



Delaware State University

University Area Responsible: Administrative Policies and Procedures; Office of Human Resources

Policy Number and Name: 1-02: University Policy Development and Management

Approval Date: 4/18/11

Revisions: 11/2/2012

Related Policies & Procedures: _____

Purpose

The purpose of this policy is to ensure that the process of policy development at Delaware State University results in policies that comply with laws and regulations, are accessible and easy to understand, and that there is consistency in their format and dissemination. Both University and Departmental policies should be kept current, and made available to all relevant operating units in a timely manner. Policies must be properly developed, accessible, and user friendly. The primary goals of this policy are: operational efficiency throughout the University; compliance with applicable University, local, state and federal laws and regulations; and compliance with accounting and reporting standards.

Scope

All University staff involved in University and Departmental policy development.

Definitions

Administrative Council-The Administrative Council is comprised of the President of the University and those individuals assigned by him/her including the Provost, Executive VP for Finance and University Treasurer, VP for Finance and Administration, Chief of Staff/VP for Institutional Advancement, VP for University Research, VP for Student Affairs, the University General Counsel and the Athletics Director. The President may at any time modify the membership of the Administrative Council.

University Policy - Any policy that:

- has broad application or impact throughout the University across academic and administrative units, including policies whose subject matter or budgetary impact requires review and approval by an executive officer;
- seeks to ensure compliance with applicable laws, regulations and standards, promotion of operational efficiencies, enhancement of the University's mission, or reduction of institutional risks;
- mandates or constrains actions for the benefit of the University, its students, staff and faculty.

Departmental Policy - Any policy or procedure that relates to matters of interest only to that particular department (School, College or Administrative Unit) or that sets forth procedures by which the unit will carry out the University policies.

A School, College, or Administrative Unit may issue policies or procedures that relate to matters of interest only to that particular School, College or Administrative Unit or that set forth procedures by which the unit will carry out the University policies. These shall be referred to generally as “departmental policies and procedures.” Departmental policies and procedures are not “University policies” and therefore are not governed by all the procedures set forth in this policy. Departmental policies will be reviewed by the relevant Dean, Department Head, or appropriate University Officer who will provide copies to the Associate Director/Coordinator of Policy and Procedures, the University Area Administrator, and the University General Counsel to ensure their consistency with University policies and applicable legal requirements and determine whether Administrative Council review and approval are needed. Departments are expected to use the standard University policy format to achieve uniformity of form and appearance for policies and procedures throughout the University.

Procedures - Academic and administrative operating units may have processes that apply specifically to those entities and they may adopt implementing procedures that assist them in the fulfillment of other University or Departmental Policies. These procedures should refer to the official policy document they seek to implement. Copies of such implementing procedures must be provided to the Senior Administrator of the corresponding University or Departmental Policy Area, the General Counsel and the Associate Director/Coordinator of Policy and Procedures who will assure their consistency with official University policies.

University Area - any of the following 11 areas that fall under the authority of the University Administrative Council:

1. **Administrative:** Policies and procedures regarding the governance of the University. These include the University: President, Board of Trustees, Provost, and Administrative Council.
2. **Academic/Research/Libraries:** Policies and Procedures relating to the establishment, management and assessment of academic programs, academic appointments and research.

3. **Financial:** Policies relating to the University's budget, payroll, accounting and asset management.
4. **Human Resources:** Policies related to recruitment, employment, benefits, separation, conflict management, equal employment opportunity, affirmative action and other employee/employer concerns.
5. **University General Counsel/Legal Affairs:** Policies and procedures governing the legal affairs of the University within the institution and beyond.
6. **Student Affairs and Enrollment Management:** Policies and Procedures addressing the recruitment and enrollment of students as well as the management and delivery of student services at the University.
7. **Risk and Safety Management:** Policies and Procedures related to Risk Management and Public Safety within the University. They are designed to protect the University community and its assets.
8. **Information Technology:** Policies and procedures related to the management of IT networks, security, privacy, and responsible and ethical use of IT resources and services.
9. **Procurement and Auxiliary Services:** Policies and Procedures related to the purchasing of equipment and services to meet the needs of the institution. Included are things like motor vehicles and dining services.
10. **Facilities:** Policies and Procedures that allow for the effective management and maintenance of University-owned or operated structures, chattel and energy related facilities. Also included are the University's architectural and engineering services.
11. **University Athletics:** Policies and Procedures related to the management of all University Athletic Programs and compliance with NCAA rules and regulations.

