



# Establishing and Maintaining Presidential Policies

<b>Responsible Officer:</b>	SVP – Compliance & Audit Officer
<b>Responsible Office:</b>	EC – Ethics, Compliance & Audit Services
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<b>Scope:</b>	This Policy applies to all University locations and offices developing and reviewing Presidential <del>P</del> olicies.

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## I. POLICY SUMMARY

The President is the Chief Executive Officer of the University and is responsible for promulgating Presidential ~~P~~olicies\* to support the mission of the University and to carry out related state and federal law and The Regents' Bylaws and Policies (Governing Documents).

This Policy:

- Describes the University of California (UC) approval process for Presidential Policies and sets out the general rules and responsibilities for the development, review, and ownership of Presidential Policies.
- Describes the procedural steps required for policy development, review, and approval ~~for adoption~~ of new policies, and ~~revision of current policies, and~~ rescission of existing policies.
- Outlines required consultation with the Academic Senate, Academic Personnel and Programs (APP) staff, Human Resources (HR), and students.

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

- o Applies across the University of California to all locations unless indicated otherwise in the policy;
- o Ensures compliance with applicable federal, state and local laws and regulations; enhances the University's mission, promotes operational efficiencies, and/or reduces risk exposure;
- o Endures from one Presidential administration to another and sets a course for the foreseeable future; and
- o Receives approval by the President or designated executive upon recommendation of the Policy Advisory Committee (PAC) and the Policy Steering Committee (PSC).

See the University Policy Office (UPO) website for additional information on the difference 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 Provost and Executive Vice President of Academic Affairs, or to the Academic Senate, or delegated to the Provost and Executive Vice President of Academic Affairs.

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## II. DEFINITIONS

**Presidential Policy:** A governing principle that mandates or constrains actions and:

- Applies across the University of California to all locations unless indicated otherwise in the policy;
- Ensures compliance with applicable federal, state and local laws and regulations; enhances the University's mission, promotes operational efficiencies, and/or helps to reduce 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 the Policy Advisory Committee (PAC) and the Policy Steering Committee (PSC).

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See further details on the definition between a policy and a procedure from the UPO website.

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

**30-day (calendar) comment period:** A public comment period for Presidential Policies that includes ~~a~~ All of the days in a 30-day period, including weekends and holidays.

**Campus Policy Managers/Group Office:** Individuals/offices on each campus responsible for local policy management. The list of campus policy contacts can be found on the UPO website.

**Comprehensive Review:** ~~Also considered a~~ full review comprising substantive review, this process includes changes to ~~at~~ the Presidential Policy's substance/content, mandates, or principles ~~and~~ which requires consultation and vetting by Stakeholders, review by the required bodies as appropriate (e.g., Academic Senate, Human Resources, Academic Personnel, students) and full review by the Policy Advisory Committee (PAC), UC Legal – Office of the General Counsel (UCL-OGC) and Policy Steering Committee (PSC). All existing Presidential Policies that undergo a Comprehensive Review ~~must~~ will be considered by the President and, if approved, will be re-issued by the President.

**Effective Date:** The date that the version of the policy is first enforceable.

**Guideline:** A written document that describes best practices ~~and~~ or the recommended process for implementing a policy or addressing a particular topic. 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~~ get their input as part of the consultative process. ~~Once~~ Upon completion, ~~G~~ guidelines are included and posted ~~o~~ in the Presidential Policy website.

**Initial Issuance:** ~~The release of a new Presidential Policy by the Universitywide Policy Office (UPO).~~

**Interim Policy:** A provisional/temporary policy issued when a Presidential Policy is needed within a period too short ~~to complete~~ for the Presidential Policy Approval Process to be completed. ~~Interim Policies are typically issued while the Responsible Office is in the process of developing the full policy but the new regulations or requirements are needed by the University in an immediate timeframe than the typical policy approval process. An Interim Policy is effective for six months, with possible renewal in additional six-month increments, while the Responsible Office finalizes the development or revision of the policy and completes the Presidential Policy Approval Process. An Interim Policy must receive recommendation for approval by the PAC, OGC and the PSC with final approval by the President.~~

**Issuance Date:** The date of the Issuance Letter for new or re-issued Presidential Policies.

**Issuance Letter:** A cover letter signed by the President that officially issues a Presidential Policy and makes the Policy available to the University community and the public on the Presidential Policy website.

