

Augusta University

Policy Library

Expedited Policy Review

Policy Owner: Office of Compliance and Risk Management

POLICY STATEMENT

This policy addresses how policies are formally approved when a documented need for an expedited approval of a policy exists to insure that the enterprise, patients, students, staff or faculty are not placed in jeopardy. Individuals engaged in developing and maintaining enterprise policies must follow the requirements outlined in this document for drafting, approving, revising, and withdrawing enterprise policies.

REASON FOR POLICY

Under pressing circumstances when the lack of a needed policy presents significant concerns for the university, students, staff or faculty, an expedited review process may be used to put policies into practice. When the expedited review process is used for the approval of a policy, notice shall be sent to the President, Provost, Executive Vice President for Administration & Finance, Executive Vice President for Clinical Affairs, academic deans, and the Chair of the University Senate. Once a policy has been put into place using the expedited review process, proposed modifications and amendments to the policy shall be appropriately considered.

The University has established a standard policy document and review process to achieve consistency, appropriateness, and ease of understanding of, ease of access to, and compliance with university policies. The enterprise charges the Office of Compliance & Enterprise Risk Management with the responsibility of managing the standard document process and related systems, while promoting its utilization by providing assistance to the campus community.

AFFECTED STAKEHOLDERS

Indicate all entities and persons within the Enterprise that are affected by this policy:

- Alumni Faculty Graduate Students Health Professional Students
 Staff Undergraduate Students Vendors/Contractors Visitors
 Other: Include any other stakeholders not listed above.

DEFINITIONS

Executive Sponsor: The senior leader accountable for the substance of policy documents, namely the provisions and requirements of, and compliance with policies under his or her area of responsibility. The senior leader should be a Vice President, or any leader who reports to the President/CEO or an Executive Vice President.

Stakeholder: Those that will be affected by the provisions established in a policy.

Policy Owner: Accepts responsibility for following a policy through process and acts as point of contact for questions; and accepts responsibility for requests for actions regarding the policy.

PolicyTech: policy management software which streamlines the process of authoring, approving and distributing University policies and capturing attestation. PolicyTech uses rules-based

Office of Compliance and Enterprise Risk Management Use Only

Policy No.: 592

Policy Sponsor: Chief Integrity Officer

Originally Issued: Not Set

Last Revision: 03/29/2016

Last Review: 06/19/2017

workflows and alerts to streamline policy life-cycle process, alerting compliance managers about unread policies, and reminding policy owners when to update or retire policies. Any new policy or a revision to an existing policy must be submitted through PolicyTech. The link to the University PolicyTech website can be accessed at: <https://gru.policytech.com>.

On-line training has been developed and can be accessed via the University Workforce Learn Online website at train.gru.edu. All Document Owners and/or those required to review a policy must complete training in order to be given full access to PolicyTech.

Major revisions: Any change in policy which changes the scope and/or effect on stakeholders of the entity.

Policy Review Groups: Review will be determined based on the content of the policy under consideration. Policies may be reviewed by one of the following review groups, but not limited to:

- University Senate
- President's Cabinet
- Provost's Operations Management Team (POMT)
- All Faculty
- Dean's Council
- Other University Senate Committees

Policy Management Group (PMG): The PMG will be comprised of representatives from each of the following units: Academic Affairs, Business Operations, Human Resources, Legal Affairs, Compliance, Student Services, and University Senate. Each unit will develop its own method of selecting or designating its representative to the PMG, and each representative shall be approved by the unit leadership. The PMG, either by consensus or by majority vote, shall make the determination which Review Groups will be required for review of draft policies submitted by a Policy Owner and/or Unit Leadership. The Policy Owner or Unit Leadership may elect to solicit input from additional Review Groups at its discretion, but such additional review will not be required under this Policy.

PROCESS & PROCEDURES

Any individual or unit may identify the need for a new policy. Proposals for new policies and or major policy revisions must be presented to respective unit leadership. Upon approval of unit leadership, a proposal for a new policy must be presented to the Office of Compliance and Enterprise Risk Management (CERM).