Subject Matter Expert - an individual who possesses expertise in a particular University or Departmental area because he/she is constantly involved in its every day functioning and problem solving. This individual is very knowledgeable about the policies and procedures that govern the activities within the area and has a say in how these are disseminated and implemented. This individual is also in constant contact with the staff responsible for the work to be performed in the University area. The Subject Matter Expert can be a Unit/Department Head, a director manager or supervisor or a staff member who knows the type of work that is done in the area, knows how to do it, knows the limitations and potential problems as well as the staff in charge of carrying out the work.

Responsible Officer - individual designated by the Administrative Council Member sponsoring a policy as the person that will be in constant communication with the Associate Director/Coordinator of Policy and Procedures to provide access to what's already in place as far as policies and procedures and guide him/her to the Subject Matter Expert so that the necessary cooperation to accomplish the identified policy and procedures goals takes place. The Administrative Council Member sponsoring the policy development or update may serve as the Responsible Officer or may delegate the responsibility to the Subject Matter Expert or to another qualified administrator or staff member within the University Area involved.

Policy Creation

University and Departmental Policies may be initiated by individual academic and administrative units, the Faculty Senate, members of the Administrative Council, or other bodies and individuals as appropriate. Every University and Departmental Policy, however, must be sponsored by either a member of the Administrative Council or by delegation from an Administrative Council Member to a Unit administrator with the responsibility for creating and implementing policies as required in his/her area of responsibility. The sponsoring Administrative Council member shall designate a specific Responsible Officer who will work with the Associate Director/Coordinator of Policy and Procedures on the accurate and well-articulated formulation, issuance and timely updating of the policy.

Policy Development and Approval

The procedures for formulating and reviewing policies may vary from unit to unit, depending on the primary constituency for the policy, on institutional traditions and by-laws, and on relevant external legal or regulatory constraints.

The Associate Director/Coordinator of Policy and Procedures will be contacted by the Administrative Council member sponsoring the policy and a meeting to discuss the issue(s) and or problem(s) that justify the need for the policy will be scheduled with the subject matter expert in the University Area requesting the policy. The University Area subject matter expert will work with the Associate Director/Coordinator of Policy and Procedures to determine the research needed and the creation of a draft. The University General Counsel will receive a copy of the draft and determine if it complies with any legal requirements that may apply. Staff that will be responsible for the dissemination and implementation of the policy will be asked to review the draft and provide comments and suggestions. After all relevant reviews by the University Area subject matter expert, the General Counsel, the Sponsoring Administrative Council member and the Associate Director/Coordinator of Policy and Procedures have been carried out, the drafted policy may be submitted for final review and approval by the Administrative Council, the President, and if appropriate by the University Trustees, prior to issuance to the University community. Whether such final review is required, as distinguished from review at the Sponsoring Administrative Council member and General Counsel level, is up to the discretion of the General Counsel.

Issuance of Policies

The University Area Administrator and the Subject Matter Expert will issue, publish and distribute approved policies on the appropriate University website pages and by other means as deemed appropriate. The Associate Director/Coordinator of Policy and Procedures shall provide assistance with the proper publication and distribution of the policy. The Associate Director/Coordinator of Policy and Procedures is also responsible for assisting in the creation and maintenance of a central University Policy repository and a University Policy website page with links to all University policies.

Policy Review and Update

The University Area Administrator, the Subject Matter Expert and the Associate Director/Coordinator of Policy and Procedures will be responsible for keeping the policy current. They will ensure the periodic review of the policy as necessary (at least every 3 years) to ensure that the policy reflects obligations imposed by current laws, regulations, and best practices. Each policy will include the calendar year in which it was made effective so that it may be reviewed on a timely basis under this policy. Unless otherwise noted, policy amendments must follow the same process outlined above for initial issuance.

Supersession

Departmental policies and procedures may not supersede University Policies in language, purpose, intent or application.

Provost and Faculty Senate

The Provost and the Faculty Senate will be responsible for the development and management of academic policies and procedures at the University. The University General Counsel and the Associate Director/Coordinator of Policy and Procedure will assist in the review of academic policies and procedures to ensure compliance with other University policies and legal requirements.

Board of Trustees and the President of the University

Nothing in this policy limits or circumscribes in any way the power and authority of the Board of Trustees or the President to issue, amend, or revoke University Policies on any matter.