Management of Systemwide Mandatory Training Courses

Responsible Officer:	EVP - Business Operations
Responsible Office:	BO - Business Operations
Issuance Date:	9/11/2013
Effective Date:	9/11/2013
Scope:	This policy describes management oversight for any new and/or revised systemwide-mandated training.

Contact:	Compliance Officer
Email:	ECAS@ucop.edu
Phone #:	510-987-0479

I.   POLICY SUMMARY

Members of the University of California (University) community are committed to its threefold mission of teaching, research and public service. Pursuit of this mission requires a shared commitment to the highest ethical, legal and professional behavior. To this end, University employees receive education and training to reinforce this shared commitment as well as to comply with the requirements of external and internal mandates.

This policy establishes a framework for the management of systemwide mandatory training for University employees, including approval, development, revision, delivery and maintenance. This policy does not apply to campus- specific mandated courses, or to those courses available to University employees on a recommended basis.

II.   DEFINITIONS

Expedited Review
Process whereby Mandated Training is reviewed by the Academic Senate under Section V(a) of this policy in an accelerated timeline of 60 to 90 days.

Mandatory Training

1. **Externally Mandated Training**
   The source of the external mandate may be federal, state or local laws or regulations, or contractual requirements.

   a. **Statute-mandated training**
      Examples of training mandated by law or regulation include but are not limited to (1) California AB 1825, Chapter 933 Sexual Harassment Prevention Training, and (2) Cal OSHA 3203 (Subchapter 7 Injury and Illness Prevention Program).

   b. **State/Federal Contract-mandated training**
      Examples of funding-source-mandated training include, but are not limited to (1) National Institutes of Health (NIH) contracts and grants and (2) National Science Foundation (NSF) contracts and grants.

2. **Internally Mandated Training**
   Training required by systemwide *policy, protocol, and/or directive* for all employees and/or students, or to certain classifications of employees and/or students across all locations with a specific role function. Examples include but are not limited to data security, ethics and compliance program briefings, and conflict of interest training for University Designated Officials.

Mandatory Training Course Proposal and Management Plan (Management Plan)
The Management Plan is a training course blueprint created by a Requesting Office (see definition below) for developing or for substantially revising a Mandatory Training course. The Management Plan (Appendix A) must include:

1. A background statement that includes a brief description of the statutory, regulatory, contractual or policy requirements, or the practical or operational considerations that have created the need for a new course, or for Substantial Revisions (see definition below) to an existing course

2. A brief description of the purposes, goals, and learning objectives of the course

3. A statement of course content, estimated cost with a rationale for the preferred training method, assessment procedures and completion requirements, including:

     a. A defined targeted group;

     b. A brief, sequential outline of the course's substantive content;

     c. The estimated time for a participant to complete the course;

     d. A list of similar or related courses, an explanation why other course offerings do not meet the need for this content, and why they cannot be modified to meet the need;

     e. A budget justification for course development with the following key elements;

          i. An estimated budget for course delivery with cost comparison of different methods including an itemized budget including estimated dollar amounts for each category of cost, e.g., cost of instructor, and an estimated total cost for course delivery;

          ii. A workforce impact statement, including estimates of the number and type of employees included;

          iii. A brief description of mandated employee completion frequency, along with rationale; and

          iv. A description of outcome effectiveness measures, quality assessment mechanisms, and feedback mechanisms.

Systemwide Mandatory Training Course Management Team (Management Team)

The President's Compliance and Audit Committee (PCAC) will be responsible for appointing a Management Team which will provide ongoing oversight to all systemwide Mandatory Training for University employees, with a reporting mechanism to the PCAC. The number and composition of team members will be determined by the PCAC but will comprise, at a minimum, representation from systemwide divisional leadership, the Academic Senate, and the Office of General Counsel.

Requesting Office

The systemwide office or department responsible for requesting, implementing, and/or enforcing the standards, requirements or behaviors defined or described in a given Mandatory Course. The Requesting Office must comply with this Policy when proposing a new mandatory course, or when revising or deleting an existing course following regular review (see section V Procedures).

Substantial Revision(s)

Substantial revisions to an existing course means changes in the scope or changes to the substantive standards, requirements or behaviors with which participants must comply. In the review of a proposal to substantially revise an existing course, the Management Team and the Academic Senate may elect to review the original rationale of the course.

III.   POLICY TEXT

Mandatory systemwide training shall be developed, maintained, revised, delivered and approved pursuant to the comprehensive and uniform process set forth in this Policy. The intent of this Policy is to encourage efficient course development, to eliminate overlapping, inconsistent and unnecessary courses, to prompt regular review of all mandatory courses, and to ensure that mandated courses reflect current legal, regulatory, contractual and policy standards. To enhance compliance with University training mandates, the administration of systemwide mandatory training will be certified pursuant to this Policy.

