I. **Policy Summary**
The UCR-SOM Administrative and Compliance Policy and Procedure Manuals are published to provide the School of Medicine staff with a reference for administrative and patient care policies and procedures which have application throughout the School of Medicine and its healthcare operations. Department (or service) specific policies are published to provide department or service staff with a reference for policies and procedures which have application specific to their department or service.

II. **Definitions**
A standardized set of terms specific to the division will be listed alphabetically and will be maintained in the beginning of the Policy and Procedure manuals on a Definitions page. Policies which require reference to these terms will indicate a reference to this Standard Definitions Guide Document. Policies which do not, will be indicated by stating ‘not applicable’ in this Definitions section.

III. **Policy Text**
A. **UCR SOM Policy and Procedure Standardization**
   1. A standardized format will be used for all policies and procedures. Under the direction of the School of Medicine Compliance Officer, the coordination and processing of the School of Medicine Administrative Policy and Procedure Manual shall be the ultimate responsibility of the Dean.
   2. Written policies shall be developed and/or revised by or with input from impacted departments.
   3. All UCR SOM policies and procedures must be in compliance with general UC and Campus standardized guidelines.

IV. **Responsibilities**
A. **Policies and Procedures (development/revisions) are approved as follows**
   1. Department or impacted service area
   2. Compliance Officer
   3. Compliance Committee
   4. Dean

V. **Procedures**
A. **Policies and Procedures will be developed utilizing the following definitions and format**
   1. Purpose
      a. Statement of Intent
   2. Definitions
      a. If applicable
3. Policy
   a. Statement of the scope of practice for healthcare providers; identifies the requirements necessary to practice within the constraints of regulatory bodies; is a guideline for action in accomplishing the objectives of UCR-SOM. Establishes a guide for those staff making decisions regarding recurring situations and who are responsible for overseeing that the activities of the School of Medicine are carried out.

4. Responsibilities
   Identification of those who are subject to the policy.

5. History of Policy
   Origination date and dates of revisions.

6. Procedure
   a. Provides the plan of action or sequence of steps for fulfilling the policy goal. The Procedure will:
      1) Reflect current practice activity;
      2) Interrelate with similar procedures to other UCR areas (i.e. UCR, UCOP, other UCR divisions, etc.);
      3) Reflect outside regulatory agency requirements (i.e. NIH, HHS, CMS, etc.);
      4) Will be concise to prevent redundancy;
      5) Will provide a chronological, step-by-step process; and
      6) Defines equipment or resources, if any, needed for procedure and any activity necessary prior to performance of procedure.

B. All Policies and Procedures will have the Standard UCR and UCR-SOM title header, which includes
   1. Policy Title
   2. Policy Number
   3. Responsible Officer
   4. Responsible Office
   5. Origination Date
   6. Date of Revision
   7. Scope

C. All Policies and Procedures will Include the Following Format
   1. Font: Use 12 point Arial font
   2. Headers will be 12 point Arial font
   3. Procedure section: Multiple page policies will indicate policy number on footer of secondary pages
   4. Attachments should be lettered sequentially
   5. When using abbreviations or acronyms, they must be written in full the first time of use
   6. Policies and procedures which have not completed the approval process will be stamped "DRAFT" over some portion of the header page
   7. Spell check and review entire document for grammar and clarity
D. Adoption of new or revised policies will follow this process:
   1. Draft policies will have initial review by the Compliance Officer.
   2. Compliance Officer will determine which stakeholders are appropriate to review
      the draft for comment or revision. This determination will be based on the stakeholders’ involvement in the areas impacted by the policy.
   3. The draft policy will be routed to the stakeholders for their comments/revisions
      until there is a consensus on the draft approval.
   4. Approved drafts will be reviewed by the Compliance Committee for committee
      approval for adoption.
   5. Adopted policies and procedures will be signed by the Compliance Office and
      Dean of SOM.
   6. All adopted Policies and Procedures will be maintained in a master system and
      numbered according to Administrative or Compliance policy and further identified
      by policy type and area of division.

