

Internal Process for Developing University Administrative Policy

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I. INTRODUCTION AND APPLICATION

- a. This document applies to the internal process for developing University Administrative Policy.
- b. The document outlines the general procedures for policy development, steps for advancing policy, process for drafting policy, and the process for presentation, review and approval of administrative policies.
- c. The administrative policies that result from this process may apply to faculty, staff and students.
- d. This policy review and approval process does not apply to academic policies, which are reviewed and approved through the UB Office of the Provost. For academic policy proposals relating to areas of faculty affairs, academic affairs and research, see the University's corresponding process for academic policy approval, "[Process for Academic Policy Development, Revision or Discontinuance](#)."
- e. There are circumstances for which the process for developing University administrative policy is modified. Please see the following sections: [Policy Revisions](#) and [Expedited Approval for Proposed Policies](#).
- f. It is recognized that the University's colleges, divisions or offices may have the discretion to create certain procedures and guidelines that are not considered administrative policies, and therefore, are not required to follow this policy process. For clarification as to whether a proposed policy creation is subject to this process, please contact the administrative policy coordinator, Suzanne Tabor.

II. DEFINITION OF TERMS

- a. **academic policy:** a guiding principle that directly affects the pedagogical and research mission of the University (includes UB Policy Guide Sections VI, VII, and VIII and University System of Maryland (USM) Policy sections II, III, IV, VI, VIII).
- b. **administrative policy:** a guiding principle presented in a prescribed format that mandates certain action or behaviors and governs the operations of the University and directly affects the working environment or student life at the University (includes UB Policy Guide Section I, II, III, IV and V and USM Policy section I, II, V, VI, VII, VIII, IX, X)
- c. **administrative policy coordinator:** serves as a resource to the University to: (i) ensure that the campus policy formulation process is consistent, (ii) determine whether policy revisions are technical or substantive, and (iii) ensure the online availability and accessibility of a University policy. This person works with administrative offices in a compliance, coordination and guidance capacity to help define, assess, track and catalog effective University policies. The administrative policy coordinator works with legal counsel to facilitate legal review. If there is no assigned responsible administrator for a policy, the policy coordinator will designate an initial responsible administrator in consultation with the appropriate division. The UB policy coordinator is the Director of

Public Policy. For more information contact Suzanne Tabor at stabor@ubalt.edu or 410-837-4533.

- d. **drafting group:** an ad hoc committee formed, when necessary, to write clear and understandable policies and procedures on a given subject, using the [Template for Proposed Policy Drafting](#).
- e. **executive team:** consists of senior administrators who meet regularly with the University president and who serve as a level of review and approval for proposed University policies and a resource in the formulation, distribution and implementation of University policies and operating procedures.
- f. **policy statement:** a document describing the need and justification for and the impact of any newly proposed University policies. The policy statement includes the issue that the proposed policy seeks to resolve and whether the policy is mandated by an external authority, including a citation of the governing University System of Maryland policy (if applicable). The initial policy statement should specifically (a) identify the departments/area that will be impacted, including support services (Central Admin, OTS, Facilities, etc.) (b) whether or not additional resources are likely and (c) what those resources may be, in general. This information will be provided to the policy coordinator.
- g. **procedure:** a guideline or series of steps taken to help implement a policy.
Procedures should:
 - i. identify and link to the applicable University policy,
 - ii. be written in a format that is easy to follow, using numbers or bullets to delineate steps to be followed,
 - iii. be reviewed and updated as necessary to ensure agreement with the most recent policy revision.
- h. **responsible administrator:** a vice president or senior administrator charged with the responsibility for developing and moving a proposed administrative policy through this process. Responsible administrators create, update and monitor for compliance University policies in their area of administrative authority. The responsible administrator may appoint a designee to advance the proposed policy. The responsible administrator must sign off on the submission of the proposed policy. Sometimes, the subject of a policy proposal can span more than one administrative area or responsibility. Nonetheless, only one vice president or senior administrator shall serve as the responsible administrator for any one policy proposal, and he or she takes the lead on advancing a policy proposal. For more information on the role of the responsible administrator, see this document section [Steps for Advancing University Administrative Policy - Overview](#).
- i. **responsible office:** the University office that develops and administers policies and procedures, monitors compliance, facilitates remedies for noncompliance, and assures the accuracy of both the policy and procedure-- its issuance and timely updating, with the direction of the responsible administrator.
- j. **technical edit:** an edit that does not substantially change the meaning or impact of the policy

III. STEPS FOR ADVANCING UNIVERSITY ADMINISTRATIVE POLICY - OVERVIEW

A new University administrative policy may arise from many sources, but every University policy must fall within the jurisdiction of a responsible administrator. A responsible administrator who seeks to propose a new University administrative policy must do the following:

1. identify the need for a University administrative policy or respond to requests for policy development or policy amendments in the administrator's area
2. designate a responsible office and contact person to administer a proposed University policy
3. provide the policy coordinator with the policy statement and the office's designated contact
4. provide notice to the Executive Team of a proposed policy and include the policy statement
5. provide notice to other impacted division heads
6. identify a drafting group to provide an initial draft of a proposed University policy, when necessary
7. draft the proposed policy with input from campus advisers and impacted departments
8. confer with the policy coordinator on the policy's development, as needed, to ensure that appropriate departments have been notified
9. advise the Office of the President or its designee of policy development initiatives
10. present an initial draft of the proposed University policy to the appropriate on-campus governance groups for input
11. review and prepare a final draft of a proposed University policy before its referral for review by the executive team, with consideration of comments received from the University community
12. seek final approval of the proposed policy by the UB president or his/her designee.