If the need for a new policy is identified, and the lack of an appropriate policy presents significant concerns for the university, students, staff or faculty, a request to use the Expedited Policy Review process may be made by providing the CERM Office with a written explanation supporting an expedited review. A draft of the proposed policy should be entered into PolicyTech (not via email to CERM).

On-line training for PolicyTech is available for all Policy Owners, Executive Sponsors, and others deemed appropriate to review policies, at "Workforce Learn Online" at <http://www.train.gru.edu>, under "Assignments" tab. Each Executive Sponsor should require Policy Owners and those required to participate in the policy process to complete the training.

Submitters should note that expedited review procedures should be used judiciously and only when there is a clear risk posed by the use of the normal policy approval process as outlined in the Policy on Policies.

Approval of Expedited Review

Upon proposal of a policy for expedited consideration, the CERM Office in consultation with the appropriate Executive Vice President (EVP) will determine if an expedited review of the proposed policy is warranted. If the use of the expedited review process is approved, the policy shall follow the following steps:

1. **CERM Review.** Within five (5) business days the draft of the policy shall be reviewed by the CERM Office to determine if the policy is sufficient to undergo institutional review. If CERM review indicates the need for policy modification the office will return the proposed policy with an explanation of needed changes. The policy originator will have five (5) business days to modify the proposed policy and return it to CERM for re-evaluation. If CERM approves that the policy is appropriate for expedited review, CERM will also communicate that fact to the Policy Management Group.
2. **Expedited Policies that Affect Faculty.** Upon CERM approval, if proposed policies are determined to directly affect faculty, the policy will be sent to the University Senate Executive Committee for review. The policy shall be returned to the CERM within five (5) business days.
3. **Review by the Legal Office.** Policies that pass CERM review and University Senate Executive Committee review, when necessary, will be sent to the legal office for review depending on the source & scope of the policy. The legal office will complete its review of the policy in five (5) business days.
4. **Review by Appropriate EVP(s).** After the review process is complete, the policy will then be forwarded to the respective EVP(s) for approval. The EVP will have five (5) business days to work with CERM and the legal office to make adjustments to the proposed policy.
5. **Final Approval.** After the respective EVP(s) receives a final draft, it shall be finalized and submitted to the President/CEO for signature. Upon approval by the President/CEO the policy will be considered in effect as of the date of his/her signature.
6. **Other Expedited Review.** Consistent with Board of Regents Policy, in certain emergency circumstances, the President shall have the authority to approve a policy without following any standard review process. This method of approval shall only be used in the rarest circumstances when the need for a policy or revision to an existing policy, is so great that delay for review would, in the President's opinion, unduly harm the University.
7. **PMG Review** Any policy that has been approved via expedited review consistent with this policy, shall be placed as an agenda item on the next PMG meeting for that body's review. While the policy will already be approved, the PMG can make recommendations to the Policy Owner, if necessary.

- 8. Standard Communication Plan to Enterprise.** The CERM Office is responsible for ensuring that any new policy and/or major revision of an existing policy is communicated to the Enterprise, collaborating with the Office of Communications. The responsible office will deliver any additional communication or training, and will assist the responsible executive to establish any support systems necessary to achieve ongoing compliance.

Compliance

The responsible office assists compliance through the establishment of normal business practices, some of which will be outlined in the policy's procedures, which support implementation of the policy. Routine human resources procedures also may assist compliance. The Enterprise Audit Office employs policies as a measurement tool in regular assessments of enterprise operations. In addition, communications with and training of the enterprise community will facilitate compliance.

Revisions

Minor changes to existing policies are proposed to the Responsible Officer for that policy. The Responsible Officer will communicate those changes to CERM. If approved by the CERM/Chief Integrity Officer and Legal Departments, then the minor change may be made without further approval.

Major Changes to Existing Policies

Major changes to existing policies will follow the same procedure as that of a new proposal.

Review

Policies shall be normally reviewed at a minimum on a triennial basis beginning with a staggered term. The review will include a determination of the ongoing relevance of the policy and if any modifications to the policy are required.

REFERENCES & SUPPORTING DOCUMENTS

[Policy Routing Workflow](#)

RELATED POLICIES

[Policy on Policies](#)

APPROVED BY:

President, Augusta University and CEO, AU Health System Date: 06/19/2017