

## **10.9 Formulation and Issuance of University Policies**

<b>Approval Authority:</b>	<b>Cabinet</b>
<b>Responsible Officers:</b>	<b>Provost; Chief Financial Officer, Vice President for Finance and Treasurer; Vice President, General Counsel and Secretary</b>
<b>Responsible Offices:</b>	<b>Office of the General Counsel; Office of the Chief Compliance Officer</b>
<b>Effective Date:</b>	<b>July 25, 2017</b>

### **I. Purpose of this Policy**

The purpose of this policy is to standardize the process for the development, review and maintenance of University Policies (as this and other terms are defined below and in Section III). Through a consistent policy process and format, the University can best ensure that University Policies are consistent with its academic mission and applicable law, and are comprehensible and accessible to students, faculty and staff.

### **II. Policy**

#### **A. University Policies**

A “University Policy” is any policy that meets the following criteria:

- has broad application or impact throughout the University across colleges, schools and/or Operating Units;
- seeks to ensure compliance with applicable laws, ethical norms, accepted best practices, promotion of operational efficiencies, enhancement of the University’s mission and/or reduction of institutional risks; or
- mandates or constrains actions on the part of all or a large portion of students, faculty, staff or other members of the Stevens community.

Note: All policies appearing in the Faculty Handbook of the University are University Policies.

Schools, colleges and other Operating Units may supplement University Policies by issuing policies, procedures or guidelines that are consistent with University Policies and relate to matters of interest only to the operations of such Operating Units (examples include policies of the Office of Financial Aid related only to Title IV compliance or procedures for administering grants and contracts within the Office of Sponsored Programs). While these policies and procedures are not University Policies and may be approved for implementation by the Vice President overseeing the relevant Operating Unit in consultation with the Office of the General Counsel and the Chief Compliance Officer, they are effective and binding on all students, faculty and staff.

## **B. Responsibility for Creating a University Policy**

University Policies may be initiated by individual colleges, schools, Operating Units, the Faculty Senate or members of the President's Cabinet (each, a "Policy Initiator"). Every University Policy must be sponsored by a member(s) of the President's Cabinet and must be finally approved by either the President's Cabinet or the Board of Trustees (each, an "Approving Authority"), as determined by the General Counsel and Secretary.

In all cases, a member (or members) of the President's Cabinet will be listed by title as the officer responsible for the formulation, publication and distribution of the University Policy (a "Responsible Officer").

## **C. Formulating a University Policy**

The procedure for the adoption of a University Policy is as follows:

**Step 1:** A Policy Initiator proposes a concept for a proposed University Policy to the relevant member of the President's Cabinet.

**Step 2:** The Cabinet member consults with the Office of the General Counsel and the Chief Compliance Officer to evaluate and develop the concept for the University Policy and determine which member(s) of the President's Cabinet will be the Responsible Officer(s) and which Approving Authority will approve the University Policy.

**Step 3:** Once the concept for the University Policy is approved by the Responsible Officer, the Responsible Officer directs the formulation of an initial draft of the proposed University Policy.

**Step 4:** Once approved by the Responsible Officer, the Responsible Officer provides the initial draft to the Office of the General Counsel and the Chief Compliance Officer for review, consultation and potential modification.

**Step 5:** Once approved by the Responsible Officer and reviewed by the Office of the General Counsel and the Chief Compliance Officer, the Responsible Officer submits the proposed University Policy to the Administrative Council for review, consultation and potential modification.

**Step 6:** The Responsible Officer submits the proposed University Policy to the President's Cabinet for its review and determination of further actions under this Policy.

**Step 7:** Following review by the President's Cabinet, the University Policy shall be reviewed by the General Counsel and the Provost to determine what, if any, consultation, approval or other action by the Academic Council or the Faculty is appropriate in accordance with the following principles:

- For any University Policy that does not constitute an amendment to the Faculty Handbook, the General Counsel in consultation with the Provost shall determine whether

consultation with the Faculty Senate is required. As a general matter, University Policies that directly regulate the curriculum, teaching activities or other core academic functions of the University will be reviewed by the Faculty Senate.

