

## UNIVERSITY POLICY

<b>Policy Name:</b>	Formulation, Issuance, and Maintenance of University Policies				
<b>Section #:</b>	50.1.13	<b>Section Title:</b>	<u>Governance &amp; Legal Matters: Administrative Governance</u>	<b>Formerly Book:</b>	N/A
<b>Approval Authority:</b>	Secretary of the University		<b>Adopted:</b>	7/7/2005	<b>Reviewed:</b> <u>12/9/2014</u> <u>11/15/2019</u>
<b>Responsible Executive:</b>	Secretary of the University		<b>Revised:</b>	4/18/2006; 6/26/2006; 7/1/2013; 11/6/2013; 12/9/2014; 11/15/2019	
<b>Responsible Office:</b>	Office of the Secretary of the University		<b>Contact:</b>	<del>secretary@oldqueens.rutgers.edu</del> <u>secretary@oq.rutgers.edu</u>	

### 1. Policy Statement

Rutgers, The State University of New Jersey, formally adopts, promulgates, and maintains in a standard format, official University policies in its web-based policy library. Individuals responsible for formulating, implementing, and maintaining University policies must comply with the requirements outlined in this document for drafting, vetting, endorsing and/or approving adoption, amendment, or rescission of policies. Faculty, staff, and students are required to follow policies that apply to their respective roles.

### 2. Reason for Policy

To outline the requirements and a process for the life cycle management of University policies, to assure compliance with policy objectives, and to establish accountability of policy owners, relevant stakeholders, and constituents affected by these policies.

### 3. Who Should Read This Policy

All members of the Rutgers University community including faculty, staff, students, covered entities, contractors, non-employees, and agents of the University.

### 4. Resources

- a. [University policy template](#)
- b. [Procedure for developing a new policy](#)
- c. [Procedure for amending an existing policy](#)
- d. [Procedure for rescinding an existing policy](#)

### 5. Definitions

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

**Life Cycle Management of Policies:** Managing the process encompassing the creation and adoption of new policies, review of existing policies to affirm appropriateness, ~~revise them~~ revision to address changes in requirements, and ~~rescind them~~ rescission when no longer relevant or effective.

**Non-Substantive Policy Changes:** All changes that are relatively minor; pertaining primarily to technical or medical issues, position titles, definitions, corrections of language, etc. with no/minimal impact on the way the business is conducted in support of mission-critical operations.

**Office of the Secretary of the University:** This office works with the Responsible Office, Responsible Executive, and Approval Authority in coordinating and facilitating the development, review, revision, approval, and communication of University policies. This office also maintains a policy library to provide online access to most current policy information for the entire University community and maintains an archive of outdated policies.

**Policy Library:** ~~It is a~~An electronic repository of policies approved by the University's Board of Governors, the Board of Trustees, the President, and executive officers. These policies have broad application throughout the University. The Office of the Secretary of the University manages and maintains the policy library website, <http://policies.rutgers.edu/>.

**Policy Portfolio:** A collection of policies within the purview of specific Responsible Executive/"Owner".

**Policy Template:** A standard structure and format for organizing content for official University policies.

**Procedures:** Describes a step-by-step process for meeting the requirements of a specific policy provision. For example, how to propose a new policy or how to revise an existing policy.

**Responsible Executive/"Owner":** The President or governing board charges this individual with the responsibility to oversee development of certain new University policies and the maintenance of existing policies as required in his or her area of jurisdiction and to ensure that appropriate stakeholders (e.g., senior executives, general counsel, vice presidents, chancellors, deans, administrators, etc.) are consulted during these processes. This executive also designates a responsible office as explained below.

**Responsible Office/"Author":** Under the direction of the Responsible Executive, the responsible office develops or updates a particular policy and will be accountable for the accuracy of its subject matter, its issuance, and timely review. This office is also responsible for ensuring that procedures necessary to carry out the policy are current and available as hyperlinks to the appropriate departmental web-site.

