



SUBJECT: Policy on formulating policies

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PURPOSE: This policy defines a university policy, explains the standardized policy format, and outlines the steps for formulating, approving, issuing, and amending policies and procedures. People responsible for writing, updating, and distributing university policies must comply with the conditions and procedures that are outlined in this document.

SCOPE: This policy is intended for use in the assistance of creating and revising policies and procedures. Those intended to use this policy includes but is not limited to:

- Deans, Directors, and Department Heads
- Unit Administrators
- College and Business Unit Office Staff
- Individuals considering issuing or revising a university policy

POLICY: What Is a University Policy?

A **University Policy** is defined by **all** of the following criteria:

- It has broad application throughout the university.
- It helps ensure compliance with applicable laws and regulations, promotes operational efficiencies, enhances the university's mission, or reduces institutional risks.
- It mandates actions or constraints and contains specific procedures for compliance, and articulates desired outcomes.
- The subject matter requires university president and/or administrator review and approval for policy issuance and major changes.

All policies that meet the above criteria should be included in the electronic university policy library and are governed by this policy.

Many other important college or local operating unit policies and procedures do not meet all of the above criteria. They are not considered to be university policies and are not governed by this document. However, these local policies should be clearly written and well communicated.

Policy versus Operating Procedures

For those who merely need to know the university's policy on a given question, the "Purpose", "Scope" and the "Background" on the first page of each document can easily be excerpted. However, the official versions of university policies will also include operating procedures.

Formulating and Approving a Policy

The need for new university policies and procedures may arise anywhere, but every policy must fall within the jurisdiction of a responsible administrator.

Under the direction of the Vice President of the responsible administrator, and with the assistance of the Policy Advisory Group, an individual from the responsible office who wishes to propose a new policy must:

1. Draft a Policy Statement, a Purpose for the policy, and a statement on the rationale and impact. Format the document using the standard format.
2. Obtain guidance from the Policy Review Group, as to appropriate review processes.
3. Submit the document to the cognizant Vice President's office who will then submit them to the Policy Review Group for review and preliminary approval.
4. The responsible office should arrange for the cabinet and/or senior staff to review the policy during the editorial process based on suggestions of the Policy Advisory Group.
5. When the organizing office has finished its work on a particular policy and procedures, it shall be sent to the Policy Advisory Group for review and recommendation to the responsible administrator.
6. After Policy Advisory Group approval, the chair of the Policy Review Group will send the document to the Vice President.

The Policy Advisory Group

The Policy Advisory Group (PAG) reviews all policies and operating procedures arising from offices responsible for each policy and their respective editorial groups. PAG focuses on policy and procedural clarification and provides editorial input. The responsible administrator office considers the feedback, recommendations and/or questions of clarification as the final draft is prepared for the Policy Review Group.

PAG is made up of four individuals: the Provost and Senior Vice President for Academic Affairs (or assigned designee), the Vice President for Administration and Finance, the Associate Vice President for Human Resources, and the Director of University Communications. The members shall select a chair.

The President must approve all appointments to the Policy Advisory Group and may change the components of the committee as needed.

The Vice Presidents

The Vice Presidents play two roles:

1. They review and approve the impact statement, policy statement, and reason for policy of university policies.
2. They approve the final draft of each Policy Statement, in the context of the operating procedures that support it.

President

The President will review and approve all policies

Board of Trustees

The University Board of Trustees will have final approval of all University policies pending the receipt of a favorable recommendation of the President.

Standard Format for Policies

To ensure consistency, a standard format for policies was created. Use of the standard format facilitates the adoption of clear, concise policies and procedures at all levels of university organization. The first page of each policy carries the logo of the university.

Issuing a Policy

The Human Resources Office will make a broad university announcement of the availability of the policy and procedures via e-mail and the University website. The announcement will include a brief explanation of the policy, the responsible office, and how to access the policy on the University website. The announcement will receive wide distribution utilizing the university staff list serve.

Amending a Policy

From time to time, policies and procedures will need to be amended or updated. The responsible office is charged with keeping a policy up to date. Policies should be periodically reviewed and the need for amendment assessed. A detailed review should occur at least once every five years.

When changes are necessary to a university policy, the responsible office must contact the chair of the University Policy Group to initiate the policy and review process.