

Understanding UC Davis Administrative Policies

This guide is designed to provide users of the policies with information regarding the two administrative policy manuals that guide personnel, business, and research activities at UC Davis. It provides an overview of the Administrative Policy Web site and hands-on exercises to learn how and where to find information in the policy manuals.

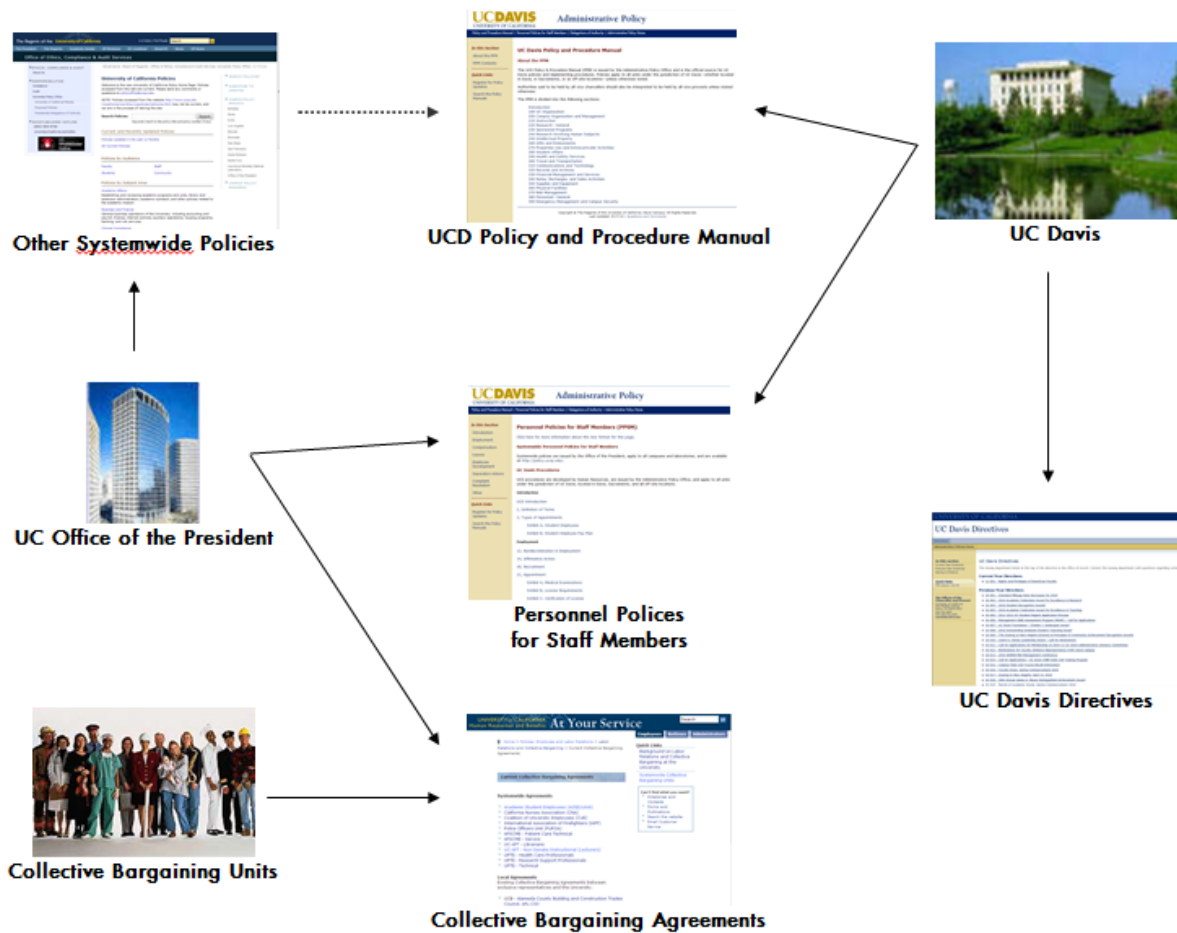
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Questions and Comments

Questions, comments, and suggestions regarding this document may be sent to the Compliance and Policy Unit, policy@ucdavis.edu; Rev. 10/23/2012

Who Writes Our Policies



The UC Office of the President publishes a variety of policies that apply to all campuses across the UC system, including Presidential policies, Business and Finance Bulletins, Policies Applying to Campus Activities, Organizations, and Students, and the systemwide Personnel Policies for Staff Members. The Office of the President consults with stakeholder departments on the campuses to gather input on those policies.

The Policy and Procedure Manual, or PPM, is developed from a number different sources. Certain campus policies, such as Electronic Communications, Whistleblower, and Entertainment with University Funds, are the campus's procedural implementation of systemwide policies. Other policies, such as Maintenance of Order and Use of University Name, are implementation of State Codes. Still other policies, such as University Airport and Employee/Affiliate ID Cards, are campus specific and are developed to maintain consistency and expediency in campus business.

