

Augusta University Policy Library

Policy on Policies

Policy Manager: Legal Affairs

POLICY STATEMENT

This policy addresses how policies are formally approved, issued, and maintained in a consistent format in an official central policy library. Individuals engaged in developing and maintaining University policies must follow the requirements outlined in this document for drafting, approving, revising, and withdrawing University policies. University policies must be thoroughly reviewed, maintained, and made available to the University community to promote awareness, practicality, compliance, and accountability.

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:

DEFINITIONS

- Executive Sponsor:** The senior leader accountable for the substance of the policy document, including the provisions and requirements thereof. The senior leader should be a Vice President, or any leader who reports to the President, the Provost, or an Executive Vice President. The Policy Manager shall designate the Executive Sponsor in the initial draft of a policy. The Executive Sponsor must give written approval of the initial draft policy before the Policy Manager may contact the Office of Legal Affairs (OLA) to begin the policy review and approval process. At the initial review of the draft policy by OLA a change in Executive Sponsor may be recommended by OLA. A recommended change in Executive Sponsor will only be implemented if approved by both the original Executive Sponsor and the new Executive Sponsor. The Provost or the President may unilaterally order a change in Executive Sponsor at any time as they deem appropriate. If there is a change in Executive Sponsor then the new Executive Sponsor will appoint a new Policy Manager who will assume responsibility to support the draft policy through the remainder of the process.
- Identified Stakeholders:** Those persons or units that the Policy Advisory Group determines may be impacted in a material way by the implementation of the provisions established in a draft policy and whom should be consulted for input and comment.
- Policy Manager:** The employee in the University unit, department, or division with responsibility for the developing the initial draft policy, for review and approval of the draft policy by the Executive Sponsor, and for completing all tasks necessary for the policy review and approval process. The Policy Manager acts as a point of contact for questions regarding the draft policy, and as primary liaison with the OLA and the Policy Advisory Group during the policy review and approval process. The Policy Manager accepts responsibility for requests for actions regarding the policy, and for obtaining the input and recommendations from the Identified Stakeholders.
- Major Revisions:** Any material changes in policy that, if implemented, would impact the scope and/or effect of the policy on stakeholders.

- **Policy Advisory Group (PAG):** The PAG will be comprised of representatives from each of the following units whenever possible: Academic Affairs, Finance, Operations, Human Resources, OLA, Audit/Compliance, Enrollment and Student Affairs, the University Senate, and not more than two ex officio positions to be filled with persons of special expertise selected by the Provost or OLA. The Chair of the PAG shall be the OLA, unless otherwise designated by the Provost or the President. Each unit will develop its own method of designating its representative to the PAG, who shall be approved by the unit leadership. The PAG shall advise OLA and the Policy Manager as to which departments, divisions, or units of the University community should be consulted as Identified Stakeholders to provide comments on draft policies. The Policy Manager or Unit Leadership may elect to solicit input from additional groups at its discretion, but such additional review will not be required under this Policy.

PROCESS & PROCEDURES

1. Initial Development of a Policy

Any unit may identify the need for a new policy. Proposals for new policies and major policy revisions must be approved by the appropriate senior leader of the respective unit for review before proceeding further, and the senior leader must agree to serve as the Executive Sponsor. Upon written approval of the Executive Sponsor, the Policy Manager will submit a draft policy using the standardized policy format attached hereto, along with a list of proposed Identified Stakeholders. OLA will confirm that the proposed policy has been properly approved and submitted, will offer an initial review and edits prior to submission to the PAG, will approve the proposed Executive Sponsor or recommend an alternative, and will convene the PAG to review the draft policy.

2. Use of Policy Review Groups

University Approval of Policies:

Following approval by the Executive Sponsor, and after review by OLA, the draft policy will be brought by OLA to the PAG. PAG will review the policy and recommend the Identified Stakeholders for the Policy Manager to consult on the draft policy. PAG may also offer suggested edits on the draft policy to the Policy Manager as appropriate for consideration. The Policy Manager will use reasonable efforts to meet with the Identified Stakeholders, gather comments and input, review the draft policy as appropriate, and resubmit the draft policy to OLA within thirty (30) days. OLA will review the draft policy and the proposed changes to confirm the Policy Manager has consulted the Identified Stakeholders, and will bring the draft policy back to the PAG promptly for further discussion. When the draft policy is returned to PAG they will confirm the process has been followed and may offer minor edits to improve the language or comprehension of the draft policy.

During the review period(s) the policy may be reviewed by OLA for additional suggestions, appropriate revisions to conform to law or regulations, and for consistency with other Augusta University and Board of Regents Policies.

Once the review process is complete, and the PAG has confirmed that the outlined process has been properly followed and completed, OLA will return the draft policy to the Executive Sponsor and Policy Manager for confirmation prior to being submitted to the University Senate, or to the Provost and President.

Faculty Review of Policies:

Many policies benefit from faculty feedback. Certain policies will require University

Senate review. Generally, these fall within the categories related to curriculum, student affairs, and faculty affairs.

The review period for policies by the University Faculty Senate is generally expected to be within the two (2) University Senate meetings immediately following the initial review of the draft policy by the PAG. The University Senate shall determine the appropriate procedure for faculty review and comment on draft policies, and shall endeavor to complete that effort whenever possible within the time period encompassing the two (2) University Senate meetings immediately following referral from the PAG. If there are substantive changes or comments offered by the University Senate the policy is returned to OLA for review and changes as necessary. If changes are requested and made the draft policy is reviewed again by the University Senate at the next scheduled meeting for final comments.

