

**RUTGERS POLICY**

**Section:** 50.1.13

**Section Title:** Administrative Governance

**Policy Name:** Formulation and Issuance of University Policies

**Formerly Book:** N/A

**Approval Authority:** Secretary of the University

**Responsible Executive:** Secretary of the University

**Responsible Office:** Office of the Secretary of the University

**Originally Issued:** 7/27/2005

**Revisions:** 4/18/2006; 6/26/2006

**Errors or changes?** Contact: Office of the Secretary of the University at  
[secretary@oldqueens.rutgers.edu](mailto:secretary@oldqueens.rutgers.edu)

1. **Policy Statement**  
Rutgers, the State University of New Jersey, formally approves, promulgates in a consistent format, and centrally maintains all official university policies. People responsible for writing, updating, and distributing university policies must comply with the conditions and procedures that are outlined in this document, which defines a university policy, explains the standardized policy format, outlines the steps for formulating, approving, issuing, and amending policies and procedures, and describes the roles of the approval authority, responsible executive, and responsible office.
2. **Reason for Policy**  
University policies must be kept current, and made available electronically to all relevant operating units in a timely manner, to assure compliance with policy objectives and to establish the accountability of operating units and individuals affected by each policy.
3. **Who Should Read This Policy**
  - Deans, directors, and department heads
  - Unit administrators
  - College and unit business office staff
  - Individuals considering issuing or revising a university policy
4. **Related Documents**  
None
5. **Contacts**  
Office of the Secretary of the University  
732-932-7434

## 6. The Policy

### 50.1.13 FORMULATION AND ISSUANCE OF UNIVERSITY POLICIES

#### I. University Policy

**A. Definition:** 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 board, president, and/or executive officer 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.

#### **B. Other Policies and Procedures**

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. For more information, contact the Office of the Secretary of the University at [secretary@oldqueens.rutgers.edu](mailto:secretary@oldqueens.rutgers.edu) or 732-932-7434.

#### **C. Outdated Policy**

Many policies adopted pursuant to the process set forth in this document are outdated or are no longer applicable to the functioning and operations of the university. In these cases, outdated policies will be revised. Policies no longer applicable will be rescinded and so noted in the electronic University Policy Library, effective August 1, 2005.

#### **D. Policy Versus Operating Procedures**

For those who merely need to know the university's policy on a given question, the "Policy Statement" and the "Reason for Policy" on the first page of each document can easily be excerpted. However, the official versions of university policies will also include operating procedures. Policies are available on the official University Policy Library web site at <http://policies.rutgers.edu>.

#### II. 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 executive. The responsible executive takes charge of contacting the Office of the Secretary of the University to begin the formulation process.

##### **A. New Policy Process**

The responsible executive will designate a responsible office, which is listed in the template of the written policy document. The responsible office will generally be the office that develops the policy and procedures, and will be accountable for the accurate formulation, issuance, and timely updating of the document.

**Procedures:** Under the direction of the responsible executive, an individual from the responsible office who wishes to propose a new policy must:

1. Draft a policy statement, a reason for policy, and an impact statement that describes the need and justification for, as well as the impact of, any newly proposed university policy.
2. Obtain guidance from the Office of the Secretary of the University, as to appropriate review processes, including input from groups such as the University Senate, general counsel, etc.
3. Establish an *editorial group* to formulate the entire document using the standard policy template format. The purpose of the editorial group is to assure that each policy, along with its procedures, is clearly written using the standard format, is easily understandable to all who must comply with it, and is practical and applicable. The editorial group should consist of appropriate individuals who can provide a broad perspective on the content and application of the policy. Members of the editorial group may choose to contact the Office of the Secretary of the University for guidance and assistance at any time during the editorial process.

The responsible office should arrange for the appropriate provosts, vice presidents, deans, and senior administrators to review the policy during the editorial process.

4. When the editorial group has finished its work on a particular policy and procedures, the draft policy is presented to the responsible executive.
5. The responsible executive will distribute the document to the approval authority, where the responsible executive secures final approval, prior to issuance to the campus community. If the policy requires Board of Governors and/or Board of Trustees approval, the policy will be brought forward to the Board through the appropriate board committee for action. This process will be guided by the Office of the Secretary of the University.

**Note:** Concurrent with the process described above, existing university policies that are not yet in the standard template format will be placed into this format, utilizing the procedures contained herein. For more information, contact the Office of the Secretary of the University.

### III. **Standard Policy Template**

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. The official policy template is available as a word document at [http://policies.rutgers.edu/policy\\_template.shtml](http://policies.rutgers.edu/policy_template.shtml).

### IV. **Interim Policies**

Responsible executives are empowered to issue interim policies, with the agreement of the approval authority, through the Office of the Secretary of the University in situations where a university policy must be established in a time period too short to permit the completion of the process delineated in this policy. Each interim policy will include only the policy statement and reason for policy, and may remain in force up to six months from the date of issuance. They may be extended as necessary.

To issue an interim policy, contact the Office of the Secretary of the University, which, after putting the document through an initial review, will issue the policy in the official policy format.

## V. Issuing a Policy

Policies and procedures approved by the designated “Approval Authority” will be issued with the logo of the university.

The Office of the Secretary of the University, or other appropriate office, will make a universitywide announcement of the availability of the policy and procedures on the University Policy Library web site. The announcement will include a brief explanation of the policy, the responsible office, and how to access the policy.

## VI. 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 three to five years depending on the nature and content of the policy.

When changes are necessary to a university policy, the responsible office should contact the Office of the Secretary of the University to determine whether the changes require a full review and formal approval of the designated approval authority or if the modifications are minor clarifications that can be posted immediately.

## VII. Responsibilities

The major responsibilities each party has in connection with University Policy 50.1.13, Formulation and Issuance of University Polices, are as follows:

**Approval Authority:** This authority (Board of Governors, Board of Trustees, senior executive) is responsible for final approval of a new or revised policy or regulation. In some cases, the “Approval Authority” will be the same as the “Responsible Executive.”

**Responsible Executive:** The President charges this individual with the responsibility to oversee development of university policies and revision of existing policies as required in his or her area of jurisdiction and to ensure that appropriate campus constituents will be consulted during these processes. This executive also will designate a responsible office as explained below. Implementation of policy will be delegated to the senior staff and the offices under their jurisdiction (i.e., Executive Vice President for Academic Affairs, Senior Vice President for Finance and Administration, Secretary of the University, Vice President of University Relations, Vice President and General Counsel, and Provosts).

**Responsible Office:** Under the direction of the Responsible Executive, and in collaboration with the various campus constituents, the responsible office will develop a particular policy and procedures and will be accountable for the accuracy of its subject matter, its issuance, and timely updating. This office also will be responsible to ensure that procedures and guidelines necessary to carry out the policy are current and available as hyperlinks to the appropriate departmental web site.

**Office of the Secretary of the University:** This office will be responsible to:

- Work with the responsible office to formulate policies and procedures
- Make universitywide announcements on the availability of a university policy
- Promulgate, maintain, update, and archive all standardized university policies and procedures, based on input from the Responsible Executive and/or Responsible Office