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**Plain Language:** ~~Clear, succinct writing, designed to ensure the reader understands as quickly and completely as possible.~~

**Policy Action Form:** ~~A required document that is~~ part of the Presidential Policy Approval Process, ~~a required document~~ drafted by the Policy Owner (PO) and ~~submitted/presented~~ to the PAC and PSC ~~that for review. The form includes the following detailed information:~~ describes the need for the policy; ~~and~~ outlines the process taken to develop or revise it; ~~discusses the impact, associated risks or risk mitigation; and includes a lists of the 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, Human Resources, students, Academic Personnel, or staff; and a training plan.~~ The ~~form~~ is available ~~from on~~ the UPO website.

**Policy Advisory Committee (PAC):** The group designated by the PSC ~~to be~~ responsible for reviewing ~~all~~ proposed ~~Presidential P~~olicies and recommending them for approval to the PSC. PAC members represent divisions of the Office of the President and ~~include~~ a member from the Campus Policy Managers Group. ~~Their role is to review all proposed policy actions. The~~ PAC membership can be found on the [Policy Governance Site](#).

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

**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 PSC is chaired by T~~he SVP/Chief of Compliance and Audit Officer of Ethics, Compliance, and Audit Services ~~chairs~~ the PSC. PSC membership can be found on the [Policy Governance Site](#).

**Presidential Policy Approval Process:** The process for submitting a Presidential Policy for approval, which includes review and approval by the PAC, final legal review and approval by [UCL-OGC](#), approval by the PSC and issuance by the President. All new and revised Presidential Policies, except for policies undergoing ~~T~~technical ~~Review~~changes and Interim Policies, are required to go through the Presidential Policy Approval Process.

**Presidential Policy Template (Template):** The approved standardized format and style for all Presidential ~~P~~olicies. This ~~template-Template~~ is available ~~from on~~ the UPO website. Adherence to this template 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 ~~organizational~~ policies. Procedures, as applicable, in Presidential Policies are typically high-level and include steps and implementation mandates that all locations must follow.

~~In addition, m~~Many policies ~~have include~~ links to freestanding procedural documents located on departmental websites that ~~are linked within the corresponding Presidential Policy, as applicable. These linked procedure documents~~ often list best practices ~~and/or~~ steps each location can take ~~to for~~ implementation ~~of the P~~olicy. ~~Presidential policies typically do not include specific campus implementation steps or processes that are not applicable across the system.~~

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See ~~further details~~ [the UPO website for additional information](#) on the ~~difference~~ [definition](#) between [a policy and a procedure](#) ~~from the UPO website~~.

**Rescission:** The decommissioning of a ~~Presidential P~~olicy that is no longer needed or where the content has been incorporated into another policy. ~~Policies needing Rescission must still go through a thorough review process by the PAC, OGC, the PSC, and a 30-day comment period posting on the Presidential Policy website (see Flowchart for Rescinding Policies). The President must approve all Rescissions.~~

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

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

**Stakeholder(s):** ~~A constituency or functional group with subject matter expertise and/or a substantive interest in a particular Presidential Policy, or its implementation who is consulted to provide comments on a 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.~~

**Technical / Administrative Review:** Any modifications to a ~~Presidential P~~olicy, including title changes due to University Presidential reorganization, updating contact info, correcting links, or typographical amendments that do not materially change the intent, substance or principles of the policy, such as:-

- ~~Title changes due to University Presidential reorganization, updating contact information, correcting links, or typographical amendments – These changes do not require Comprehensive Review or the do not require PAC and UCL-OGC review and approval nor a 30-day comment period process.~~
- ~~Technical c~~Changes that are required by law, rules and/or regulations – ~~do not need to be posted for a 30-day comment period. These changes need to be reviewed and approved by the~~require PAC and UCL-OGC review and approval, but do not require a 30-day comment period.
- ~~If the technical c~~Changes that are **not** required by law, rules and/or regulations, such as additional language for clarification, changes to legal code numbering, a change of the Responsible Office, and changes that ~~but are subject to possible interpretation –~~ in addition to the require PAC and UCL-OGC review and approval by the PAC and OGC, the revised policy is also posted on the ~~Presidential Policy website for a 30-day comment period (see Flowchart for Existing Policies).~~

• ~~If the scope of a general, the changes that alters the intent/direction or scope of the policy, then the UPO, PAC, or UCL-OGC may determine that are considered substantive and require a Comprehensive Review is necessary.~~

~~Other technical changes (e.g. additional language for clarification, changes to legal~~

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~~code numbering, or a change of the Responsible Office), in addition to the review and approval by the PAC and OGC, are posted on the Presidential Policy website for a 30-day comment period before the revised Policy is published online.~~