**Stakeholder:** Individual or group, whose knowledge or University role relates to the subject matter of the policy and who, therefore is consulted for comment on its draft or revision.

**Substantive Policy Changes:** ~~Revisions to a policy~~those affecting/requiring:

- the legal, regulatory, financial, and ethical obligations and responsibilities,
- the roles of the organizations and/or resource requirements,
- the actions required to remain in compliance with the policy provisions,
- Board of Governors/Board of Trustee approval.

## 6. The Policy

University policies are official directives, with broad application throughout the University, which mandate requirements or constraints and establish boundaries for conduct of members of the University community to:

- enhance missions and strategic goals;
- reduce institutional risks and enhance internal controls;
- establish delegation of authority and responsibility;
- promote compliance with federal, state, and other applicable laws and regulations; and
- promote operational alignment, consistency, and efficiency

University policies are established by the President and senior executives under delegated authority and powers by the Board of Governors and Board of Trustees to set forth courses of action, assign roles and responsibility, provide administrative direction, and promulgate processes which are applicable broadly, ranging from the entire University to multiple functional areas, schools, institutes, and units.

Policies pertaining to specific functional area, school, institute, or unit which are established by the respective senior executive to fulfill delegated responsibility and accountability for the areas within their individual purview do not meet the foregoing criteria for ~~u~~University level policies. While the scope of this document is limited to University policies, all other policies must be clearly written, communicated, and maintained and also be consistent and not in conflict with ~~u~~University policies.

#### A. Policy Ownership/Policy Portfolio

- a. Policies ~~with locus of responsibility~~ pertaining to an area of focus delegated primarily to a single functional area are owned by the senior executive responsible for that area.
- b. Policies ~~with locus of responsibility~~ pertaining to multiple areas of responsibility spanning more than one functional area are jointly owned by the senior executive(s) responsible for the corresponding areas.
- c. When a policy transcends multiple mission areas (e.g. education, research, healthcare, or community service), the President or senior vice president generally owns this policy.
- d. The set of policies under the same ownership are collectively referred to as a “policy portfolio” for the specific “Owner”.

#### B. Life Cycle Management

- a. All policies within the individual portfolio must be reviewed by the respective “Owner” or the designated “Author”, every two years or earlier, if warranted, by a significant change in the underlying factors, to determine the need for new policies, or a potential revision or rescission of existing policies. Policies also need to be reviewed in accordance with any laws or regulations that dictate a policy review timetable.
- b. Proposals for new policies qualifying for adoption must include:
  - i. ~~a~~ A draft document prepared using the Policy Template.
  - ii. ~~documentation~~ Documentation attesting to the vetting/endorsement by the relevant stakeholders and final approval by the “Owner” and the Approval Authority.
- c. Policies being considered for revision will remain in full effect as posted until the new version is officially adopted.
- d. Proposals for “Substantive” revisions qualifying for acceptance must include:
  - i. ~~the~~ The current policy version showing the changes being proposed; ~~strikeouts to indicate deletions and underlining and bolding to indicate additions as “redline” or “track changes” with strikeouts and additions clearly denoted.~~
  - ii. ~~documentation~~ Documentation attesting to the vetting/endorsement by the relevant stakeholders and final approval by the “Owner” and the Approval Authority.
- e. Proposals for “Non-substantive” revisions qualifying for acceptance must include:
  - i. ~~the~~ The current policy version showing the changes being proposed; ~~strikeouts to indicate deletions and underlining and bolding to indicate additions as “redline” or “track changes” with strikeouts and additions clearly denoted.~~
  - ii. ~~documentation~~ Documentation attesting to the final approval by the “Owner”.
- f. A policy that has outlived its usefulness or been superseded by another policy should be identified for rescission. Proposal for policy rescission must include documentation attesting

to the vetting/endorsement by the relevant stakeholders and final approval by the “Owner” and the Approval Authority.

- g. Proposals for changes in ownership of policies must be negotiated by the original “Owner” with the new “Owner”.