Collective bargaining agreements are negotiated directly between Office of the President and the Collective Bargaining Units.

Administrative policies should be updated every 4-5 years, or for any of the following reasons:

- When UCOP issues changes, updates, or a new policy.
- When laws, government regulations, or court rulings dictate a change.
- When audits show problems or lack of clarity in policies.
- When local procedures change due to reorganization or implementation of new systems.

The UC Davis Administrative Policy Website

The UC Davis Administrative Policy Manuals Web site is the official source for all UC Davis regulations and contains links to the following relevant policy manuals:

- Policy and Procedure Manual (PPM)
- Personnel Policies for Staff Members (PPSM)
- UCOP Policy Website
- UC Records Disposition Schedules

The policies contained within the administrative policy manuals apply to all UC Davis units, including UCDHS and other off-site locations.

The Web site also contains links to other regulatory information, such as directives and collective bargaining agreements.

The Policy Manuals

Policy and Procedure Manual (PPM)

The PPM contains the official campuswide administrative policies. These policies go through an extensive consultation and review process before being approved for implementation on campus, as described later in this document. Policies within the PPM apply to all UC Davis employees and location. The standard policy template is broken into the following sections:

- **Header**
Includes approval date, name of department responsible for content, and the source document for the policy.
- **Purpose**
Provides a brief summary of the information contained in the policy.
- **Policy**
Statement of the governing principle, plan, or understanding that guides the responsibilities, authorities, and procedures described.
- **Procedures**
Actions required for compliance.
- **Roles and Responsibilities**
Specific authorities or tasks assigned to positions.

- **Further Information**

Where to direct questions or find information.

- **References and Related Policies**

List of applicable Federal or State regulations, systemwide policies, and related UC Davis policies.

Questions regarding a policy in the PPM should be directed to the Responsible Department listed in the header.

Personnel Policies for Staff Members (PPSM)

The PPSM applies to all PSS, MSP, and SMG employees. The systemwide PPSM provides the overall governing policy, while the campus manual provides the campus-specific implementation. When referring to the PPSM, both the systemwide policy and campus implementation should be reviewed.

All questions regarding the content of the PPSM should be directed to Human Resources (<http://www.hr.ucdavis.edu>).

UCOP Policy Site

The UCOP Policy site is maintained by the systemwide policy office, and is the source for all official policy issued by Office of the President. It is also the home of all Presidential Delegations of Authority. When relevant, UCOP policies are referenced and linked in our local policies.

Because systemwide policies apply to all campuses across the system, we avoid repeating that information in our local policies. When it is appropriate, our local policies will refer to systemwide regarding limitations, restrictions, and information that is not specific to our campus.