IV.   COMPLIANCE / RESPONSIBILITIES

A. Requesting Office:

- Identifies the need at the System level for new courses or substantial change, consults with sponsoring offices of related courses, determines relationship to or overlap with existing courses, and completes the Management Plan.
- Leads the development of the Management Plan following approval by the Management Team and the Academic Senate.
- Ensures appropriate subject matter experts are involved in the development and/or review of course content for regulatory, legal and subject-specific criteria specific to the University.
- Submits final draft courses to the Management Team and Academic Senate for review and approval.
- Establishes and implements a comprehensive communication plan to appropriate campus leadership.
- Develops, tracks and reports on employee compliance to appropriate University location leadership.
- Reviews and maintains courses.

B. Management Team:

- Reviews and approves or declines all Management Plans submitted for approval by the Requesting Office for new or revised courses or refers them back to the Requesting Office for further action.
- Reviews and approves or declines all requests to delete an existing course.
- Confers with the Requesting Office if it has not met its responsibilities for reviewing and maintaining a given course.
- Confers with Academic Senate representatives on recommended revisions to Management Plan form or content of Mandatory Training course.
- Maintains an inventory of Mandatory Training and tracks review dates.

- Provides the President and Provost through the PCAC with an annual report summarizing Mandatory Training courses offered, detailing any changes or enhancements made to any courses during that period.

C. Academic Senate:
- Reviews and recommends approval or rejection of Course Management Plans received from the Management Team submitted for approval by the Requesting Office for new or revised courses.
- May also separately confer with Requesting Office on proposed new courses or on review of, or revisions to, existing courses.
- Reviews and recommends approval or rejection of all requests to discontinue an existing course.
- Confers with Management Team representatives on recommended revisions to Requesting Office's Management Plan form or content of Mandatory Training course.
- Once revisions/applications are accepted/rejected, reports back to the Management Team for advancement to the next step.

V.   PROCEDURES

A. Mandatory Training Course Approval Process
A Requesting Office wishing to propose and develop a new Mandatory Training course must complete steps 1-8, below with a recommended lead time of 8 months. A Requesting Office wishing to make Substantial Revisions to an existing mandatory course must complete steps 1b-8, below with a recommended lead time of 6 months.

Step 1: The Requesting Office:
a. Completes the Management Plan form following collaboration with appropriate systemwide leadership on rationale for the desired course;
b. Submits the Management Plan form to the Management Team to review for completeness of application process and compliance with this policy, then, upon approval;
c. Transmits a copy of the Management Plan form to the Academic Senate with a request for review, or expedited review, if necessary:
   - The Academic Senate office will follow review procedures, transmitting the Management Plan form to committees with expertise in the area of the proposal, e.g. research, faculty welfare, and others as appropriate.
   - Committee comments will be returned to the Academic Senate leadership, and a single Academic Senate response will be synthesized and transmitted to the Requesting Office and Management Team.
   - Academic Senate leaders may choose not to opine on specific Management Plans.

Step 2: The Management Team reviews Academic Senate responses and communicates with the Requesting Office. Following revisions, as appropriate, by the Requesting Office, the Management Team recommends approval or disapproval of the Management Plan and submits to the PCAC for final determination.

Step 3: Following the PCAC decision, the Requesting Office will be notified of the decision and can begin development of the course, if approved, or further develop the Management Plan, if disapproved.

Step 4: Once the Requesting Office has developed the course with appropriate subject matter expertise and legal counsel involvement, or completed Substantial Revisions to an existing course, the Requesting Office submits the draft course to the Management Team for review and comment.

Step 5: The draft course is then forwarded to Academic Senate for review and comment.

Step 6: In the absence of significant concern regarding course content, the date on which the Management Team certifies approval of the course is the effective date of the course.

Step 7: Following the Management Plan, the Requesting Office collaborates with appropriate offices to deliver the systemwide course, which is then tracked through the Learning Management System and rates of completion reported as applicable.

Step 8: In accordance with Presidential directives, University location leadership is accountable for taking appropriate action to ensure that those University employees who are required to complete the systemwide mandated training, do so in keeping with the training schedule established by the Management Team. The Requesting Office maintains the data collected by the Learning Management System from participant evaluation of the course, and uses that data in conducting regular reviews of the Mandatory Training courses.

B. Mandatory Training Course Review Process

1. **Reviewing Courses:**
   A. At a minimum, each Requesting Office must review each of its Mandatory Training courses six months prior to the start of the next cycle of the course offering.

