UCLA Policy 100: Administrative Policies & Procedures

Issuing Officer: Executive Vice Chancellor and Provost
Responsible Department: Administrative Policies & Compliance Office
Effective Date: October 9, 2017
Supersedes: New

I.   PURPOSE & SCOPE

UCLA Administrative Policies and Procedures establish institutional requirements and define processes that support the University of California's mission and values. They promote administrative effectiveness, ensure compliance with applicable laws, regulations and University policies, and address organizational risk for UCLA.

University of California Office of the President (UCOP) policy requires that individual campus policies and procedures are to be developed, approved, promulgated, and maintained in a consistent manner, with the involvement of appropriate campus stakeholders, and that such policies and procedures be made widely and conveniently available to the campus community. UCLA Policy 100 provides the policy framework for this consistency, involvement, and availability for UCLA.

UCLA Policy 100 applies to the portfolio of UCLA Administrative Policies and Procedures managed by the Office of Administrative Policies and Compliance and sets forth the process for an administrative department or unit to propose, develop, promulgate, and maintain a UCLA Administrative Policy and Procedure.

II. DEFINITIONS

For the purposes of this Policy:

Administrative Policy is a written statement that outlines a required course of action or standard of conduct related to a specific topic that has broad application to members of the UCLA community and is approved and promulgated consistent with the requirements of this Policy.

Administrative Procedure is a step-by-step description of the actions required to implement a University policy or a UCLA Administrative Policy that is approved and promulgated consistent with the requirements of this Policy.

Issuing Officer refers to an assistant vice chancellor, vice provost, or above administrator who approves the issuance of a new or revised APP or the rescission of an existing APP.

Responsible Policy Office refers to the administrative department or unit responsible for developing, issuing, and maintaining an administrative policy or procedure.

Responsible Policy Official refers to the position within the Responsible Policy Office responsible for coordinating with the UCLA Policy Manager in developing, issuing, and maintaining an administrative policy or procedure.

III. POLICY STATEMENT

UCLA Administrative Policies and Procedures (APPs) implement University of California Office of the President (UCOP) policies, federal and/or State laws or regulations, and/or codify campus practice by clarifying operational conduct in support of the University's mission and values. APPs are considered a legal record of officially approved information and have broad campus-wide applicability and institutional impact. Faculty, staff, students, members of the Health Sciences workforce, volunteers, affiliates, vendors, visitors, or others who have a connection with UCLA may all be subject to APPs, depending on the specific APP.

Each APP must meet the criteria for campus-wide policies as set forth in Section IV.A.1, be developed and maintained following the procedures in Section IV., and signed by an Issuing Officer. An APP must be sponsored by an administrative department or unit (the Responsible Policy Office) responsible for its content and for designating a Responsible Policy Official (RPO) as the individual primarily responsible for coordination with the Manager, Administrative Policies and Delegations (Policy Manager).

A UCLA Administrative Policy or Procedure may not be less restrictive than any related UCOP policy or applicable federal or State law or regulation, but if appropriate may be more restrictive. Individual campus schools, departments, or administrative units may maintain additional policies applicable only to that school, department, or unit; such policies and procedures do not override APPs and may not conflict with APPs.

APPs are managed by the Administrative Policies and Compliance Office as UCLA's policy-issuing authority for campus-wide administrative policies. APPs are published online at www.adminpolicies.ucla.edu.

IV. PROCEDURES

The major steps in developing a new APP, outlined in Attachment A, are detailed below:

A. Policy Development Process

1. Determining the Need for a New APP

Circumstances that may warrant the development of a new APP include a directive from UCOP, a new or revised federal or State law or regulation with applicability to the campus, or a campus practice that would benefit from an APP to clarify operational conduct.

The RPO should contact the Policy Manager to initiate a discussion about developing a new APP. The RPO will discuss with the Policy Manager, the background and justification for the APP, its intended purpose and scope, and its likely impact on faculty, staff, students, and/or other groups. Depending on the likely impact, the Policy Manager may direct the RPO to consult with other campus officials before proceeding further.

