1. BACKGROUND

Among a set of strategic initiatives approved by the Officers and Deans of the University in 2007 was the University Policy Project, established under the guidance of the Leadership Committee for Operational Excellence chaired by the Executive Vice President. The University Policy Project’s goal was to create a clear, coherent, and well communicated process for creating new policy as a way to improve the University’s agility and effectiveness.

The University’s Leadership Committee for Operational Excellence established a Policy Subcommittee in 2007, charging it with the following:

A. Inventory all institutional policies.
B. Assess existing policies for coverage, including consistency or conflict with other policies, evaluate current practice of compliance with the policies, and distinguish between policies and procedures.
C. Create a policy repository to serve as an authoritative source for policies.
D. Assist in communicating policies to the University community and facilitate compliance.
E. Develop a process and governance framework through which institutional policies are formulated, vetted, approved, reviewed and maintained, communicated and enforced.

The University Policy Subcommittee, working with an outside policy consultant, finished tasks A, C and a proposal for E in Spring 2008. A Policy Specialist was then hired by the University to finish the work of the Policy Subcommittee beginning with the institution of an official policy development and approval process. This official policy development and approval process was reviewed by various members of the University Officers Group and approved by the President of the University in June 2009 (See Appendix for process). The official policy process calls for a University Policy Committee to be constituted for the review, approval, and recommendation to the President for final adoption of all University policy.

2. CHARTER

The purpose of the University Policy Committee (UPC), and its liaison the University Policy Specialist, is to guide good practices in University policy governance and ensure collaboration and consistency in University policy development.

The UPC will be the collaborative body with the authority to:
A. Review, approve, and recommend new and significant changes to existing University policy to the President for final adoption.
B. Propose changes to the University policy development and approval process to the President.

The UPC is the final locus of dialogue in collaborative policy formulation after the opportunity for comment by the members of the University Officers Group, and where appropriate the Deans of the University.

The UPC will meet at least once a semester, unless there is insufficient business before the UPC to warrant meeting in a given semester.

### 3. REFERENCE DOCUMENTS

<table>
<thead>
<tr>
<th>Policy or Document</th>
<th>Web Address</th>
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<tbody>
<tr>
<td>University Policy Repository</td>
<td><a href="http://policy.nd.edu/repository.shtml">http://policy.nd.edu/repository.shtml</a></td>
</tr>
<tr>
<td>University v. Internal Policy Definitions</td>
<td><a href="http://policy.nd.edu/definitions.shtml">http://policy.nd.edu/definitions.shtml</a></td>
</tr>
<tr>
<td>Academic Council</td>
<td><a href="http://committees.nd.edu/committees-a-z/academic-council">http://committees.nd.edu/committees-a-z/academic-council</a></td>
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### 4. CONTACTS

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<thead>
<tr>
<th>Subject</th>
<th>Office or Position</th>
<th>Telephone Number</th>
<th>Office E-mail or URL</th>
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</thead>
<tbody>
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Policy Development and Approval Process – Work Flow

Initial Policy Drafting Process

Several situations may create the need for a new or revised policy. Once a need is identified, the operational group consults the Policy Specialist for guidance and help to develop a policy for submission to the next appropriate level of review. Together the operational group and the Policy Specialist determine whether a policy is for internal purposes only (Internal Policy), will affect other campus units (University Policy), or is not needed at all. Completion of the Policy Scope Statement before drafting a policy is encouraged to help best determine policy scope and impact.

University Impact:
- Identify potential impact on constituent groups
- Gather feedback from the originating operational group
- Gather feedback from constituents

Internal Only:
- Gather feedback from the originating operational group

The operational group then drafts a policy that incorporates appropriate feedback. Use of the Standard Policy Template is strongly encouraged.

Submission of Draft to Sponsoring Member/Policy Specialist

The operational group submits the draft policy to the sponsoring member of the Officers Group responsible for the area charged with developing the policy. The sponsoring member either approves or asks for additional clarification or modification.

Once the sponsoring member approves, the operational group either files the policy (if it is internal) or the Policy Specialist forwards it to the General Counsel for legal review. The General Counsel either approves the policy or proposes modifications. Once the General Counsel has approved the policy, it is returned to the Policy Specialist for continued processing.

Additionally, if a University committee or task force develops a policy, that group can forward the policy to the Policy Specialist for further action.
**Policy Specialist Processing**

The Policy Specialist will assist the operational group or University committee to ensure that the proposed policy is vetted with other affected University departments/leadership.

If the policy needs additional review, the Policy Specialist will seek final constituent review.

The Policy Specialist works with the University Officers Group for their review and the University Policy Committee for their approval of the proposed University policy. For academic policies, the University Academic Council processes and approves those policies according to their own governing procedures.

**Policy Adopted, Implemented & Retained in Repository**

If the University Policy Committee does not approve the policy, it is returned to the sponsoring member of the Officers Group for revision, along with relevant comments.

If the University Policy Committee does approve the policy, it recommends final adoption of the policy to the University President. Once the President has adopted the policy, the Policy Specialist places it in the Policy Repository.

The operational group implements the policy and communicates the policy to constituent groups. The Policy Specialist works with the operational group to promulgate the policy.