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

~~**Universitywide Policy Office (UPO):** The office designated by the President and located within the Ethics, Compliance and Audit Services department that is responsible for managing the Presidential Policy website, the Presidential Policy Approval Process and chairing the PAC and PSC. The UPO coordinates the development and review of Presidential Policies and is charged with stewardship of the official Presidential Policy Template and maintaining a central repository of Presidential Policies.~~

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### III. POLICY TEXT

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All Presidential Policies ~~for systemwide implementation~~ must follow the standardized policy management process outlined herein. The ~~University of California~~ policy management process is designed to foster broad and timely review, approval, and dissemination of important governance and administrative information, and to make ~~the information~~ readily accessible to internal and external audiences. Policies developed for—and applicable only to—each University location are not ~~obligated~~ required to follow this standardized policy management process. However, consistent with the principles outlined in this Policy, the Executive Officer, or their designee, at each University location, must establish a local policy or procedure to implement a standardized policy management process. Campus policies must be compliant with any related Presidential Policy. This ensures compliance with applicable federal, state, and local laws and regulations.

The policy management process demonstrates accountability in support of the University's mission and in accordance with the public trust and is subject to these tenets:

- A. All ~~Presidential P~~olicies ~~should~~ must be written in plain language. Plain language is ~~easily understood by~~ 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 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.
- B. Policies are intended to be high-level, and to the extent possible ~~should do~~ not typically include Procedures unless there are compelling, mandated, or legal reasons, so stated, why all units ~~should~~ must adopt the same implementing Procedures.

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- C. Presidential ~~P~~olicies ~~will~~must conform to a standard format (~~Policy-Template~~Template) and ~~will~~ use a common glossary of terms, to the extent possible. Policies must include a Definition Section ~~if~~ for terms ~~are~~ used that require further clarity.
- D. 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 ~~aligning the policy~~alignment with other Presidential Policies, through appropriate vetting.
- E. At a minimum, the RO is responsible for a Technical Review every three years and consideration for a Comprehensive Review every five years to ensure that each policy reflects current practice, Government regulations, laws, and guidelines and is aligned with other Regents and University of California policies.
- F. All active Presidential policies are published on the Presidential Policy website: <http://policy.ucop.edu>.
- G. Rescinded or superseded policies ~~are identified~~must be included on the Presidential Policy website with a brief explanation ~~for the Rescission or Supersession or justification~~ provided by the PO. Archived rescinded or superseded policies are available by request from the UPO at [policyoffice@ucop.edu](mailto:policyoffice@ucop.edu).
- H. Procedures that document local implementing steps for Presidential Policies are located on sites other than the Presidential Policy website. These documents do not require the same extensive review as policies. However, they should be reviewed and updated regularly to ensure the information remains current and useful. Presidential Policies typically do not include specific campus implementation steps or processes that are not applicable across the system.

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#### IV. COMPLIANCE / RESPONSIBILITIES

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- A. **Responsible Office/Officer (RO)** is charged with:
- Identifying the need for a new ~~P~~policy;
  - Designating a PO for authoring the ~~P~~policy, ~~and~~ guiding it through the review and approval process, and interpreting and responding to questions;
  - Developing and communicating any related implementing guidance and developing training as required by the Policy or applicable laws;
  - ~~Making technical changes following consultation with OGC and other appropriate subject matter experts/Stakeholders;~~
  - ~~As a best practice, c~~Conducting a Technical Review and consideration for a Comprehensive Review of policies generated by their office ~~should be done at least once every three years and consideration for a Comprehensive Review at least once every five years, or as required by Federal, State, and local regulations;~~
  - Submitting ~~non-technical~~substantive amendments in accordance with the Presidential Policy Approval Process for review by the PAC;
  - Consulting with Human Resources, Academic Personnel, and/or Labor Relations

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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.

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:

- Consulting with the UPO prior to any development of a Comprehensive ~~Policy~~ Review;
- Completing the [Policy Action Form](#) at the commencement of the ~~P~~policy ~~review~~/draft process and submitting it to the RO for approval;
- Coordinating with ~~the interested~~ Stakeholders and incorporating comments and suggestions as needed into the draft policy;
- Working with the appropriate staff in [UCL-OGC](#) for legal advice and review;
- In consultation with the PAC, ~~making sure that~~ensuring all Stakeholders, are consulted, and that comment periods are met as required by The Regents Policies, Academic Senate rules, Union contracts, and Presidential ~~G~~guidelines;
- Completing and submitting the draft policy and any supporting documents to the Presidential Policy Approval Process for review to the UPO and the PAC after all required comment periods have ended (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 received and their disposition in the final draft policy ~~should be shared with the UPO and PAC, and;~~
- Keeping abreast of changes in ~~f~~Federal, ~~s~~State, and local laws and consulting with the RO on proposed Policy revisions; and
- Typically acts as primary contact person to interpret and respond to questions about the policy.
- When a particular policy applies to employees in more than one functional area, more than one Policy Owner may be assigned