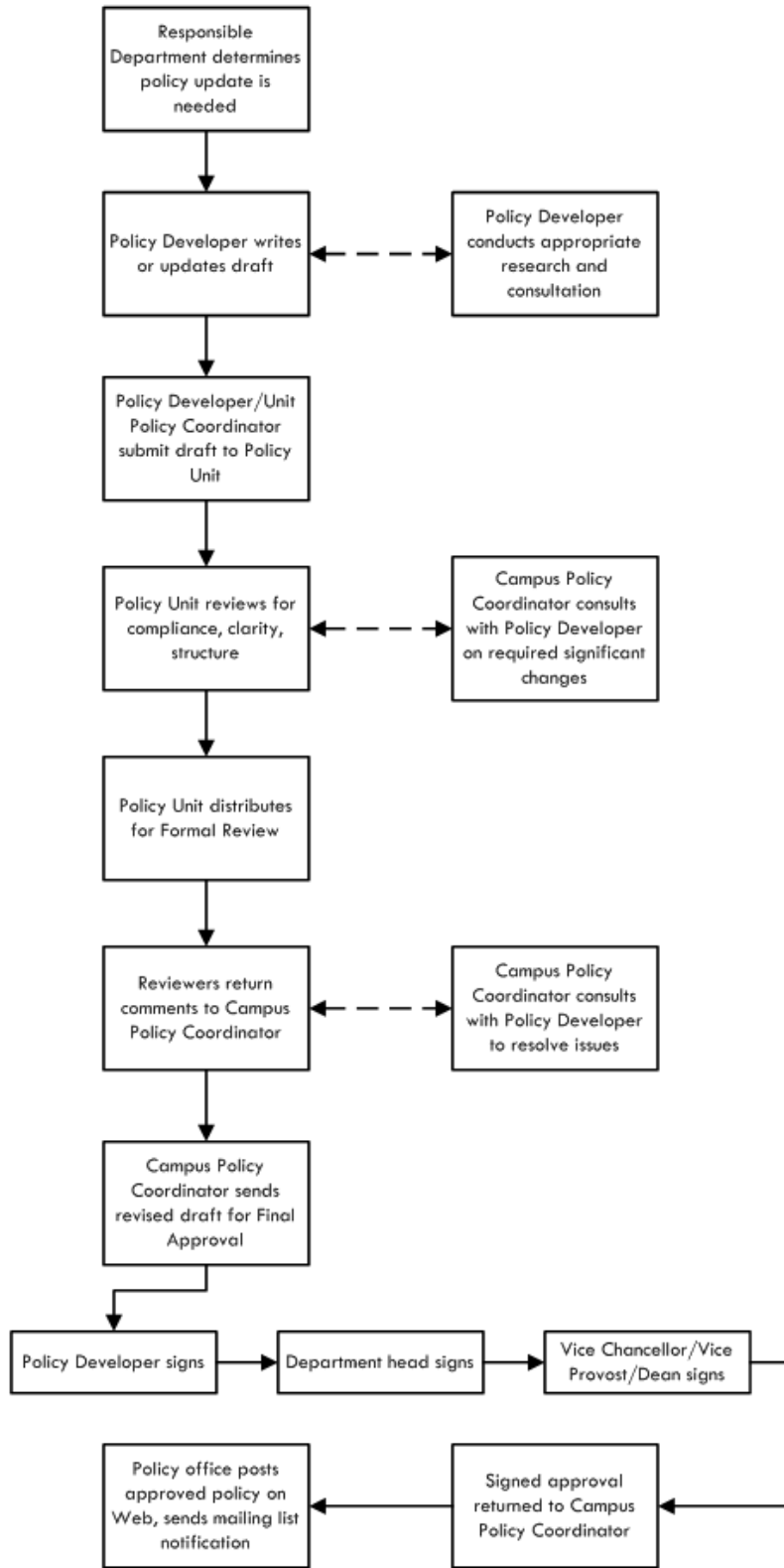
UC Records Disposition Schedules Manual

The UC Records Disposition Schedules is the systemwide manual that provides the retention schedule for all official University records. Department should dispose of records according to the schedule in this manual to prevent issues related to liability and workload in public records requests. Questions regarding the retention of records should be directed to the Information Practices Coordinator (<http://campuscounsel.ucdavis.edu>).

The Policy Development Process

The policy development process varies in length of time. Some policies can move through the process in as short as a couple of months, but most generally take longer than that. The time it takes to move a policy completely through the development, review, and approval process is affected by the content of the policy (i.e., if it is particularly controversial or sensitive), by the number of comments gathered during consultation and review, and by how long it takes the policy developer to respond to those comments gathered during the review stage.

The following flow chart provides an overview of the policy development process:



The role of the responsible department is to:

- Supply accurate and appropriate content.
- Submit updated drafts in a timely manner.
- Ensure the continued accuracy of all position titles, department names, related policies, and links referenced in the policy.
- Conduct any needed initial consultation with relevant departments who are cited in the policy or play a role in the procedures.
- Provide a timely response to the Campus Policy Coordinator regarding concerns and comments.
- Provide additional guidance to campus regarding policy content and update policies accordingly for greater clarity.

The role of the Campus Policy Manager is to:

- Establish standards for style and content, and enforce those standards to ensure clarity.
- Determine if new policies are appropriate for the PPM.
- Review policy for compliance with other policies and regulations.
- Request revision from the responsible department when a policy is unclear or noncompliant.
- Conduct formal campus review and respond to submitted comments through consultation with the responsible department as appropriate.
- Lead policy development in high risk areas as needed.

Other Policy Resources

Directives

Directives are used to provide a temporary update to a policy until the review and approval process can be completed. After submitting a directive, the department is responsible for initiating update of the relevant policy as soon as possible but no later than one year following issuance of the directive. Directives are generally issued when there is a compliance or procedural issue that needs to be addressed immediately, not for general changes.

Directives are maintained as part of the Administrative Policy Web site at <http://directives.ucdavis.edu>. Only two calendar years of directives are maintained.

Delegations of Authority

Campuswide delegations originate from UCOP in the form of a Presidential delegation or systemwide policy that grants certain authorities to the Chancellor. Campuswide delegations are not used to assign specific tasks, general position responsibilities, or coverage during the temporary absence of an official. When a delegation of authority is relevant to a campuswide policy section, a reference to the delegation is provided in the policy.

All official campuswide delegations of authority are maintained as part of the Administrative Policy Web site at <http://manuals.ucdavis.edu/Information.htm>.

