Policy Title:
Policy Statements: Development and Management

Policy submitted by:
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Organization: Senior Vice President and Provost’s Office
Date: December 17, 2010

Preamble: (optional)

Reason for Policy:
The purpose of this policy is to promote University-wide consistency, clarity and understanding of the formulation, approval and promulgation of University of Oregon Policy Statements.

Who is Governed by this Policy:
All staff, faculty, and students at the University, or anyone working on behalf of the University, who play a role in the evaluation, formulation, revision, approval, issuance or maintenance of University Policy Statements.

Who Should Know this Policy:
All persons involved in University Policy development.

Policy Statement:
In addition to state and federal constitutional provisions, statutes, regulations and Oregon Administrative Rules, the institution is governed in part through University of Oregon Policy Statements. This Policy Statement’s purpose is to clarify which policies are to be controlled through a formal issuance process and are thus University of Oregon Policy Statements. This Policy Statement outlines the protocol for evaluating, formulating, approving, issuing and maintaining University of Oregon Policy Statements. It also explains the relationship of Unit Policies and Technical Policy Statements to University of Oregon Policy Statements.

University of Oregon Policy Statement and Unit Policies
Policy Statements affect the entire University. A document that pertains only to the operation of a specific organization within the University (college, school, department, office, etc.) is a Unit Policy. A Unit Policy does not affect the University of Oregon as a whole, but only those within the organization. A Technical Policy Statement is one which is highly technical in nature. Development of this type of Policy Statement typically requires the author to have specialized knowledge or skills in order to follow detailed sets of rules and regulations such as the Generally Accepted Accounting Principles or Oregon Occupational Safety and Health Administration regulations or Uniform
Administrative Requirements for Grants & Agreements. Technical Policy Statements are distributed by the Vice President for Finance and Administration and the Vice President for Research as appropriate.

Policy Statement Development and Approval

University of Oregon Policy Statement development work may be initiated by any unit of the University. The Responsible Office may conduct the work itself or engage others from around the University to evaluate, formulate and revise the work. The Responsible Office should appoint a Policy Owner who will be responsible for coordinating the policy's development. The Responsible Office shall follow the policy development and approval process and policy format that is outlined in this Policy Statement.

Policy Development and Impact Plan

Prior to the creation of the policy, a plan should be completed to determine the steps necessary to implement the policy and the impact it will have once it is put into place. To accomplish this review, the Responsible Office will complete a Policy Development and Impact Plan using the template in the Policy Library. Once completed, the Policy Development and Impact Plan must be submitted for review and approval to the relevant Dean or Vice President/Provost for that area. It will then be submitted to the Office of the Senior Vice President and Provost for approval. Once the Policy Development and Impact Plan has been approved, the Responsible Office may start developing the Policy Statement.

Development of the Policy Statement:

Following approval of the Policy Development and Impact Plan and after all relevant policy development work has been carried out by the Responsible Office, the Responsible Office shall draft the Policy Statement using the Policy Statement Development Form found in the Policy Library. The content and format of a Policy Statement should follow the Policy Library's guidelines, "Writing Policy Statements for the University of Oregon Policy Library."

Policy Approval:

The completed Policy Statement Development Form shall be submitted for review and approval to the relevant Dean or Vice President/Provost for that area. Once it has been approved by the Responsible Office's Dean or Vice President/Provost, it must be submitted to the Senior Vice President and Provost's office for review. It will be reviewed for compliance, clarity, and structure.

Once the initial approval process is completed, the final draft of the Policy Statement shall be presented by the relevant Vice President to the Executive Leadership Team (ELT) for review. After ELT review, the Policy Statement is provided to the President or designee for approval prior to issuance to the University community.

Accompanying procedures, forms and user guides may be reviewed by the ELT but are not required to be submitted as part of the approval process. The Responsible Office will have the responsibility and authority to develop and approve procedures, forms and user guides.

Upon approval by the President or designee, University of Oregon Policy Statements shall be
Technical Policy Statements

At times, there are policies developed which are highly technical in nature. Development of this type of policy typically requires the author to have specialized knowledge or skills in order to follow detailed sets of rules and regulations such as the Generally Accepted Accounting Principles or Oregon Occupational Safety and Health regulations or Uniform Administrative Requirements for Grants & Agreements. These types of University of Oregon Policy Statements are distributed only by the Vice President for Finance and Administration and the Vice President for Research, as applicable. A Technical Policy Statement does not generally require ELT review but must be approved by the relevant Vice President. The Vice President will then submit it to the Policy Library's Program Manager in the Office of the Senior Vice President and Provost for review and approval. If the Senior Vice President and Provost feels it is warranted, a request will be made that the relevant Vice President present the policy to the Executive Leadership Team for review.

