



Adoption of University Policies, Operating Procedures and Guidelines

Policy Statement

The University wishes to ensure that its community members have ready access to sound, clear, and current governing policies, operating procedures, and guidelines. Toward that end, University Policies will be adopted in a manner consistent with University governance channels, approved and monitored for legal compliance and best practices by authorized University officials, maintained centrally on-line at a University website, written consistently in alignment with institutional objectives and applicable external requirements, and presented in a comprehensible and common format.

Reason for the Policy

This policy on the Adoption of University Policies, Operating Procedures, and Guidelines (the Policy) is designed to assist the University in serving its mission and achieving its goals; maintaining accountability on the part of responsible officials and University community members; and providing clear, concise, and current guidance on standards and requirements.

Strategic Direction

This policy supports the following goal in the University's Strategic Plan:

http://www.uvm.edu/~president/?Page=strategicplan2009_2013.html

- As an institution, model the highest standard of ethical conduct, accountability and best practice, public service, and strong commitment to lifelong learning.

Applicability of the Policy

The Policy applies to University administrators originating, approving, issuing, or revising a University Policy, University Operating Procedure or Guideline, as defined below. The Policy is intended to be applied in a manner consistent with governance requirements, including those relating to the adoption of certain policies by, or in consultation with, the Faculty Senate. It does

not apply to the formulation or implementation of terms and conditions of employment affecting employees subject to collective bargaining.

There are many other important policies applicable to students, faculty, or staff that do not meet the criteria set forth below. Those policies may include those issued locally by Colleges, Schools, academic and administrative departments and units (“units”) and affecting only the personnel or operations of such units. Such policies have separate adoption and approval processes and are not University Policies as herein described. University-wide policies, however, supersede those of other units regarding issues of University-wide application and in the event of a conflict between policies.

Policy Elaboration

None

Definitions

A. UNIVERSITY POLICY

A University Policy establishes principles and standards governing the conduct of UVM faculty, staff, and students in their capacity as members of the UVM community. A University Policy may also expressly apply to campus visitors, University affiliates, vendors or other members of the University community.

A University Policy is defined by the following criteria:

- It applies generally throughout the University or major components of the University
- It facilitates compliance with internal or external standards or requirements
- It mandates or constrains action and it states the consequences for non-compliance

A University Policy typically incorporates procedures that set forth the specific steps or means by which the policy is carried out. Procedures exist to ensure consistent and efficient application of the Policy. These procedures are internal to a University Policy and must be distinguished from University Operating Procedures, which are defined below.

B. UNIVERSITY OPERATING PROCEDURES

A University Operating Procedure (UOP) is a freestanding operational rule or set of steps that all persons engaged in the activities that are the subject of the UOP must uniformly follow. Procedures that are applied within a single school, college, division or department are not UOP.

C. UNIVERSITY GUIDELINES

A University Guideline is an interpretation or elaboration of a University Policy or UOP issued by the University official who is principally responsible for administering the program, activity or operation that is the subject of the Policy or UOP.

Adoption Procedures

At least once annually (with periodic updates as circumstances change), the Vice President for Executive Operations will jointly issue to governance leaders a list of Policies, UOPs, and Guidelines that are scheduled either to be adopted for the first time or substantively revised (and see “Policy Revisions”, below). The list will briefly describe each item and identify the associated responsible official. The list will also outline a consultation process for each item. Any governance leader may request clarification of the item or modification of the proposed consultation process. Disagreements will be resolved in favor of broader circulation. Refer to the Annual Policy Process (http://www.uvm.edu/policies/general_html/annual_policy_process.pdf) for details regarding list creation and timeline for responding.

A. POLICIES

1. The President customarily delegates to a senior institutional official (“responsible official”), typically a Vice President, responsibility for the oversight of specific programs, activities, conduct or endeavors and concurrent responsibility for determining the need for, or desirability of, associated governing policies, UOP, and guidelines in light of internal and/or external standards and requirements, institutional objectives, or best practices. Although responsible officials may delegate tasks relating to policy development to subordinates, the policy initiative and final University Policy must ultimately be sponsored and approved by the responsible official. The first step is for the policy initiator to ensure that he or she is authorized to proceed. Questions regarding institutional authority should be directed to the Vice President for Executive Operations.
2. Responsible officials are required to oversee the initial development, as well periodic review and revision, of University Policies relating to their business units and areas of responsibility. Advice regarding general legal obligations may be requested from the University Office of the General Counsel. Advice regarding specific compliance requirements may be obtained from the University Office of Compliance Services. Policies will be reviewed cyclically in accordance with the Annual Policy Review Process (http://www.uvm.edu/policies/general_html/annual_policy_process.pdf). Regardless of the review schedule, the responsible official is independently obligated to ensure that University Policies are updated as necessary for currency.
3. If a proposed University Policy (or substantive revision of an existing policy) involves matters within the purview of more than one responsible official, the official initiating the Policy proposal or revisions should consult and coordinate with other such official(s). Once these initial steps are complete, the responsible official submits the draft policy to the Vice

President for Executive Operations, who oversees the process of obtaining input and approval as required by governance.