In determining whether a proposed policy or procedure is suitable for promulgation as a UCLA APP, the Policy Manager will consider the following criteria:

- Is the proposed policy or procedure consistent with existing University policies and/or with the University's mission, vision, and values?
- Does a similar policy or procedure already exist?
- Does the proposed policy or procedure have campus-wide applicability?
- Does the proposed policy or procedure help ensure compliance with other University policies or reduce institutional risk?
- Does the proposed policy or procedure have long-term relevance?

2.   Developing and Vetting the Proposed APP

Once the Policy Manger has determined that a proposed APP is suitable to be issued as a UCLA APP, the RPO is responsible for completing the following:

a.   **Draft APP**. In coordination with the Policy Manager, the RPO should consult departments and/or units that have an interest in and/or will likely be affected by the APP, in order to develop a comprehensive draft. To ensure consistency in format, all APPs will be prepared using the APP template that will be provided by the Policy Manager.

APPs should be written in plain language -- clear and succinct writing designed to facilitate the reader's quick and complete understanding of the requirements of the APP. The Policy Manager can assist with the drafting and will review the draft APP, recommend revisions, reformat as necessary, and approve the draft to proceed to review by key stakeholders. The Policy Manager, as needed, can also provide assistance in drafting supporting procedures.

b.   **Key Stakeholder Review**. Key stakeholders are individuals or functional units, identified by the RPO and Policy Manager, with responsibilities and expertise relevant to the APP or that will be likely impacted by the implementation of the APP. Key stakeholders will be asked to review the new APP. As appropriate, the APP may also be reviewed by one or more of the following units: The Academic Senate, Campus Controller, Campus Counsel, Internal Audit, and/or Employee and Labor Relations.

The RPO and/or Policy Manager may also form, as warranted, a policy development workgroup to review any proposed new APP that has broad campus impact.

c.   **30-Day Public Review**. After the key stakeholder review, the draft APP will be posted online for a 30-day public review and comment period. The RPO will be responsible for announcing to the campus community via Bruin Post that the proposed APP is posted for review and comment.

Depending on the subject of the APP, a longer notice period may be required for bargaining units.

3.   Approving the Proposed APP

Once the vetting process has been completed and all comments have been reviewed and considered, the Policy Manger will finalize the draft and prepare the original hard copy of the APP to be signed by the Issuing Officer.

The Issuing Officer must approve the final draft, sign the original hard copy of the APP, and return it to the Policy Manager.

4.   Publishing and Communicating the Approved APP

The Policy Manager will publish the APP on the APP website. The APP website is the official site that hosts all UCLA Administrative Policies and Procedures that have been approved as outlined in this Policy. The RPO will be listed on the APP website as the person to contact for questions or concerns related to the APP.

The Issuing Officer or RPO prepares a communication plan to announce the new APP to the campus.

B. Maintaining APPs

Once an APP has been promulgated, it is the responsibility of the Responsible Policy Office to maintain APPs that have been issued by that office. Maintaining an APP includes:

1.   Implementing and Enforcing an APP

As applicable, the RPO will be responsible for implementing any action as outlined in the APP and/or ensuring compliance with the APP, unless this responsibility has been delegated to another campus department(s) or unit(s). The RPO may contact the Policy Manager, as needed, for assistance in drafting supporting policies and/or procedures.

2.   Evaluating an APP

RPOs are responsible for reviewing their respective APPs at least once every 5 years to determine whether: (1) the APP remains consistent and in compliance with applicable UCOP policy and/or State and federal laws or regulations; (2) the information present in the APP remains up-to-date and accurate; (3) the APP's stated objectives are being met; (4) the APP reflects current practice; and (5) the APP remains relevant in all other respects.

APPs are considered a legal record of officially approved information. RPOs are responsible for keeping this information current. An APP that is outdated, not relevant, or has inaccurate information is a liability to the University. Review of APPs should be conducted by the RPO at least every five years. The Policy Manager will provide a copy of the Policy Review Form upon request. If the APP has not been reviewed during the previous five years, the Policy Manager will send the RPO a Policy Review Form along with a reminder that a review needs to be conducted.

A snapshot of the key requirements in the policy development process as outlined above is provided in Attachment A, Policy Process Overview.

C.   Revising or Rescinding an Existing APP

The RPO should promptly contact the Policy Manager whenever an APP needs to be reviewed or rescinded. The Policy Manager may also contact the RPO to recommend the revision or rescission of an APP in order to, for example, reflect a change to UCOP policy or federal/State law.

