chancellor and Provost is the official source for campus administrative policies and implementing procedures.
 1. The PPM supplements but does not replace Universitywide policies.
 2. Campus administrative policies may be more restrictive than Universitywide policies, but can never be more permissive. The more restrictive policy always applies.
- B. The PPM is a public document and must be made available to employees.
- C. Policy sections in the PPM apply to all units under the jurisdiction of UC Davis, including the UC Davis Health System and all off-site locations.
- D. The PPM contains policies and procedures that are, in general, useful to the entire UC Davis community. It does not include procedures that relate only to the internal operation of a particular department or activity.
- E. The PPM is intended to be a current, practical, administrative guide, with both content and style determined by user needs.
 1. Each policy section must be reviewed and updated by the responsible department every four years or more frequently as required.
 2. The department head is accountable for all information supplied in the policy sections for which his/her department is responsible.

III. Roles and Responsibilities

- A. Policy developer/responsible department
 1. Reviews and updates assigned policies as needed (at least once every four years) to ensure accuracy of procedures and references, and continued compliance with applicable policies, regulations, and laws.
 2. Responds to user questions regarding assigned policies and revises policies as needed for ease of use.
 3. Conducts appropriate consultation during the initial development phase.

4. Consults with the Unit Policy Coordinator and Administrative Policy Office during the development process and responds to questions or comments.
 5. Initiates new policies as required to provide guidance to campus.
 6. Provides and updates hyperlinks within the policy section to references and other resources.
- B. Department head
1. Designates at least one employee to register for notifications when new or revised policies are issued by the Administrative Policy Office for distribution within the department as appropriate.
 2. Ensures that all employees have access to the current policy and procedure manuals.
 3. Assigns policy developer to revise and update policy sections for which he/she is responsible.
 4. Ensures that policy sections are maintained accurately, in compliance with other policies, regulations, laws, and delegations of authority.
- C. Unit Policy Coordinator
1. Acts as primary policy contact in managing policy-related activities within the department or unit.
 2. Guides and assists policy developers during all stages of the policy development process.
 3. Works with departments and the Administrative Policy Office to ensure timely and accurate update of policy sections.
 - a. Solicits target dates from responsible departments and provides information to the Administrative Policy Office.
 - b. Monitors target dates, solicits drafts or updated targets, and status of approvals from responsible departments as appropriate.
 4. Provides current policy files to departments for updating.
 5. Reviews submitted policy sections to ensure appropriate structure, styles, and accuracy of details (e.g., referenced policies, position titles, department names, and links) prior to submission to the Administrative Policy Office.
 6. Distributes official reviews appropriately within the Vice Chancellor/Vice Provost/Deans office and coordinates comments for submission to the Administrative Policy Office.
- D. Vice chancellor/vice provost/dean
1. Is responsible for the accuracy of policies maintained by reporting departments.
 2. Assigns a Unit Policy Coordinator to solicit and track update of outdated policies.
 3. Approves policy and procedure sections for functional areas under his/her jurisdiction.
 4. Ensures access to current policies for employees without internet access, and for emergency purposes (e.g., network outages).
- E. Administrative Policy Office
1. Establishes and enforces standards for structure and style of policy sections.
 2. Establishes standards for policy reviews and updates.

3. Leads policy development in areas identified as high risk or compliance issues for the campus.
 4. Manages the official review of draft policies among appropriate units and resolution of issues raised during policy review.
 5. Manages publication and campus communication of approved policy sections.
 6. Initiates deletion of policies that have not been reviewed in the past 10 years.
 7. Serves as office of record for administrative policies and regulations.
- F. Provost and Executive Vice Chancellor
- Makes final decisions related to highly sensitive disputed issues raised during development.

IV. Procedures

- A. Initiating a new policy
1. The policy developer identifies the need for a new policy and consults with the Unit Policy Coordinator and Administrative Policy Office regarding development by completing the Policy Development Plan (see Exhibit C).
 2. If appropriate for inclusion in the campuswide manual, the Administrative Policy Office issues a policy number for the new policy, assigning it to the appropriate chapter.
 3. Policy developer
 - a. Consults with other subject matter experts, including the Administrative Policy Office and Campus Counsel as needed, to conduct appropriate research.
 - b. Drafts the new policy using the appropriate template and generally following the format described in Exhibit A.
 - c. Sends the completed draft to the Unit Policy Coordinator.
 4. Unit Policy Coordinator
 - a. Reviews the draft to ensure basic accuracy, consulting with the vice chancellor/vice provost/dean as needed.
 - b. Submits the draft to the Administrative Policy Office to initiate the formal review process.
 - c. Coordinates policy developer response to comments and questions returned by the Administrative Policy Office.
- B. Updating an existing policy
1. Policy developer
 - a. Identifies the need to update an existing policy due to changes in systemwide policy, other UC Davis policy, internal procedures, Federal or State laws, or four-year review cycle.
 - b. Requests the file from the Unit Policy Coordinator and enters the changes into the file using the Track Changes function.
 - c. Consults with other subject matter experts as necessary to ensure accuracy of information.