IV. DRAFTING PROPOSED POLICY

In developing and drafting a proposed University administrative policy, the responsible department/office must follow these steps:

1. The responsible administrator must provide the policy coordinator with the proposed policy statement.
2. A drafting group may be established, if and when needed, to formulate the policy document using the Template for Proposed Policy Drafting. The drafting group's membership should include individuals from throughout the campus with insight, perspective or expertise on the content and application of the University policy. The drafting group ensures that each University policy, along with its procedures, is clearly written, easily understandable to all who must comply with it, practical and applicable.

3. The responsible administrator submits the proposed draft administrative University Policy to the policy coordinator to be assigned a policy number to ensure the following:
 - a. that the University policy is within the correct format
 - b. is consistent with applicable USM policies
 - c. to facilitate any necessary initial policy reviews and legal input.Note that the policy coordinator then returns the proposed policy to the responsible administrator for presentation, review and approval. See this document Section V.

The drafting process generally should take approximately three months. If more time is needed, contact the policy coordinator for an extension. If there is no movement on the proposed policy and no extension is sought, the proposed policy will no longer be considered and the process may need to be restarted.

V. PRESENTATION, REVIEW AND APPROVAL OF PROPOSED POLICY

To pursue approval of a proposed University administrative policy, the responsible administrator or the policy coordinator must follow these steps:

1. The responsible administrator circulates the proposed policy to the on-campus governance groups.
2. The responsible administrator requests the governance groups circulate the proposed policy to the University community.
3. The policy coordinator, in consultation the Office of University Relations, posts for general information, notice and feedback, as appropriate, via suitable password protected medium, such as UB portal, SAKAI, etc.
4. The policy coordinator provides notice of the proposed policy's posting for comment can be achieved through public means, such as email, Daily Digest, etc. The University community and governance groups are given one month to provide feedback to the policy coordinator, unless there are extenuating circumstances.
5. The policy coordinator provides all comments to the responsible administrator.
6. The responsible administrator then reviews and prepares the final draft of a proposed University administrative policy with consideration of comments received from the University community.
7. The responsible administrator provides the policy coordinator and executive team with a policy packet that includes the final draft of the policy and a summary of comments received from the community.
8. The policy coordinator submits the final draft to legal counsel for review and comments.
9. With all comments received, the responsible administrator finalizes the draft policy and presents the policy to the executive team for review.
10. Upon the president's, or his/her designee's, final approval of the policy, the policy coordinator shall add the policy to the UB Policy Guide webpage, which serves as the repository for all University policies.

11. The responsible administrator will discuss with the Executive Team the appropriate communication plan for the new or substantially revised policy.
12. The responsible administrator will submit the original, final signed copy of the policy and e-mail a PDF formatted version of the policy to the policy coordinator.
13. The policy coordinator will submit the final policy to the Office of University Relations for website posting.
14. The policy coordinator will store electronic and hard copies of the signed original policies.

The presentation, review and approval should take approximately three months. If there is no movement on the proposed policy and no extension is sought, the proposed policy will no longer be considered and the process may need to be restarted. If more time is needed, contact the policy coordinator for an extension.

VI. EXPEDITED APPROVAL FOR PROPOSED POLICIES

Circumstances may require expedited review and approval in the creation of certain policies. Exceptions will be made for the creation of emergency administrative policies, as set forth by the University president or his/her designee, as well as for policies that are required by law or by University System of Maryland Board of Regents' action. Such policies may be expedited through the policy review process; however, expedited policies still need to be well written and communicated to the University community, reviewed by the Executive Team and approved by the president.

VII. POLICY REVISIONS

When policy revisions are needed, the responsible administrator or policy coordinator must follow these steps:

- 1) The responsible administrator prepares a memo to the policy coordinator explaining why policy revisions are necessary. The responsible administrator will attach the revised policy with edits in track changes to the memo submitted.
- 2) The policy coordinator will determine whether the revision is technical or substantive.
 - a. Technical edits can be approved by the policy coordinator, and the policy coordinator will post the revised policy to the Policy Guide.
 - b. Major substantive changes may require reconsideration following sections III, IV and V above.
 - c. Certain substantive changes, such as revisions required by law or USM policy, can be approved by the President's Executive Team. The policy coordinator will transmit the responsible administrator's explanatory memo and attachments to the Executive Team.
- 3) The policy coordinator will consult with legal counsel about the proposed changes.

VIII. POLICY MAINTENANCE

- a. The responsible administrator will designate a responsible office within the division to be accountable for the accurate and timely updating of a policy. This designated office is generally the unit that develops, administers and monitors compliance of the subject University policy and its related procedures.
- b. The substantive maintenance of each University policy, including accuracy and compliance, is the duty of the assigned responsible office.
- c. The responsible administrator needs to establish and maintain within each division a process for periodic review of all policies within each office's area of responsibility. Policies are to be periodically reviewed and assessed at least once every three years.
- d. Beginning in 2016, the responsible administrator shall establish and maintain within each division a process for periodic review of all policies within each office's area of responsibility.
- e. Beginning in 2016, and every three years thereafter, each responsible office must submit to the policy coordinator a listing of all policies within the office's area of responsibility; this list must acknowledge that each policy has been reviewed, providing the status of each policy related to accuracy and compliance.
 - i. Each policy within an office's area of responsibility shall be updated to indicate the date of last review; this date shall be indicated on the last page of the policy.
 - ii. These policies ("review dated") are to be provided to the policy coordinator in PDF format for re-posting in the [UB Policy Guide](#).

For information on the Administrative Policy Process contact:

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