Collective Bargaining Agreements

Collective bargaining agreements are negotiated by UCOP and the collective bargaining units. There are no campus procedures to correspond to collective bargaining agreements. When addressing issues related to represented employees, always refer to the appropriate collective bargaining agreement, not the PPSM.

Specific questions regarding collective bargaining agreements should be directed to Human Resources (<http://www.hr.ucdavis.edu>).

Test Your Knowledge—Content

- Who would you contact if you have a question about PPM Section 260-45?
- What UCOP policy is the source document for PPM Section 350-05?
- According to PPM Section 380-05, what type of ID card should be carried by a student employee?
- What manual would you look in to see if your clerical union employee has a waiting period to take vacation time?

The Policy Search Engine

The policy search engine, available at <http://manuals.ucdavis.edu/search.htm>, searches the two administrative policy manuals, the systemwide policies, and collective bargaining agreements. You can search a specific manual by entering the acronym for that manual with your search phrase. The policy search engine is powered by Google, which means you can use the same style queries you would for your normal Google searches, and the search results are returned directly from the Google index.

Searching Techniques

Use of multiple search terms are automatically changed to *and* queries. For examples, entering a search for *bereavement leave* will search for *bereavement* and *leave*. This means that both words must appear somewhere in the document, but not necessarily as a phrase.

To search for an exact phrase, use quotation marks around the search phrase. Be aware that using an exact phrase match may limit your search results too much. For example, searching for “*field trip*” will return different results than for “*field trips*.”

The search engine is not case sensitive. Any combination of upper and lower case letters will return the same results.

The search engine uses stemming, which means that it will find variations of a word. For example, a search for *salary* will also return results for *salaries*.

The search engine will also find common synonyms if you enter ~ before your search term. For example, a search for ~*salary* will return results for *salary*, *compensation*, *pay*, and *wages*.

Additional tips and techniques for searching are available at <http://www.google.com/help/basics.html>.

Search Engine Limitations

- Search results are only as good as the search query you enter.
- Newly posted policies may not be included in search results immediately.
- Spelling matters. If you misspell a word, you may not get accurate search results.
- Broad search terms will return the most results, which will require more review by the user.
- Very specific search term will return fewer results, but may exclude relevant information if too narrowly focused.

Searching vs. Browsing

For the most part, whether it is better to search or browse for information is a matter of personal preference. Browsing can be more efficient if you know exactly what you are looking for and where it is located, but searching can sometimes return results you didn't know about. In general, it is important to be aware of the various techniques available to locate information, the benefits and limitations of those techniques, and use the method that works best for your needs.

Test Your Knowledge—Finding Policies

- What is the policy on giving awards to employees for outstanding performance?
- Can you serve champagne at an office event? Can you pay for it with University funds?
- How often are departments supposed to complete a physical equipment inventory?
- Who is eligible to be a Principal Investigator on a research project?
- How much can you spend on meals on a business trip? How much can you spend on lodging?
- When can records of corrective action be removed from a personnel file?

Getting Information

Revision Pages

Revision pages contain a quick reference and synopsis of recent changes in a campuswide manual and provide a link to the updated policy. Links to revision pages for each administrative policy manual are available on the Administrative Policy home page (<http://manuals.ucdavis.edu>).

Register for Updates

Notifications of new and updated policies are sent as needed at the end of each week when the policy has been posted. The notice contains the same information supplied on the revision page. Go to <http://manuals.ucdavis.edu/register.htm> for instructions on registering for updates.

Answers

Test Your Knowledge—Content

- Who would you contact if you have a question about PPM Section 260-45?
Accounting and Financial Services (the responsible department listed in the header)
- What UCOP policy is the source document for PPM Section 350-05?
Policy on Sustainable Practices (identified in the header)
- According to PPM Section 380-05, what type of ID card should be carried by a student employee?
A student ID card (II.A.1)
- What manual would you look in to see if your clerical union employee has a waiting period to take vacation time?
None. You would refer to the CX collective bargaining agreement

Test Your Knowledge—Finding Policies

- What is the policy on giving awards to employees for outstanding performance?
PPM Section 380-50; PPSM Procedure 34
- Can you serve champagne at an office event? Can you pay for it with University funds?
Yes, but with certain restrictions; non-State funds only (PPM Sections 270-21 and 330-80)
- How often are departments supposed to complete a physical equipment inventory?
Every other year (PPM Section 350-55)
- Who is eligible to be a Principal Investigator on a research project?
Eligibility list is provided at the beginning of Section 230-02
- How much can you spend on meals on a business trip? How much can you spend on lodging?
Actual expenses up to \$71 when travel is overnight; reasonable amount for location (PPM Section 300-10; BFB G-28)
- When can records of corrective action be removed from a personnel file?
2 years after effective date; 5 years for police titles (PPSM 62; UC Records Disposition Schedules Manual)