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

- ~~C.~~ 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;
- Overseeing the Presidential Policy ~~Approval P~~rocess and chairing the PAC and PSC;

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- Advising the PSC and the President regarding issues that arise surrounding specific policy issues ~~and/or~~ needs; and
- Coordinating distribution of the Presidential Policies to the Members of the University Community; ~~and~~

## V. PROCEDURES

The ~~attached~~ flowcharts (~~see included in Section IX, Appendices~~) depict the mandated steps in the ~~Presidential Policy Approval/development process that are explained further below~~. All ~~Presidential Policies~~ must follow the ~~these Procedures process~~. However, ~~there are~~ some policies ~~that~~ predate this framework, and ~~as yet~~ have not yet been through the entire process outlined herein. They remain official ~~University Presidential Policies~~ and, upon the next Comprehensive Review, will complete this process in order to be brought into compliance.

### A. Proposing a Policy:

4. A ~~P~~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.
1. The RO ~~will~~ appoints a PO to consult with the UPO in developing the policy.
2. The PO ~~will~~ 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 outlines key Stakeholders to be consulted and if a review is required by the affected parties, such as the faculty senate, students, academic personnel, or staff.~~
3. A Policy Action Form is used to propose the establishment of a new policy or ~~major~~ substantive revision changes to an existing one and will be presented to the PAC for review and approval. ~~It includes detailed information on the policy impact, associated risks or risk mitigation on the University, individuals to be consulted, and training plan. For minor-~~ The form is not required for technical revision changes such as correcting links, typographical errors and updating contact information; ~~this form is not necessary. Contact UPO to update policies with minor revisions.~~

### B. Developing a Policy

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

1. The PO develops the content of the draft policy, consults with all Stakeholders and incorporates their comments into the draft, as if appropriate.
2. Once the RO approves the policy draft, the PO ~~will~~ shares it with the Stakeholders and subject matter experts identified in the impact statement ~~for their to solicit~~ comments.
3. The PO ~~will~~ shares the draft with the PAC for information purposes, comments, and questions.
4. The PO and RO must consider feedback from Stakeholders and PAC ~~feedback~~

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~~must be considered by the PO and RO~~ to determine whether and how their responses will be incorporated, as appropriate.

2-5. 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 ~~affected offices~~ Stakeholders. At a minimum, the PO must consult with the Offices of Academic Personnel and Programs ~~(APP)~~, Human Resources ~~(HR)~~, and ~~Student Affairs~~ Graduate, Undergraduate, and Equity Affairs (GUESA) and ~~get for~~ their documented decision on whether formal vetting is needed. The ~~Offices of Academic Personnel and Programs and Human Resources have written and published vetting processes for APP is here: <https://www.ucop.edu/academic-personnel-programs/files/acad-review-presidential-policy/acad-rev-pres-policy.pdf>, for HR is here: <https://www.ucop.edu/human-resources/staff/hr-policy/policy-creation-and-review-process.html>, and for SA is here (To be provided)~~:-

- Academic Personnel and Programs vetting process; and
- Human Resources vetting process.

1. If formal vetting is needed, the PO must issue a cover explanation memo and sends it to the UPO.
2. The UPO ~~will~~ advises the ~~PO~~ Policy Owner of the timeline for comment.
3. The PO ~~will then~~ forwardss the draft policy and ~~the~~ communication memo to APP, HR and SA, as appropriate, to distribute to the campuses. Comments ~~will~~ must be directed to the PO for their review and consideration in the final draft.
- 2-4. UPO ~~will~~ 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.
5. After completion of the formal vetting and PO's approval, the UPO ~~will~~ distributes the draft policy to members of the PAC in advance of a PAC review meeting.
6. The PO ~~will~~ presents the following during the PAC review meeting:
  - a. ~~The~~ draft policy and Policy Action Form ~~at the meeting~~ where they will be reviewed for practicality and clarity.
  - 3-b. ~~The PO will also provide a~~ summary of the comments received during the vetting period and their disposition.

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

7. Upon the PAC's recommendation for approval of the policy, the PO ~~will~~ reviews and makes any accepted changes proposed by the PAC.
- 4-8. Once changes have been finalized, the PO ~~will~~ provides the final version to the UPO who ~~will~~ 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*

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before it goes to the PSC. The PO ~~will revise~~ the draft Policy before it goes to the PSC.

