The University of California Policy Project:
An Introduction to the Policy Process and the Policy Administration System (PAS)

Schedule

10:00-10:10  Introductions & Housekeeping (Nancy)
             – Overview of handouts/available resources
             – Protocol for Questions during Presentation
             – ReadyTalk recording availability

10:10-10:25  Overview of the Policy Project (Nancy)

10:25-10:45  Overview of SharePoint Navigation (Manfred)

10:45-11:00  BREAK

11:00-11:20  Administrative Policy Development Worksheet (Linda)

11:20-12:00  In-depth Look at the Policy Template, Policy Approval Process using SharePoint, incl. Workspace creation and administration (Nancy)
Introductions

• University Policy Office (UPO) Staff
  – Nancy Capell
  – Linda Buffett
  – Amelia Regacho
  – Manfred Zorn

• ITS
  – Hank Moreira and DeDe Bruno
  – Jaymeson Beck

• OSCR
  – Karla Campbell
  – Gale Sheean-Remotto

Overview of the Policy Project

Why are we doing this? Studies show:

• It takes employees 18 minutes, on average, to find a document
• Staff members spend 30-40% of their time looking for information
• The average document is copied 9+ times
• When an employee leaves a company, 70% of that person’s knowledge walks out the door

Sources: Gartner, IDC, Price Waterhouse Coopers 2003-2007
Goals of the University Policy Project

- Single website
- Single format
- Integration of policies across business units
- Plain language

Helps campuses and public audiences locate UC mission-related information, such as policies, procedures, and guidelines

Tools for Plain Language* ...

An early warning system to let the writer know that the writing is too dense.

www.readabilityformulas.com/

*language that is intelligible to a wide audience including non-lawyers, people with expertise outside your immediate subject matter area, legislative agencies and the general public
Milestones

- Inventory of all system-wide applicable policies
- Adoption of One format (Template)
- Automated policy approval system
- Governance structure for policy approval established
- Policy Toolkit - August 2011
- Hands-on Training of Policy Owners - February 2012

The Policy Administration System (PAS)

- Developed on the SharePoint platform by Ethics and Compliance staff with ITS and OSCR
- Input from UCOP policy writers in several business units
- Supports executive leadership goals of accountability, transparency, and efficiency
Advantages of the Policy Administrative System

- On-demand reports on approval stages
- Reports on five year review status
- Electronic library of policy history
- Word documents in template stored for future revision/update
- Web publishing library

You can start using the PAS Immediately.
We expect all Policy Owners to be trained and to begin using the System no later than March 31, 2012. Contact UPO for access.

How do I use the Policy Administration System?

- To submit the required Administrative Policy Development Worksheet (APDW)
- To get APDW approval(s)
- To retrieve and complete the Administrative Policy Template
- To collaborate with policy stakeholders
- To submit a new policy or a policy revision for approval
- To review and/or approve the policy - Responsible Officer, members of the Policy Advisory and Steering Committees, OGC, Compliance, Executives

• The Policy Office will work with Departmental Contacts to assign permissions to appropriate employees
Q. Do Guidelines have to go through the PAS process?
A. Yes

<table>
<thead>
<tr>
<th>Guideline on</th>
<th>Minors in labs and shops</th>
</tr>
</thead>
<tbody>
<tr>
<td>Related Policy</td>
<td>Minors in Labs and Shops</td>
</tr>
<tr>
<td>Effective Date</td>
<td>[Effective Date]</td>
</tr>
</tbody>
</table>

An Introduction to SharePoint

as used in the Policy Administration System

Manfred D. Zorn

February 6, 2012
Ethics and Compliance Services
Introduction

• Brief overview of SharePoint

• Who has experience with SharePoint?