After the faculty review period, the policy will again be reviewed by OLA and PAG, and forwarded to the Executive Sponsor and Policy Manager for confirmation prior to being delivered to the Provost and the President for signature.

3. **Approval from Executive Sponsor to Provost and President**

The Executive Sponsor and Policy Manager will receive a final document in the official format for final review and confirmation. Any final comments by the Executive Sponsor will be forwarded to OLA for consideration. After final review, OLA will confirm approval of the final policy and will present the final policy first to the Provost for approval and signature, and then to the President for final approval and signature. The policy will be considered in effect as of the first day of the calendar month following the signature of the President, or an Effective Date as set forth in the policy if so designated. In no event can a policy be in effect prior to the date of the President's signature.

4. **Standard Communication Plan to University**

OLA is responsible for ensuring that any new policy and/or major revision of an existing policy is communicated generally to the University, collaborating with the Division of Communications and Marketing. The Policy Manager will be responsible for any additional communication or training, and will assist the Executive Sponsor, OLA, and the Office of Compliance in establishing support systems necessary to achieve ongoing compliance with a policy. In most cases, newly approved policies or those which have undergone major revisions shall be communicated via JAGWIRE and on the Policy Library website. If a Policy Manager or Executive Sponsor wishes to have an alternate means of communication they may do so by their own effort.

5. **Compliance**

The Policy Manager will assist in compliance through the establishment of normal business practices which support implementation of the policy. Routine human resources procedures also may assist in compliance. The Office of Audit, Compliance, Ethics, and Risk Management employs policies as a measurement tool in regular assessments of University operations. In addition, communications with, and training of, the University community will facilitate compliance.

6. **Revisions**

Minor changes to existing policies are proposed to the Policy Manager for the revised policy. The Policy Manager will communicate those changes to the OLA for

consideration and implementation. Minor changes are considered those changes that are limited to punctuation, correct nomenclature or reference, title, dates, or those changes that do not materially change the requirements of the policy. The determination of whether a change is minor must receive written approval from the Provost and the President after review by OLA. If approved, minor changes may be made to existing policies without further review or approval.

7. Major Changes to Existing Policies

Major changes to existing policies will follow the same procedure as that of a newly proposed policy.

8. Review

All policies should be reviewed every three (3) years after original adoption whenever reasonably possible. Policies may be grouped together and reviewed on a triennial basis in staggered terms by OLA, with periodic updates to the PAG. The review will include a determination of the ongoing relevance of the policy and if any modifications to the policy are required. If major changes are required to any policy it will be submitted to OLA and the Policy Manager for edits and review in accordance with the process set forth above.

9. Decommissioning of a Policy

Policies recommended for decommissioning must undergo the same process as a new policy, and will be submitted to OLA and the Policy Manager for review in accordance with the process set forth above.

10. Expedited Review of a Policy

Policies that require expedited review may be submitted to OLA by the Policy Manager or the Executive Sponsor, or may be requested directly by the Provost or the President. An expedited review of a policy must be approved by the Provost or the President. Once expedited review is approved, OLA will manage the process directly and will seek immediate review by the PAG and University Senate wherever possible. Upon review by the PAG and/or University Senate, or without such review in extreme circumstances where such review is not possible in an expedient time period, the draft policy will be brought by OLA directly to the Provost and the President for their review and signature. Any policy approved under expedited review should be brought forward within one (1) year from adoption for normal review in accordance with the process set forth above. Expedited review will normally be reserved for use only in exigent circumstances, or where required to ensure the continued health and safety of students, patients, faculty, and staff, or where deemed necessary for the continued and uninterrupted safe operations of the University.

REFERENCES & SUPPORTING DOCUMENTS

- Policy Routing Workflow (attached)
- Policy Template (attached)

RELATED POLICIES

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APPROVED BY:

Executive Vice President for Academic Affairs and Provost, Augusta University
Date: 12/17/2018

President, Augusta University and CEO, AU Health System Date: 12/19/2018

Augusta University Policy Library

Document Title

Policy Manager: PM Department

POLICY STATEMENT

Generally, two to four sentences, the "Policy Statement" states the policy's intent, why the policy must exist, who must follow the policy, when the policy applies, and any mandated actions or constraints. It doesn't describe procedures.

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

Optional (only if needed). Define any unfamiliar, technical, or terms that have specialized meaning in this document. (Try to keep definitions the same as in other policies.) Please list terms alphabetically.

PROCESS & PROCEDURES

Describe procedures for compliance that outline how the policy's requirements will be met or provide web address where the procedures are located. Use subheadings to categorize procedures & indicate responsible party for each procedure.

REFERENCES & SUPPORTING DOCUMENTS

Identify the documents which must be used to comply with the policy; explain the purpose of each document; attach or provide a hypertext link to each document. Attach or provide hypertext link to any relevant references.

RELATED POLICIES

List all of the policies that may relate to this policy. Provide hyperlinks to each policy.

APPROVED BY: _____
Gretchen B. Caughman, PhD Date
Executive Vice President for Academic Affairs and Provost, Augusta University

APPROVED BY: _____
Brooks A. Keel, PhD Date
President, Augusta University and CEO, AU Health System