9. After completion of the legal review, the UPO ~~will submit~~ the final draft ~~of the~~ Policy to the PSC for their final review and recommendation for Presidential approval.
  - a. The PSC ~~will~~ 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.
  - ~~5-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.
10. Upon PSC approval, the UPO ~~will prepare~~ the Policy and Issuance Letter for the President’s final review and ~~approval~~ issuance.
- ~~6-11.~~ The UPO ~~will submit~~ the packet (Presidential info memo, clean final draft policy, and final draft Issuance Letter) to the President for final review and approval.
- ~~7-12.~~ The President ~~will issue~~ the ~~Presidential~~ Policy by signing the Issuance Letter. The Issuance Letter and ~~Presidential~~ Policy ~~will be~~ 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.
- ~~8-13.~~ Policies with technical changes as required by laws and regulations ~~will be~~ issued by UPO.
- ~~9-14.~~ ~~The~~ Policy Owner and ~~Responsible Office to~~ distributes the Policy to their Stakeholders.
- ~~10-15.~~ The UPO ~~will also~~ publishes the policy ~~to on~~ the Presidential Policy website at policy.ucop.edu.

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D. Updating an Existing Policy ~~for~~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.
- ~~4-2.~~ On an as-needed basis, the PO ~~will request~~ 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) ~~to an existing policy document~~.
- ~~2.~~ ~~The UPO provides the Policy Action Form to PAC for evaluation of technical changes.~~ Technical ~~change~~ Reviews (see **Section II Definitions**) do not require ~~full policy review (or the President’s review and approval) but are subject to review if unless~~ the PAC determines the changes are substantive. ~~Therefore if~~ so, the Policy will be required to go through a Comprehensive Review and the Presidential Policy Approval formal review process (see Flowcharts for ~~Existing Policies and New Policies/Substantive Revisions~~ New Policies/Substantive Changes). ~~This evaluation is made by the PAC on a case-by-case basis, based~~

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~~on the requested changes and should have the final legal review and approval by OGC.~~

~~3. The UPO posts All Technical change Reviews (except required by law or regulations, minor corrections such as updating contact info, position titles, updating links or typographical errors), will be posted on the Presidential Policy Office website on the Presidential Policy Office website for the 30-days comment period.~~

~~3-4. 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 policy.ucop.edu. As a best practice, routine Technical Reviews should be conducted at a minimum every three years. UPO must be notified when technical reviews are completed.~~

E. Revising a Policy with **Comprehensive 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 Ppolicy. 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 substantial-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 will send the announcement of a new or substantially-revised policy and Issuance Letter, on behalf of the President. The communication from the UPO disseminating the Issuance Letter and the Policy will be sent 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 formal 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 formal Presidential Policy Approval~~

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#### Establishing and Maintaining Presidential Policies

~~P~~rocess will be published at the time the Interim Policy is approved. ~~It is recommended that~~ Interim Policies should be finalized within one year.

~~4.2.~~ 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. PAC, UCL-OGC, and the PSC must recommend an Interim Policy to the President for final approval.

~~2.3.~~ Interim Policies will be clearly marked in red as “INTERIM POLICY PENDING FINAL APPROVAL.”

~~3.4.~~ To derive the benefits of a standard policy document and the full review cycle, the Interim Policy must complete ~~at the~~ Comprehensive Review ~~process~~ outlined in this document, preferably within one year of the issuance of the Interim Policy.

#### H. Rescinding a Policy

~~1.~~ In certain circumstances, ~~an~~ The RO may deem it appropriate or necessary, identifies the need to rescind an existing policy or consolidate it with another policy.

~~4.2.~~ Once a Policy is deemed in need of Rescission, ~~T~~the PO will ~~contact/discusses~~ the UPO who will assist proposed policy rescission with the Rescission UPO.

~~3.~~ All potential Rescissions must be ~~The~~ PO thoroughly vetted and approved by the potential Rescission with Stakeholders ~~and as well as the~~ necessary review committees.

~~2.4.~~ Once a policy ~~After the~~ Rescission has been vetted, the UPO ~~Policy Owner will~~ submits the policy and the Policy Action Form to the PAC members at their next meeting for ~~Rescission~~ approval. The PO attends the PAC meeting to answer questions.

~~3.5.~~ Upon PAC approval, ~~t~~he UPO will ~~sends~~ the proposed Rescission to UCL-OGC for final legal review and ~~concurrence approval to ensure~~ that the Rescission is legally appropriate and/or necessary.