The Policy Manager is authorized to make non-substantive, technical changes to an APP without requiring the formal policy review process (Examples of such technical changes include, but are not limited to, updates to references, working titles, or department names.)

Changes to an APP that alter the direction or scope of the APP are considered substantive and must follow the formal process as outlined in this Policy.

D. Establishing an Interim Policy

An interim policy is a temporary policy issued on a case-by-case basis when circumstances require that an APP be issued before the formal process as outlined in this Policy can be completed. Typically, the campus will issue an interim policy when a new federal or State law or regulation is issued and compliance plans must be put in place within a short time frame.

Interim policies are published on the APP website and issued while the RPO is developing the full policy. An interim policy will be in effect for six months, with possible renewal in additional six months increments.

A key stakeholder review, Policy Manager review, and final review and approval by the Issuing Officer are still required for interim policies.

The Issuing Officer or RPO prepares a Bruin Post to announce the interim policy to the campus.

V.   RESPONSIBILITIES

The following campus offices and officials have specific responsibilities with respect to the processes set out in this Policy.

A. Issuing Officer

Issuing Officers are responsible for approving the issuance of a new or revised APP or the rescission of an existing APP within their area of responsibility. Issuing Officers and their staff are responsible for the final substantive review of an APP prior to publication.

B. Responsible Policy Office and Responsible Policy Official

The Responsible Policy Office and RPO identified for each APP are responsible for:

- developing new or revised APP content and keeping such content current and accurate, which includes ensuring that the APP is consistent and in compliance with applicable UCOP policy and/or State and federal laws or regulations;

- coordinating with the Policy Manager to carry out the overall policy development and implementation responsibilities;

- ensuring that campus feedback for a proposed APP is sought from key stakeholders and through a 30-day public review and that such feedback is considered and/or incorporated, as appropriate;

- responding to questions, concerns, or suggestions related to their APPs; and

- completing the Policy Review Form at least every 5 years.

C. Manager, Administrative Policies and Delegations

The Policy Manager is responsible for:

- ensuring compliance with this Policy;

- reviewing and approving all requests for a new or revised APP or rescission of an existing APP;

- consulting with and assisting the RPO in the drafting and review of an APP;

- preparing the final form of an APP for the approval by and signature of the Issuing Officer;

- publishing all newly issued or revised APPs on the APP website;

- maintaining records of all published APPs and the original signature copy; and

- coordinating with the responsible RPOs to ensure that all active APPs are reviewed every 5 years.

VI. REFERENCES

1. University of California Office of the President Policies Web site;
2. UCLA Administrative Policies and Procedures Web site;
3. http://www.plainlanguage.gov.

VII. ATTACHMENTS

A. Policy Process Overview

Issuing Officer

/s/ Scott L. Waugh

Executive Vice Chancellor and Provost

**Questions concerning this Policy should be referred to
the Responsible Department listed at the top of this document.**

Policy Process Overview

The process to propose, develop, revise, and maintain an APP is set forth in UCLA Policy 100, Administrative Policies and Procedures. The department or unit wishing to develop an APP will designate a Responsible Policy Official (RPO) to coordinate the policy process with the Policy Manager. The following illustration provides an overview of the key responsibilities of the RPO.

1. Determine Need	2. Develop	3. Communicate	4. Maintain
• Determine whether a proposed APP satisfies the criteria specified in UCLA Policy 100. • Obtain approval from Issuing Officer (Assistant VC, VP, or above administrator). • Contact Policy Manager to obtain approval to proceed with developing a new APP.	• Prepare draft APP using the APP template. Contact Policy Manager for template. • Review draft with Policy Manager. • Review draft with key stakeholders. • Prepare draft for a 30-day public review & comment period. • Finalize draft and obtain approvals from Issuing Officer and Policy Manager.	• Coordinate with Policy Manager to publish the APP on the APP website. • Prepare a communication plan to announce APP to campus.	• Implement and enforce APP, unless responsibility is delegated to another department / unit. • Evaluate APP at least every 5 years to ensure continuing accuracy, relevance, and compliance with applicable UC policy or State and federal law. • Complete Policy Review Form at least every 5 years and submit to Policy Manager. • Contact Policy Manager, as needed, to update APP or draft supporting policies or procedures.