History of Lists

• Stone tablets

• Spreadsheets

• SharePoint

SharePoint manages “LISTS” on web pages
Navigation

SharePoint Lists

- Items
- Document Libraries
- Calendars
- Surveys
- Discussions
- Contacts
Data and Metadata (Data about Data)

Date:  
Time:  
Location:  
Event:  
Photographer:  
Camera:  
Keywords:  
Subjects:  

SharePoint uses the term “Properties”  
Properties can be searched
Check Out and Versions

- **Check out** a document before you can edit it
- **Check in** to save your changes
- **Discard** to cancel your edits

- Upon **Check in** enter version comments
- System automatically saves your document as a new **version**
- No need to change the filename (add a date or initials)
Workflows

- Sends out emails for you
- Provides recipient access to the document
- Sends reminder emails to recipient
- Routes document to the next person on the list
- Alerts you when the process is complete
- Captures comments in a uniform format

SharePoint Workflow
Summary

• Brief overview of SharePoint features:
  – Common navigation areas
  – Lists of documents, items, etc.
  – Properties (metadata) enable searches
  – Check out and versions keep documents safe
  – Workflows facilitate document routing

Questions?
Administrative Policy Development Worksheet (APDW)

The Purpose of the Administrative Policy Development Worksheet (APDW)

- Notifies management of your intent to create, modify, or rescind a policy.
- Indicates that you have the support of your Responsible Officer to create a policy using the APDW approval process.
- Assists policy development by requesting OGC/Compliance review for potential legal and regulatory issues.
- Provides the Policy Advisory Committee and the Policy Steering Committee the opportunity to review the full implications of a policy prior to policy development.
From the drop down menu, select new policy, rescission, or revision type.

Select the option that best describes the rationale for the policy action.

Succinctly provide the reasons for the creation, revision or rescission of the policy.

Select from the UCOP address book.

Choose from the drop down menu.

If a policy requires immediate action, indicate on the form and provide the deadline. Reasons for interim approval can be a new legal requirement, regulation, etc. Provide a full description so the appropriate areas can be consulted for prompt approval.

Outline the financial implications of the policy—will it require hiring new staff? Purchasing resources? Training staff?

Select the department(s) that will be affected by the policy and will provide input during development of the policy.

List policies that may be impacted by the new or revised policy. It could replace a current policy or update an old policy.
APDW Approval Process

- Once the Policy Owner has completed the APDW, they route it to their Responsible Officer for approval.

- When the APDW is approved by the Responsible Officer, it is forwarded by the Policy Owner to the UPO to begin the approval workflow.

- UPO will forward the APDW to OGC and Compliance for their review and approval.
Questions?
Working with the University of California Policy Template

Policy Owner Dashboard
What happens in the Workspace?

• The Workspace created by UPO will be where you can pick up the electronic Policy Template and “drop off” the final version of the draft policy/draft revisions.
• UPO will go to your workspace to retrieve the final version----this is a change from the previous process where you emailed the final version to UPO.
<table>
<thead>
<tr>
<th>Field</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title</strong></td>
<td>Keep the title short and to the point. The title may be no more than 256 characters</td>
</tr>
<tr>
<td><strong>Scope</strong></td>
<td>You provide. Who does this policy apply to and under what circumstances, including campuses/LBNL, students, employees, etc.</td>
</tr>
<tr>
<td><strong>Responsibility</strong></td>
<td>Fields are pre-populated from the APDW</td>
</tr>
<tr>
<td><strong>Contact</strong></td>
<td>You provide. At least one position or name. Should be SME available to answer questions / refer. Could be generic, e.g., “your local human resources office”</td>
</tr>
</tbody>
</table>
Policy Summary

This paragraph should succinctly summarize the policy and what the policy intends to accomplish.

(Note: Include here the reason for the policy; this will replace the traditional “Issuance letter”)

Definitions

This section is for an alphabetized list of “uncommon” (e.g., technical, specific to this policy) terms. If you use an uncommon term only once, define it there.

[Note: We are working toward a common glossary of terms across all policies—therefore, enter only “special” terms in this Section.]
CHANCELLORS
LABORATORY DIRECTORS ALVAREZOS
CHIEF EXECUTIVE OFFICERS - MEDICAL CENTERS

RE: Seismic Safety Policy

The enclosed Seismic Safety Policy is effective immediately.