~~6.~~ Upon recommendation from PAC ~~and~~ UCL-OGC, the UPO will ~~publishes~~ the ~~P~~olicy on the Presidential Policy Office website for the 30-day comment period.

~~7.~~ The UPO sends any comments received to the PO to respond

~~4.8.~~ The RO and PO addresses and resolves ~~A~~ny comments, questions, or concerns ~~about the Rescission must be addressed and resolved by the RO and PO.~~

~~5.9.~~ After the 30-days comment period, the Rescission recommendation ~~will be~~ sent ~~by the UPO~~ to the PSC.

~~10.~~ The ~~Upon~~ PSC ~~must~~ approve ~~le~~ of the Rescission ~~prior to the Rescission being finalized, the UPO drafts an information memo and sent to the President for issuance. Letter and submits it for the President's approval.~~

~~11.~~ Once approved by the President, the UPO will ~~sends~~ the Rescission notice to the Chancellors, the Lawrence Berkeley National Laboratory Director, the Vice

Establishing and Maintaining Presidential Policies

President-ANR, the Division Leaders, Campus Policy Managers, the PO, and all named parties in the Issuance Letter.

12. The UPO ~~will also publish~~es the rescinded Ppolicy on the Presidential Policy website at policy.ucop.edu.

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## VI. RELATED INFORMATION

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[Academic Review of Presidential Policy](#)

[Article IX, Section 9 of the California Constitution](#)

[Bylaws of The Regents](#)

[HR 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](#)

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## VII. FREQUENTLY ASKED QUESTIONS

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~~Frequently Ask Questions~~ [Frequently Ask Questions](#) – to be updated

How to Contact the [Universitywide Policy Office](#) ([policyoffice@ucop.edu](mailto:policyoffice@ucop.edu))

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## VIII. REVISION HISTORY

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~~XXXX XX, 20XX: 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 ~~also~~ remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0.

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## IX. APPENDICES

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Flowcharts for the Review and Approval Process of Presidential Policies:

- A. ~~NEW POLICIES AND SUBSTANTIVE REVISIONS~~ **NEW POLICIES AND SUBSTANTIVE CHANGES**
- B. **EXISTING POLICIES**
- C. **RESCINDING POLICIES**

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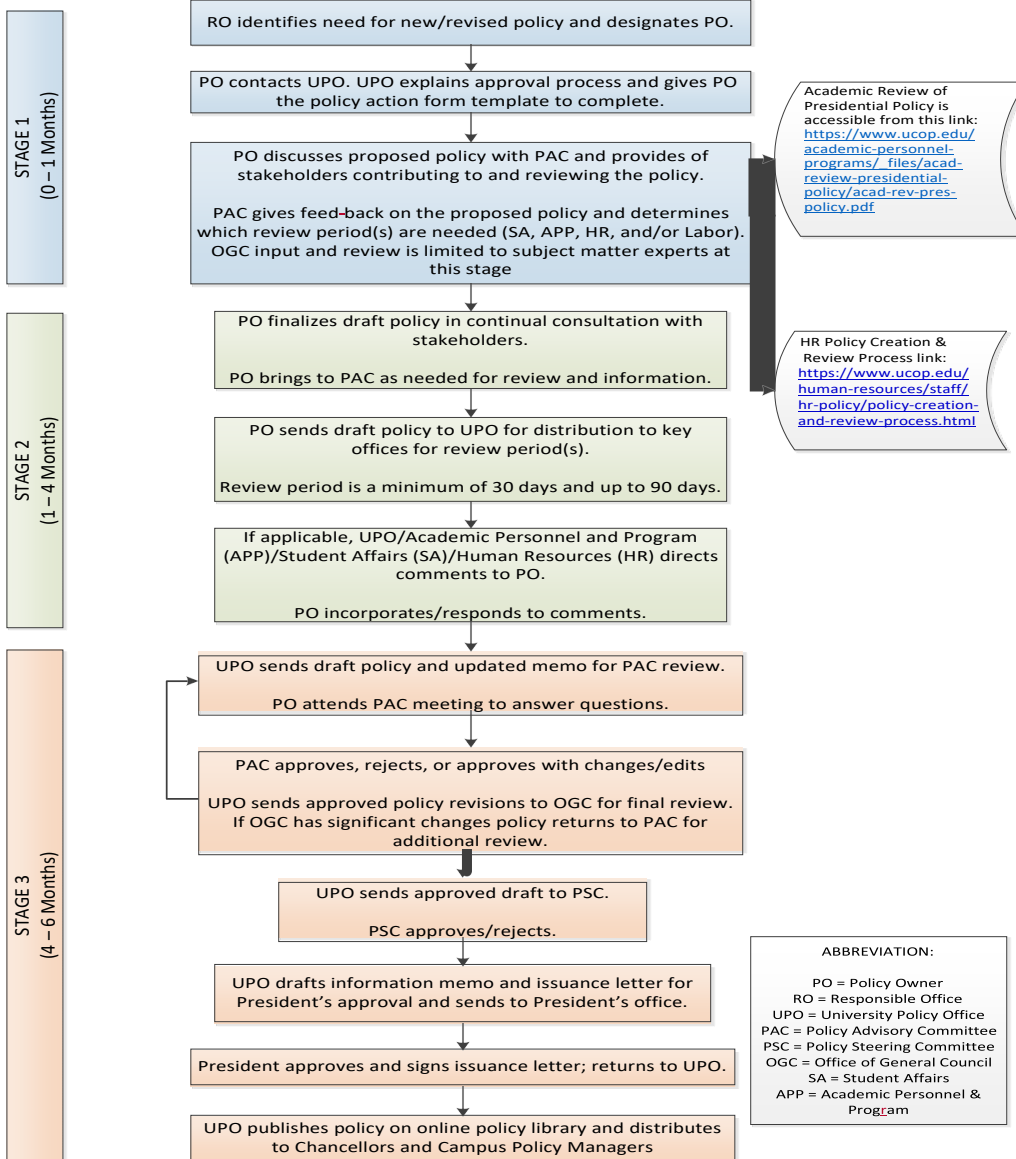
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**A. NEW POLICIES & SUBSTANTIVE**