4. Once the policy is approved, the Vice President for Executive Operations transmits copies to the Office of Compliance Services and the Office of the General Counsel, with a copy to the responsible official. The Office of Compliance Services oversees the posting of the University Policy on the University Policies website. The responsible official is also responsible for advising the University community members to whom it applies of the adoption of the Policy.

Adoption of Interim Policies

Under extenuating circumstances, responsible officials may issue Interim University Policies. Such circumstances may include the need to expedite the issuance of a University Policy due to external compliance deadlines; developments that will, or could, significantly affect the safety or welfare of members of the campus community; or where the step is necessary or desirable to facilitate orderly and efficient campus operations. In such a case, the responsible official must seek presidential approval to issue an Interim Policy by means of a request to the Vice President for Executive Operations.

Interim University Policies will generally remain in effect for no more than six months from the effective date of their issuance; thus, the responsible official should initiate the steps described above for adoption of a non-interim Policy promptly. The Office of Compliance Services will post Interim University Policies, clearly designated as such, on the University Policies website.

Policy Revisions

All new University Policies are subject to the procedures outlined above. The procedures also apply when an existing University Policy undergoes substantive revisions due to changed circumstances or a periodic scheduled review. Revisions may be made administratively, without following the process described above, when the Vice President for Executive Operations, following consultation with the responsible official, the General Counsel, and the Chief Compliance Officer determines that such revisions are non-substantive or do not significantly impact the rights or responsibilities of members of the University community. In such instances the Office of Compliance Services shall maintain a record of the nature and extent of the revisions and the date revised.

Retirement of Policies

As University Policies are superseded by new University Policies or revoked by responsible officials, these Policies will be retired and copies archived by the Office of Compliance Services.

B. UNIVERSITY OPERATING PROCEDURES

A UOP is a freestanding operational rule or set of steps that persons engaged in the activities that are the subject of the UOP must follow. The administrator who principally oversees the activity

in issue is responsible for drafting the UOP, in active consultation with unit colleagues and his or her supervisor. The Vice President or comparable official who is ultimately responsible for the activity must also review the UOP and either approve and adopt it, or expressly authorize the responsible administrator to adopt the UOP. Prior to adoption of the UOP, the responsible administrator must consult with the Vice President for Executive Operations regarding (1) any necessary or desirable additional circulation for comment. After the UOP is finalized, the VPEO will transmit the UOP to the Office of Compliance Services to post on the University Policies website. The Office of Compliance Services maintains a template for UOPs.

C. GUIDELINES

A University Guideline is an interpretation or elaboration of a University Policy or UOP issued by the University administrator who is principally responsible for administering the program, activity or operation that is the subject of the Policy or UOP. The administrator who principally oversees the activity in issue is responsible for drafting the Guidelines, in active consultation with unit colleagues and his or her supervisor. The Vice President or comparable official who is ultimately responsible for the activity must also review the Guidelines and either approve and adopt them, or expressly authorize the responsible administrator to adopt the Guidelines. Prior to adoption of the Guideline, the responsible administrator must consult with the Vice President for Executive Operations regarding (1) any necessary or desirable additional circulation for comment. After the Guideline is finalized, the VPEO will transmit the Guideline to the Office of Compliance Services to post on the University Policies website.

Forms

Standard Format for Policy Development

<http://www.uvm.edu/~uvmppg/ppg/?Page=policyformat.html&SM=SubProcessMenu.html>

Standard Format for UOP

<http://www.uvm.edu/policies/?Page=uopformat.html&SM=SubProcessMenu.html>

Contacts

Questions related to the daily operational interpretation of this policy should be directed to:

The Office of Compliance Services
B157 Billings Bldg.
48 University Place
Burlington, VT 05405

Phone: (802)656-3086

The official responsible for the interpretation and administration of this policy is the Chief Compliance Officer.

Related Documents/Policies

Annual Policy Review Process

http://www.uvm.edu/policies/general_html/annual_policy_process.pdf

Effective Date

V 9.0.1.3 approved by the President on December 5, 2011

V 9.0.1.2 approved by the President on November 6, 2008

V 9.0.1.1 approved by the President on April 21, 2006