- d. Reviews all contact information, department names, position titles, references, Web links, etc., to ensure continued accuracy of information.
 - e. Submits the draft to the Unit Policy Coordinator with a summary of the changes and a list of subject matter experts/reviewers who provided input.
2. Unit Policy Coordinator
 - a. Reviews the draft to ensure basic accuracy, consulting with the vice chancellor/vice provost/dean as needed.
 - b. Submits the reviewed draft to the Administrative Policy Office with the summary of changes and list of reviewers to initiate the review process.
 - c. Coordinates policy developer response to comments and questions returned by the Administrative Policy Office.
- C. Policy review and approval
- Administrative Policy Office
1. Reviews the draft for clarity and accuracy, editing and streamlining as appropriate for ease of use.
 2. Returns any questions or comments to the Unit Policy Coordinator/policy developer for resolution.
 3. Determines required reviewers and distributes the finalized draft for formal review.
 4. Coordinates review comments and consults with the Unit Policy Coordinator/policy developer to resolve any outstanding issues.
 5. Obtains appropriate approvals.
 6. Publishes the approved policy to the Administrative Policy website.
- D. Reissuing a policy
1. A policy may be reissued if it is still compliant and requires only minor technical updates at the time of its four-year review.
 2. A final approval will be distributed to verify that the policy was reviewed for accuracy.
 3. When a policy is reissued, a reissued date is appended to the approval date.
- E. Requesting a technical update
- Technical updates occur between review cycles to provide clarification or minor procedural changes (e.g., changing a department name in procedures to reflect an organizational change).
1. Technical updates cannot be used to make substantive changes to policies or procedures.
 2. The number of technical updates to a single policy section should be minimal. Multiple technical updates generally indicate that the policy should be reviewed and updated.
 3. Technical updates will not be made to policies that are due for update and require full update and review.
 4. When a technical update is made to a policy, a revision date is appended to the approval date. The revision date does not modify the normal review cycle for the policy.
- F. Deleting a policy

1. Requests to delete a policy must be sent, via email, to the Administrative Policy Office.
2. The request must provide the reason for deleting the policy and provide reference to the location where current information may be found (if applicable).
3. If necessary, the Administrative Policy Office will consult with appropriate offices (e.g., Campus Counsel, Audit & Management Advisory Services) before deleting the policy.

G. Interim changes to a policy

1. Temporary changes to a policy can be issued by forwarding notice of the necessary change to the Administrative Policy Office.
 - a. The notice must include a brief explanation of the new or changed policy, reason for the change, the effective date of the change, and contact information for the department that can provide additional information.
 - b. The notice must be accompanied by a completed New Policy Development Plan (Exhibit C) when a new policy must be developed, or by a timeline for update when a relevant policy already exists.
 - c. The interim change may remain in effect no longer than one year from the effective date.
2. The Administrative Policy Office will post a link to the notice on the website and will send the link to the policy update mailing list.

H. Policies required and reviewed by an external accrediting agency

1. Departments who are responsible for specific policies that are required and reviewed by an external accrediting agency may choose to maintain those policies outside of the PPM.
 - a. Departments must choose between either including their policies in the PPM or maintaining them separately, but will not have the same policies maintained in two separate locations.
 - b. Policies that are maintained on the department's website must specify the external agency that reviews those policies.
 - c. Departments that choose to maintain those policies on their own website should inform the Administrative Policy Office of the location of those policies so that a link may be included on the Administrative Policy Manuals website.
2. Departments who choose to maintain those policies allowable outside of the PPM are responsible for all development, review coordination, maintenance, and record-keeping of the policies, and for complying with all requirements of the external agency.

V. Further Information

- A. Additional resources for policy developers are available at <http://manuals.ucdavis.edu/resources.htm>.
- B. Detailed information regarding initiating and updating policies is available in the Guide to Writing and Maintaining Campuswide Administrative Policy at <http://manuals.ucdavis.edu/resources/GuidetoWritingPolicy.pdf>.
- C. The list of Unit Policy Coordinators is available at <http://manuals.ucdavis.edu/resources/coordinators.htm>.

- D. For more information regarding the development, review, and approval process, contact the Administrative Policy Office; policy@ucdavis.edu.