E. Policies and Procedures are reviewed as Follows:
   1. Change in procedure is introduced
   2. Addition of relevant information
   3. Change in regulations
   4. At a minimum of each 3 years

F. Divisional Organization of Policies and Procedures of UCR-SOM
   1. Online (intranet) version of Divisional Policies and Procedures will be
      maintained by each of the following Divisions (for further reference, see
      Exhibit B)
      a. SOM Administration
      b. Compliance
      c. Student Affairs
      d. Research Affairs
      e. Faculty Affairs
      f. Clinical Affairs
      g. Revenue Cycle
      h. Medical Education
      i. Center for Healthy Communities
      j. Biomedical Sciences
      k. Graduate Medical Education
      l. Privacy and Information Security

G. Contacts
   A contact sheet will be maintained in the front of each Policy and Procedure manual
   and will include individuals name, title, and contact information (phone numbers,
   email, and fax) as appropriate to each division. (Exhibit C) Each contact sheet will be
   kept current with updates or changes as appropriate with personnel changes or
   changes in chain of authority.

VI. Forms/Attachments
    Exhibit A – Policy Template
VII. Related Information

VIII. Revision History
Create Date: March 6, 2013 UCR-SOM,
Administrative Policy Committee Review/ Approval Date: March 6, 2013
Approval Date: March 6, 2013
Revision Date: March 4, 2016

Approval(s):

Compliance Committee (April 26, 2016)
Exhibit A

UC Riverside, School of Medicine Policies and Procedures
Policy Title:
Policy Number:

<table>
<thead>
<tr>
<th>Responsible Officer:</th>
<th>(Can be a Title)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Responsible Office:</td>
<td>(Ensure Unit is Listed on a Campus Organizational Chart)</td>
</tr>
<tr>
<td>Origination Date:</td>
<td>(MM/DD/YYYY)</td>
</tr>
<tr>
<td>Date of Revision:</td>
<td>(MM/DD/YYYY)</td>
</tr>
<tr>
<td>Scope:</td>
<td>(Brief Summary of Policy and Procedure)</td>
</tr>
</tbody>
</table>

I. **Policy Summary** (Synthesized Statement of Information & Intent)

II. **Definitions** (Alphabetized List of Terms documented on the Standard Definitions Guide at the front of the Policy and Procedures manuals)

III. **Policy Text** (Bold)
A. **Headings** (Bold)
   1. Sub-Headings
      a. Sub-Sub-Headings
         1) Sub-Sub-Sub Headings
            a) Sub-Sub-Sub-Sub Headings
               i. Sub-Sub-Sub-Sub-Sub Headings

IV. **Responsibilities** (List Titles/Units Responsible for Implementation, Enforcement, Interpretation, and Clarification)
A. **Headings** (Bold)
   1. Sub-Headings
      a. Sub-Sub-Headings
         1) Sub-Sub-Sub Headings
            a) Sub-Sub-Sub-Sub Headings
               i. Sub-Sub-Sub-Sub-Sub Headings

V. **Procedures** (Optional [These may be referenced as hyperlinks, with the Campus Administrative Policy Officer verifying that links are working and current.]: List Steps in Order of Sequence or Timing [If there is no particular order, list them by title or in alphabetical order.]. If the procedures are referenced, then it is recommended that the UCOP-designated procedure template be used [For a copy of this form, contact the Campus Administrative Policy Officer.].)  
For information on how to distinguish between a policy and a procedure contact the Campus Administrative Policy Officer.

A. **Headings** (Bold)
   1. Sub-Headings
      a. Sub-Sub-Headings
1) Sub-Sub-Sub Headings
   a) Sub-Sub-Sub Headings
      i. Sub-Sub-Sub-Sub Headings

VI. Forms/Attachments (Optional: Provide copies of forms and other documents related to the Policy and Procedure. All attached forms will be identified by name and form number.)

VII. Related Information (Other documentation that complements, supplements, or assists in explaining the provisions of the policy. Cite guidelines, checklists, standards, delegations of authority as well as federal, state, administrative, local, system, campus laws, regulations, mandates, policies and procedures, as applicable. The Campus Administrative Policy Officer will verify the cited documentation is current and relevant. If there are links, the campus Administrative Policy Officer will verify they are working and current.)

VIII. Revision History (If this is a new policy, so indicate. If the policy replaces an existing policy, the revision history should so indicate, providing the policy title, number, and effective date.)

It is highly recommended that policy owners review each of the policies under their authority at least every three years. It is incumbent that policy owners update policies to reflect changes to related policies or governing standards, regulations, laws, and other such guidance as often as required.
Exhibit C

Policy and Procedure Contacts

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Department</th>
<th>Phone Number</th>
<th>Fax Number</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>