B. In reviewing its Mandatory Training courses, the Requesting Office must determine: (1) whether statutory, regulatory, contractual or policy requirements or practical or operational considerations require changes or revisions to course content; (2) whether, the course is effective in assisting participants to achieve the stated learning objectives; and (3) whether participant feedback justifies other improvements or modifications to the course.

2. **Maintaining and Discontinuing Courses:**
   Based upon its review of a given course, the Requesting Office must determine if the Mandatory Training course in question requires revisions and:

   A. If the course requires no revision, the Requesting Office must notify the Management Team and Academic Senate that the course remains in effect, and provide the Management Team and the Academic Senate with a new next scheduled review date.

   B. Even if the Requesting Office concludes that the course does not require revision, the Management Team and Academic Senate reserve the right to review the course based on outcome effectiveness measures, quality assessment mechanisms, and feedback mechanisms in determining whether the course should be revised or discontinued.

   C. If a course requires only changes that do not rise to the level of Substantial Revision, the Requesting Office will create a budget, if applicable, and timeline for course revisions. The Requesting Office will make the proposed revisions based on the timeline and will provide the Management Team and Academic Senate with a new next scheduled review date and rationale for non-substantial revisions.

   D. If a course requires Substantial Revision, the Requesting Office must complete section V. A. Steps 1b-8 of the Mandatory Training Course Approval Process, above.

   E. If the Requesting Office determines that an existing course should no longer be required, it must notify the Management Team and Academic Senate, and provide a brief description of the statutory, regulatory, contractual or policy changes, or the changes in operational or practical considerations, that have rendered the course unnecessary. The Management Team and Academic Senate will review the proposal for discontinuance. If approved, the Requesting Office may discontinue the course from the schedule of Mandatory Training courses, and stop delivering it.

3. **Compliance with Course Review and Maintenance Requirements:**
   The Requesting Office is responsible for calendaring dates by which mandatory training must be reviewed. The Management Team will notify the Requesting Office and the appropriate senior leadership if the Requesting Office has not met its course review and maintenance responsibilities for a given Mandatory Training course within sixty (60) days of the next scheduled review date.

4. **Reporting Requirements for Mandatory Training:**
   An annual report summarizing Mandatory Training courses and detailing any interim changes or enhancements made to online Mandatory Training will be presented by the Management Team for review and submission to the PCAC.

VI.   RELATED INFORMATION

Statutes that require training, e.g., CA or Federal law;
July 18, 2009 Enforcement Letter from President Yudof to Chancellors outlining enforcement authority.

VII.   FREQUENTLY ASKED QUESTIONS

N/A

VIII.   REVISION HISTORY

9/11/2013: initial issuance date.
6/16/2020: change contact info

Appendix A

Systemwide Mandatory Training Course
Proposal/Management Plan Form

1. Course Title:	
☐ New	
☐ Existing Course/Substantial Revision	
☐ Existing Course	
2. Background of Course Requirements	
Is this training required by statute or regulation	Yes ☐ No
If yes, please provide the regulatory citation, and include the mandated frequency and duration of training, if applicable:	
• Is this training mandated by State or Federal contract?	☐ Yes ☐ No
If yes, please provide the contract name/date and include the required frequency and duration of training, if applicable:	
Is this training proposed to be internally mandated (UC), but is not mandated by law, regulation, or contract?	Yes ☐ No
If yes, please provide a policy link or citation to policy, protocol or other directive, and required frequency and duration of training, as applicable	
• Provide a brief description of the practical or operational considerations that have created the need for a new course. If this is a proposed revision of an existing course, provide a copy of the original justification or rationale for the course as well as the justification/rationale for the revision	
3. **Course Summary** *(provide a brief description of the purpose(s), goals, and learning objectives of the course)*	

List a brief, sequential outline of the course's substantive content *(or attach an outline):*
List the estimated time for the participant to complete the course:
List any similar or related courses, with an explanation why the other current course offerings **do not** meet the need for this content, or why they cannot be modified to meet the need, and include applicable responses from other Sponsoring Offices: (*attach documentation as needed*)
Describe the employee mandated completion frequency and include rationale for frequency requirement
• List a description of applicable outcome effectiveness measures and feedback mechanisms that will be used to evaluate the course offering

4. **Cost of Course (Budget)** (*provide a budget justification for the course development and implementation and include at a minimum, the following elements)*

An itemized, estimated budget for course delivery that includes the cost of:
   o   Course development;
   o   Course instructor time or fees;
   o   Comparison of different methodologies to deliver course, if applicable
	$

A workforce impact statement including estimates of the number and type of employees mandated to complete the training	

5. Course Development Schedule *(provide the proposed schedule for course development, including a chronological listing of the key action steps/milestones outlined with corresponding target dates for completion)*
Requesting Office:
Requesting Office Contact Signature: **Date:**
Division Head Signature: **Date:**