Policy Library

Policy Statements will be published in an electronic format in the Policy Library. The Policy Library will provide a central location and reference point for University of Oregon policies and procedures along with other relevant information. In addition to housing Policy Statements, it will provide links to Unit Policies, Technical Policy Statements, and procedures as appropriate. University units are responsible for providing Unit Policy links to the Policy Library. The Office of the Senior Vice President and Provost will be responsible for the control and maintenance of the Policy Library.

Policy Distribution

Notification of University of Oregon Policy Statements that have been reviewed, approved, and published will be conducted by the Office of the Senior Vice President and Provost. Upon Presidential approval, communication regarding the Policy Statement will be made to Deans, Directors, Department Heads and other relevant personnel. The Policy Statement will then be posted on the University of Oregon Policy Library website. The Office of the Senior Vice President and Provost will also be responsible for sending any communications regarding new or revised University of Oregon Policy Statements to relevant persons. “Relevant persons” shall be identified by the Responsible Office. When requested, the Responsible Office shall assist the Office of the Senior Vice President and Provost with communication of policy information.

The official version of a Policy Statement is the one posted in the Policy Library. All other versions are unofficial and may not be relied upon.

Policy Maintenance

The Responsible Office or its designated Policy Owner is charged with keeping the Policy Statement up-to-date. The Responsible Office or Policy Owner should perform periodic reviews to ensure the policy complies and reflects current laws, regulations, and practices. A policy review shall be performed at least every five years. The Office of the Senior Vice President and Provost will help
ensure that Responsible Offices review and update policies as needed and will publish updates in the online Policy Library. A policy review schedule will be maintained in the Policy Library.

Policy Statement Revisions

The Responsible Office may at any time submit changes to a Policy Statement by following the revision or update procedures outlined in this policy.

Revisions shall be categorized as two types: substantive or minor. Substantive revisions must follow the same approval process as outlined for initial policy issuance. With substantive revisions, the Responsible Office should complete and submit a new Policy Development and Impact Plan and must complete a new Policy Statement Development Form. Minor revisions shall be referred to as Policy Statement updates and must be submitted on a Policy Update Form. Policy Statement updates must be approved by the policy owner's supervisor prior to submission to the Office of the Vice President and Provost. Approval may be noted on the update form or emailed by the supervisor to the Policy Library Program Manager. If the Office of the Senior Vice President and Provost concludes that the updates are substantive rather than minor, the update will be returned to the Responsible Office for the appropriate process to be followed. The Office of the Senior Vice President and Provost will be responsible for making approved changes to the Policy Statement in the Policy Library. For more information regarding revisions, refer to Policy Revision and Update Guidelines located in the Policy Library.

Policy Statement Repeal

If the Responsible Office finds reason to repeal an existing Policy Statement, the Responsible Office or Policy Owner must submit a request along with the reasons for the repeal to the Policy Library's Program Manager. If the Senior Vice President and Provost feels it is warranted, a request will be made that the relevant Dean or Vice President/Provost present the policy for repeal to the Executive Leadership Team for review.

Unit Policies and Procedures

Any organization within the University such as a school, college, institution, or department may issue, without ELT review, policies or procedures that relate to matters of interest predominantly only to that particular unit as long as those policies do not conflict with University of Oregon Policy Statements. These are to be referred to as a "Unit Policy or a Procedure." Units are encouraged to use the standard University of Oregon Policy Statement format to support standardization of form and appearance in policy development. If the Responsible Office wants to list additional Unit Policies which relate to a Policy Statement, they may do so as long as the additional policies do not contradict or negate the current Policy Statement and the Unit Policy refers to the Policy Statement contained in the Policy Library.

Procedures:
Policy Development Process Chart
Policy Revision and Update Guidelines
Writing Policy Statements for the University of Oregon Policy Library
Exclusions and Special Situations:
University of Oregon Policy Statements may not cover all administrative matters at the University. The intention of the University is to eventually have all Policy Statements housed within the Policy Library. However, in the transition phase, some statements may be located with other sources such as the Office of Academic Affairs, Business Affairs Office, and Human Resources.

Some administrative information may not be formalized into Policy Statements and will be contained in handbooks, catalogs, etc. such as the Student Handbook.

Emergency or Interim Policies

As stated in Policy Statements: Authority and Origins, in emergency situations, the President or appropriate Vice-President or their designee may have reason to temporarily suspend or abridge a given Policy Statement in the interests of equity, public safety, or circumstances not anticipated when the policy was written.

When a new policy is needed within a time period that does not allow for complete drafting and review of a proposed policy as outlined in this Policy Statement, the relevant Dean or Vice President/Provost may request that the President or Senior Vice President and Provost approve a proposed Policy Statement on an interim or emergency basis. The requesting Dean or Vice President/Provost must articulate a compelling reason or reasons that require interim or emergency approval. If the President or Senior Vice President and Provost approve the policy, it will be effective as an interim or emergency policy for six months, unless it is revoked before then by the President or Senior Vice President and Provost. Extensions beyond this period may be approved by the President or Senior Vice President and Provost upon a showing of compelling need. However, the interim or emergency policy should follow the process outlined in this document for full approval within one year of issuance of the interim or emergency approval.