- University Policies that would amend the Faculty Handbook must be approved by the Faculty Senate and the Faculty pursuant to the procedures outlined in [Section 2.5 of the Faculty Handbook](#).<sup>1</sup>

Note: University Policies (and other policies, procedures and guidelines adopted by Operational Units) that are necessary for compliance with external legal constraints will not be subject to approval by any bodies other than the Board of Trustees or the President's Cabinet.

**Step 8:** The Approving Authority makes its final decision regarding approval:

- The President's Cabinet votes on whether to approve the proposed University Policy; or
- If the Approving Authority is the Board of Trustees, the President's Cabinet votes on whether to approve the proposed University Policy and presents the Policy to the relevant Committee(s) of the Board of Trustees and to the Board of Trustees to consider, in each case, whether to approve the proposed University Policy.

Note: The procedures for formulating and reviewing University Policies set forth above may vary depending on the primary constituency for the University Policy and relevant legal constraints, as determined by the General Counsel.

Each University Policy should be drafted in the format provided in Appendix A (with such additions or modifications as may be appropriate to the context) and should identify the Approval Authority, the Responsible Officer(s) for the Policy, the Responsible Office(s) for the Policy and the Effective Date.

#### **D. Publication of University Policies**

Once a University Policy is approved, the Responsible Officer will send the University Policy to the Office of the Secretary. The Office of the Secretary will (i) maintain copies of approved University Policies in hard copy form and (ii) direct the Vice President for Information Technology and Chief Information Officer to include the approved University Policy on the Stevens website in the University Policy Library.<sup>2</sup>

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<sup>1</sup> [https://www.stevens.edu/sites/stevens\\_edu/files/fac-hdbk\\_section\\_2\\_111715.pdf](https://www.stevens.edu/sites/stevens_edu/files/fac-hdbk_section_2_111715.pdf)

<sup>2</sup> To maintain an organized set of policies and to ensure consistency, Stevens websites that reference University Policies should use links to the University Policy Library and should not restate any Policy or link to a separate copy of the same Policy.

### **E. Amendments and Revisions to University Policies**

The Office of the General Counsel and the Chief Compliance Officer will periodically review University Policies and consult with the President's Cabinet and others to ensure that University Policies remain consistent with then-current law. All amendments to University Policies shall follow the implementation process described above.

### **F. Reservation of Rights**

Nothing in this University Policy shall operate to limit or circumscribe in any way the power and authority of the Board of Trustees to amend University Policies or the policies of schools, colleges or other Operating Units at any time in order to conform to applicable law.

## **III. Definitions**

**Administrative Council** – The members of the President's Cabinet, excluding the President.

**Operating Units** – The administrative units and academic support units that conduct the University's affairs under the direction of a member of the President's Cabinet.

**President's Cabinet** – The President's Cabinet consists of the following positions:

- President;
- Provost and Vice President for Academic Affairs;
- Vice President for Information Technology and Chief Information Officer;
- Vice President for Facilities and Campus Operations;
- Chief Financial Officer, Vice President for Finance and Treasurer;
- Chief of Staff and Director of Community and State Relations;
- Vice President for Enrollment Management and Student Affairs;
- Vice President for Human Resources;
- Vice President for Development;
- Vice President, General Counsel and Secretary;
- Executive Director of Diversity and Inclusion; and
- Vice President for Communications and Marketing.

**Responsible Officer** – The member or members of the President's Cabinet who are ultimately responsible for the implementation and enforcement of a University Policy.

**Responsible Office** – The Operating Unit charged with enforcing a University Policy.

## **Appendix A**<sup>3</sup>

**Policy Name; Policy Number [INSERT]**<sup>4</sup>

**Approval Authority:**

**Responsible Officer(s):**

**Responsible Office(s):**

**Effective Date:**

- I. Purpose of this Policy**
- II. Policy**<sup>5</sup>
- III. Policy Definitions (if necessary)**<sup>6</sup>

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<sup>3</sup> This template is available as a word document in the Office of General Counsel and the Office of Risk and Compliance. All policies must be created as word documents, using standard margins, Times New Roman typeface and size 12 font.

<sup>4</sup> The policy number will be determined prior to promulgation.

<sup>5</sup> This section may include subheadings to provide structure and clarity to the policy statement.

<sup>6</sup> Policy Definitions may be placed earlier in the Policy to facilitate the readability of the Policy.