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 policies. This policy statement’s purpose is to clarify which policies are to be controlled through a formal, controlled process and fit the category of University of Oregon policy statements. It outlines the protocol for evaluating, formulating, approving, issuing and maintaining University of Oregon policy statements. It also explains the relationship of unit policies and procedures to University of Oregon policy statements.

University of Oregon Policy Statement and Unit Statement
Any document which contains rules or principles which promotes the University of Oregon’s
effectiveness in the management and operation of the institution is considered a University of Oregon policy statement. Policy statements have a wide-range reach and 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.

Policy Statement Development and Approval
University of Oregon policy statement development work may be initiated by any office, department, school, college, institution, center, etc. The Responsible Office may conduct the work themselves or engage others from around the University in the evaluation, formulation and revision 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 within this policy.

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 completed the approval process, 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 and approval. 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 final review and approval prior to issuance to the University community.
Final review and approval of University of Oregon policy statements is carried out through the Executive Leadership Team (ELT). ELT has the authority to approve, reject and/or require revisions and resubmissions of the policy draft for their review. After ELT approval, University of Oregon policy statements are issued by the President or by the President's designee. Accompanying procedures, forms and user guides can be reviewed by the ELT for feedback, 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 ELT, University of Oregon policy statements shall be published on the University of Oregon Policy Library website.

**Technical Policy Statements**
At times, there are policy statements 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 Occupational Safety and Health Administration regulations or Uniform Administrative Requirements for Grants & Agreements. These types of University of Oregon policy statements are distributed only by the University's Finance and Administration organization and the Office of Research Services and Administration. If a policy is deemed technical by those institutions, the policy development and format shall follow the process outlined within this policy. A technical policy statement does not generally require ELT approval 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 and approval.

**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 relevant State-level rules. In addition to housing policy statements, it will provide links to Unit policies and procedures. University of Oregon organizations 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. University of Oregon policy statements shall be kept current and made available to all relevant members of the University community in a timely manner.

**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 ELT
approval, communication regarding the policy statement will be made to Deans, Directors, Department Heads and other relevant personnel. It 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 new or revised University of Oregon policy statements communication to relevant members of the University community. When requested, the Responsible Office shall assist the Office of the Senior Vice President and Provost with communication of policy information.

No policy statement in its entirety shall be posted anywhere except within the Policy Library. University of Oregon policy statements published elsewhere are considered invalid.

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 feels that the updates are substantive rather than minor, the update will be returned to the Responsible Office for the appropriate process mentioned above. 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 to the Executive Leadership Team for review and approval of the policy repeal.

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 "unit policies and procedures." Units are encouraged to use the standard University of Oregon policy statement format to support standardization of form and appearance in policy development throughout the University community. 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.

Change in Procedures:
☐ No change

Policy Development Process Chart
Policy Revision and Update Guidelines
Writing Policy Statements for the University of Oregon Library

Change in Exclusions and Special Situations:
☐ No change

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 extraordinary 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 and approval 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 Officer 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 from the University community.

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 governing body of 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: Fixed, 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 University Office: While University of Oregon policy statement development work may be initiated by any member of the University community, the Responsible University 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 statement 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 Finance and Administration organization and the Office Research Services and Administration.

Unit: A separate organization within the University of Oregon such as a college, school, institution, center, or department.

Unit Policy: Policies or rules that apply only to a particular unit. It does not affect the overall University community but only those within the unit. It is strongly suggested that unit policies follow the same format as policy statements. The responsible organization is responsible for publishing the information on the pertinent website and providing the Policy Library with the link.

Forms/Instructions/Regulations:
- Policy Development and Impact Plan
- Policy Statement Development Form

□ No change

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Policy Statement Update Form

Cross Reference to Related Policies: ☒ No change

Responsible University Office: ☐ No change

University Office: Office of Senior Vice President and Provost
Office Website URL: http://provost.uoregon.edu/
Policy Owner: Kathy Warden
    Email: kathyw@uoregon.edu
    Phone: 541-346-3531

Related Documents: ☒ No change

Frequently Asked Questions: ☒ No change

Organizational Category: ☒ No change
(Please mark only one)
    Administration and Governance
    Academic and Curricular
    Human Resources
    Facilities
    Students
    Finance and Business Affairs
    University Relations
    Health and Safety
    Research
    Information Technology
    General

REVIEW AND APPROVAL

Responsible Office:

Policy Owner: Kathy Warden  11-5-10

Supervisor: Julie Gillen  11-5-10

☑ CHANGES ACCEPTED

☐ CHANGES DEEMED SUBSTATIVE AND MUST BE RESUBMITTED.

Office of the Senior Vice President and Provost

POLICY UPDATE EFFECTIVE DATE: 11-5-10