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**UC Presidential Policy Development Process: New Policies and Substantive Revisions**

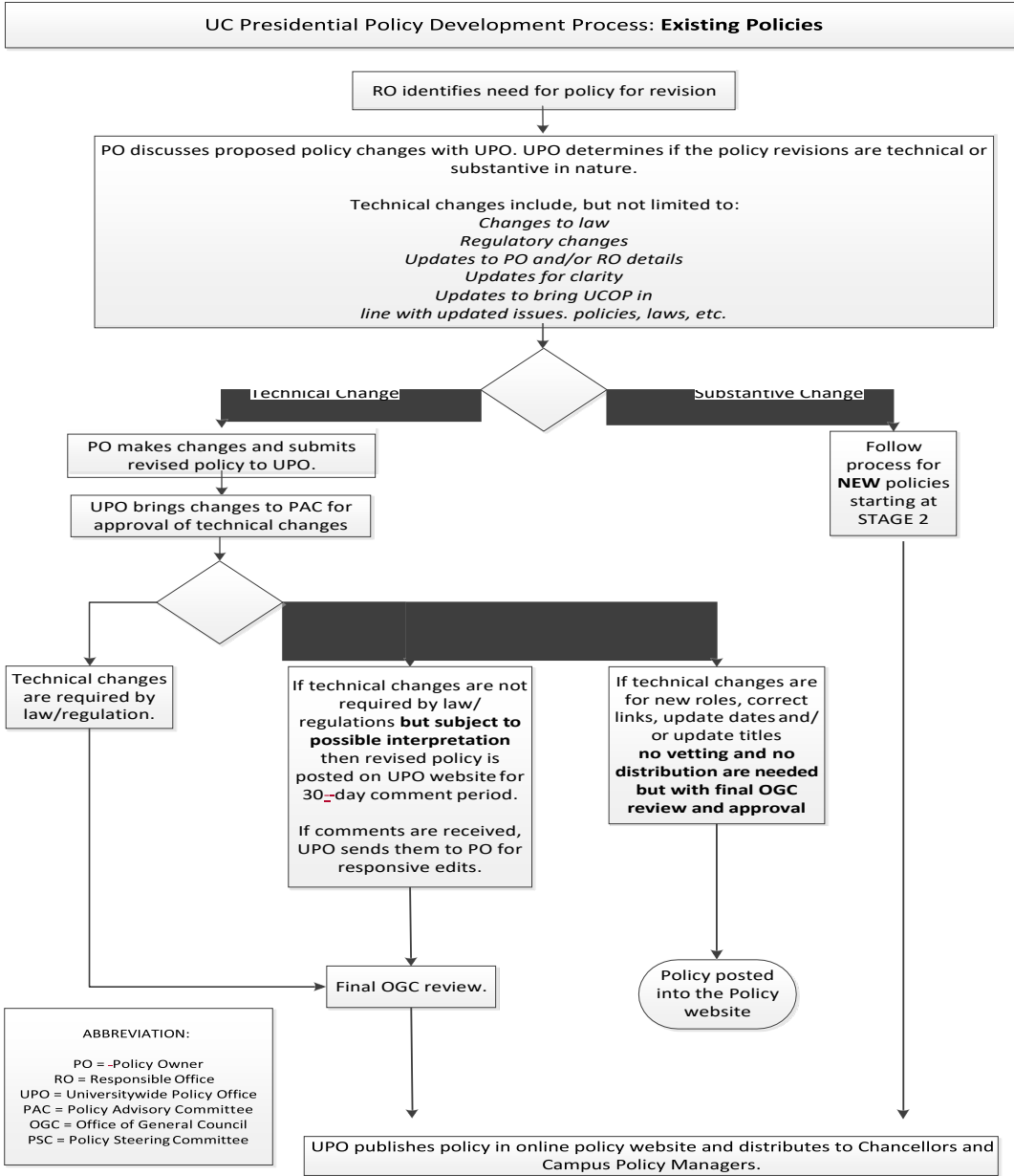


Academic Review of Presidential Policy is accessible from this link: <https://www.ucop.edu/academic-personnel-programs/files/acad-review-presidential-policy/acad-rev-pres-policy.pdf>

HR Policy Creation & Review Process link: <https://www.ucop.edu/human-resources/staff/hr-policy/policy-creation-and-review-process.html>



**B. EXISTING POLICIES**

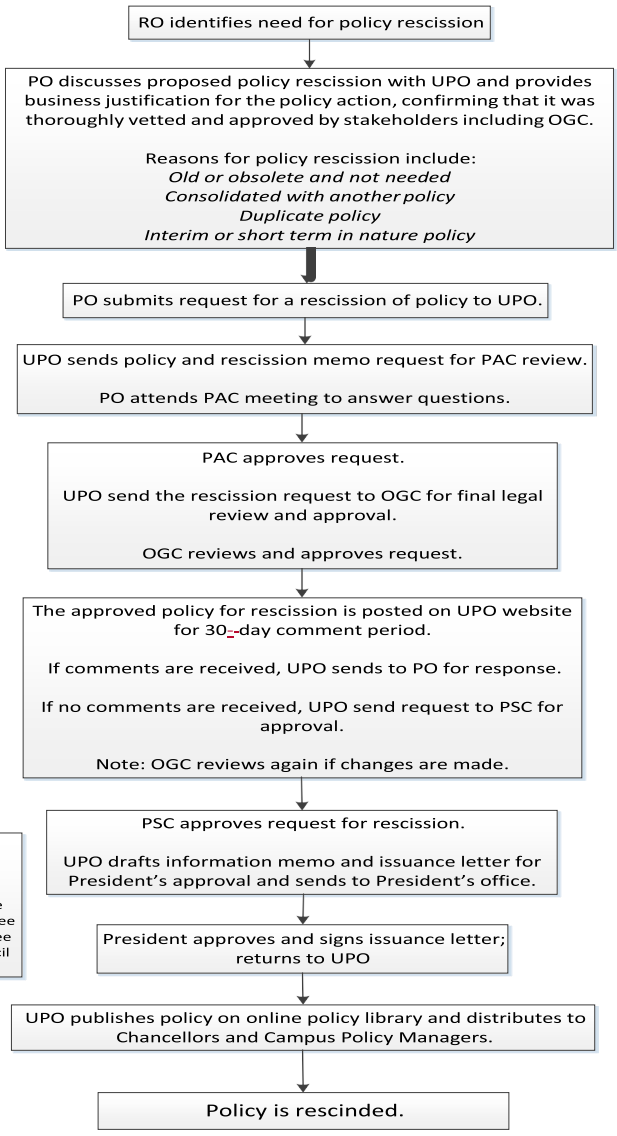


**ABBREVIATION:**  
 PO = -Policy Owner  
 RO = Responsible Office  
 UPO = Universitywide Policy Office  
 PAC = Policy Advisory Committee  
 OGC = Office of General Council  
 PSC = Policy Steering Committee

7/19/2018

C. **RESCINDING POLICIES**

UC Presidential Policy Development Process: **Rescinding Policies**



ABBREVIATION:  
 PO = Policy Owner  
 RO = Responsible Office  
 UPO = University Policy Office  
 PAC = Policy Advisory Committee  
 PSC = Policy Steering Committee  
 OGC = Office of General Council

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