There are Policies and Then There are Policies

Barbara VanCleave Smith
Deputy Chief Ethics, Risk and Compliance Officer
University of California, Berkeley

Nancy Capell
Systemwide Policy Director
University of California Office of the President
Regulatory Bodies and Requirements Impacting the University

Including, but not limited to the agencies listed
UC Standards of Ethical Conduct

(#5) Compliance with Applicable University Policies, Procedures and Other Forms of Guidance

"We will learn and abide by University and campus policies and procedures that affect our campus roles."

"Each member is expected to seek clarification on a policy or other University directive he or she finds to be unclear, outdated or at odds with University objectives."

"It is not acceptable to ignore or disobey policies if one is not in agreement with them, or to avoid compliance by deliberately seeking loopholes."
• Policy owner – often listed on the policy
  http://campuspol.chance.berkeley.edu/

• Office of Ethics, Risk and Compliance
  policy@berkeley.edu

• Audit and Advisory Services

Who do you call for policy questions?
• A governing principle that mandates or constrains actions
• That applies across the University of California.
• That helps ensure compliance with applicable laws and regulations, University policies and Board of Regents Bylaws, Standing Orders or Policies (governing documents), enhances the University's mission, promotes operational efficiencies, or manages University risk.
• That endures from one administration to another and sets a course for the foreseeable future.
• That is approved by the President upon recommendation of the Policy Steering Committee

What is a policy? Why do we make them?
"Are these just guidelines, or are they actual new policies?"

How does UC policy get made, anyway?
UC System Policy Office
Established in Early 1970s

Responsible for:

- Support to UC Policy Project Initiative

- Review of all system-wide policies prior to President's issuance

- Management of Presidential policies

- Management of Presidential delegations of authority

- Archive & Office of Record for system-wide policies
Policy Project

For each policy, Clearly identify:

- which unit is responsible for a particular policy subject matter
- which executive is responsible for timely review and updates
- who to call to get questions answered within 24 hours
Policy Project

- Make policies easy to locate and navigable
- Streamline existing policies and reduce duplication of information
- Review policies at least every 5 years
- Educate/train/communicate new policies
- Measure policy usability & effectiveness through occasional surveys
Online References

- Association of College and University Policy Administrators  
  http://www.acupa.org/

- National Archives Plain Language Tools  

- The Purdue University Online Writing Lab (OWL)  
  http://owl.english.purdue.edu/