Definitions:

Executive Leadership Team: The Executive Leadership Team consists of a council of central administrators authorized by the President to provide final institutional review of University of Oregon Policy Statements.

Guideline: Any document that aims to streamline particular processes according to a set routine. Following guidelines is not mandatory. Guidelines are not to be included in the body of a Policy Statement but a link should be provided.

Minor Revision: See Policy Updates.

Policy: A high-level overall plan embracing the general goals and acceptable procedures of an organization with intentions to influence and determine decisions, actions, and other matters. Policies are characterized by indicating "what" needs to be done rather than how to do it. Such statements have the force of establishing rights, requirements and responsibilities. Policies are stated in broad terms.

Policy Library: Official repository for University of Oregon Policy Statements and online access portal.
to unit policies and procedures [http://policies.uoregon.edu].

**Policy Owner:** Individual selected by the Responsible Office to develop, review, edit, and maintain the policy. In the development of a policy, the owner may call upon the assistance of a formalized committee. The Policy Owner will also be the point of contact in regards to interpretation of the policy, and questions or feedback.

**Policy Revision:** A policy revision is substantive. An example would include adding new requirements or limitations. See "Policy Revision and Update Guidelines" for more information.

**Policy Statement:** Set of basic principles or rules formulated and enforced by the University of Oregon to direct effective management and operation of the institution. They must meet at least one of the following criteria:

- Seeks to ensure compliance with applicable laws, regulations, and standards;
- Has broad application or impact throughout the University; or
- Promotes consistency, operational efficiency, enhancement of the University’s mission and/or mitigates significant institutional risk.

**Policy Update:** Any Policy Statement change which is minor and does not have any effect on the scope or objectives of the policy. A minor policy revision will be considered an update to the Policy Statement and referred to as a Policy Update. Examples would be clarifying terms, adding a link, adding procedural aides, correcting spelling or punctuation. See "Policy Revision and Update Guidelines" for more information.

**Procedure:** A step-by-step sequence of activities or course of action (with definite start and end points) that must be followed in the same order to correctly perform a task or to implement established policies. Procedures are not to be included in the body of a Policy Statement but a link should be provided. Procedures contain the specific details required to implement a Policy Statement; whereas, Policy Statements are stated in broader terms.

**Responsible Office:** While University of Oregon Policy Statement development work may be initiated by any member of the University community, the Responsible Office is generally the office that is the subject matter expert and is responsible for assisting in policy interpretation, operational administration of the policies, and is responsible for the high-level oversight of Policy Statements that fall within their area of responsibility. The Responsible Office will have the responsibility and authority to approve procedures, forms, and user guides. The Responsible Office may include faculty or administrative groups or committees.

**Substantive Policy Statement Revision:** Considerable and significant changes to a Policy Statement which affects the policy’s established rules, principles, or intent. See "Policy Revision and Update Guidelines" for more information.

**Technical Policy Statement:** A policy which is highly technical in nature. Development of this type of policy typically requires the author to have specialized knowledge or skills in order to follow detailed sets of rules and regulations such as the Generally Accepted Accounting Principles or Occupational Safety and Health Administration regulations or Uniform Administrative Requirements for Grants &
Agreements. UO technical Policy Statements are distributed only by the Vice President for Finance and Administration organization and the Vice President for Research.

Forms/Instructions/Regulations:

Policy Development and Impact Plan
Policy Statement Development Form
Policy Statement Update Form

Cross Reference to Related Policies:

Policy Statements: Authority and Origins

Responsible University Office:
University Office: Office of Senior Vice President and Provost
Office Website URL: http://provost.uoregon.edu/
Policy Owner: Kathy Warden
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Related Documents:

Frequently Asked Questions:
See Policy Statement Resources: FAQ

Revision/Development History:
1/20/2010 Approved by the Executive Leadership Team
11/5/2010 Revised for clarification of process and definitions. <original document>
12/17/10 Revised for clarification of approval process

Organizational Category:
(Please mark only one)

x Administration and Governance
   Academic and Curricular
   Human Resources
   Facilities
   Students
   Finance and Business Affairs
   University Relations
   Health and Safety
   Research
   Information Technology
   General
POLICY CONSULTATION AND REVIEW

Consultation and review by the following individuals or groups:

Reviewed by ELT
Executive Leadership Team


Print Name

Print Name

Print Name


APPROVED BY:

President or Designee Richard W. Lariviere (See attached signature document)

Signature

POLICY EFFECTIVE DATE: December 28, 2010

ASSIGNED POLICY NUMBER: 01.00.02
I hereby approve the following University of Oregon Policy Statement, which was reviewed by the Executive Leadership Team on December 20, 2010: "Policy Statements: Development and Management."

[Signature]

Richard W. Lariviere, President

12/28/10

Date