It replaces the Policy on Seismic Safety (S171/996), the Seismic Safety Policy for Leased and Purchased Facilities (8116/97) and the Policy for Independent Seismic Review of Capital Projects (5/29/07).

Sincerely yours,

Mark G. Yudof
President

Enclosures
cc: Members, President’s Cabinet; Infrastructure Policy Office

II. DEFINITIONS

Carbon neutrality: in the context of this policy, carbon neutrality means that the university will not have a net carbon impact on the Earth’s climate; it will be achieved by reducing greenhouse gas (GHG) emissions as much as possible and using carbon offsets or other mechanisms to offset the remaining emissions.

CEAC: California Building Code, Title 24 portion of the California Code of Regulations
Policy Text

- Include a table of contents if the policy is long
- Put procedures in a separate section of the Template (Section V)
- If you refer to any associated Guidelines you can put in a hyperlink here and also in the section Related Information (Section VI)
- Do not “justify” the text—let it align with the left hand margin

Contents:

Absence From Work

II. DEFINITIONS

III. POLICY TEXT

IV. COMPLIANCE / RESPONSIBILITIES

atyourservice.ucop.edu/employees/policies_employee_labor_relations/personnel_policies/spp2210_absence.pdf
IV. COMPLIANCE / RESPONSIBILITIES

Compliance / Responsibilities
List the individual roles or units responsible for instituting or complying with all or some portion of the policy.
• Which position is responsible for implementing and enforcing the policy?
• Which position is responsible for providing interpretations/clarification?

E.g., Staff, faculty, students, operating units, departments, and entities affiliated with or outside the University.

Describe the “what” but not the “how” of the responsibility. You can add more details, if needed, in any associated procedures.

Business and Finance Bulletin G-41, Employee Non-Cash Awards and Other Gifts
www.ucop.edu/ucophome/policies/bfb/g41.pdf
Procedures
Optional
If there are no procedures, type “Not applicable” under the Heading.
List steps in a procedure in order of their sequence. If there is no particular order, list them by title or in alphabetical order.

See also “Determining Whether a Statement is a Policy or a Procedure” in the online Policy Toolkit for additional information on how to distinguish between the two forms www.ucop.edu/ucophome/coordrev/policy-toolkit.html

VI. RELATED INFORMATION

Related information means other policies or organizational documents that complement, supplement or help explain provisions within the policy. Cite guidelines, checklists, standards, organizational documents and applicable references to state or federal laws (including applicable California Governor’s Executive Orders). Other examples of “related information” are:

• Associated Board of Regents policies.
• Related administrative / academic policies.
• Final reports or other key background documents.

Place citations in order of relevance / importance to the policy topic.
Frequently Asked Questions

This section is optional.

If there are no Frequently Asked Questions, type “Not applicable” under the heading.

This section may be useful in assisting policy users to better understand a new policy or one that has been heavily revised.

List the full text of FAQs in the policy document itself.

Revision History

The revision history is a record of significant changes by date, for the specified policy.

If this is a new policy, so indicate.

If this policy replaces another policy, the revision history should briefly identify the title and effective date of the former policy.

Policy owners must review policies every five years, and they must update policies to reflect changes to related policies or governing laws (Regents, federal, state) as often as required.
• Once you’ve finished working on the policy, send an email to the UPO, including the SharePoint Workspace url

• UPO will route the draft policy via the Policy System to OGC and Compliance, to the Policy Advisory Committee and the Policy Steering Committee, and to the Executive who has authority to approve the policy.

Summary and Questions

Questions & sign-up for hands-on training.

Send to policyoffice@ucop.edu

Online Policy Toolkit

www.ucop.edu/ucophome/coordrev/policy-toolkit.html

UCOP SharePoint Portal:

https://sp.ucop.edu/Pages/Default.aspx

UCOP SharePoint User Guides:

https://sp.ucop.edu/help/Default.aspx
Thanks for attending!