# UMBC POLICY ON POLICY FORMULATION AND MANAGEMENT UMBC Policy No. VI-10.00.01

## I. POLICY STATEMENT

The UMBC community should have access to well-articulated and understandable University Policies and related Operating Procedures. Those responsible for writing, updating, and distributing University Policies must comply with the conditions and procedures that are outlined in this document.

## II. PURPOSE FOR POLICY

UMBC's official University Policies require formal approval, promulgation in a consistent format, and central maintenance. They shall be kept current and made available electronically to the campus in a timely manner, to assure compliance with policy objectives and to establish the accountability of operating units and individuals affected by each policy. This document defines a University Policy, sets forth the standardized policy format, outlines the steps for formulating, approving, issuing, and amending policies and procedures, and describes the roles of the individuals, offices, and groups involved in policy development, approval, and implementation.

## III. APPLICABILITY AND IMPACT STATEMENT

Policy should identify all academic and administrative units of the UMBC community affected by the Policy and an impact statement that sets forth the potential impact of the policy and its requirements on the campus community (e.g., additional training requirements, staffing implications, etc.). If impact is extensive, a separately prepared statement may be attached. This policy should be read by:

1. Vice Presidents, Deans, Directors, and Department Heads
2. Department administrators and business office staff
3. Campus Senates, Steering Committee, and Standing Committees
4. Individuals considering issuing or revising a University Policy

## IV.    CONTACTS

Direct any general questions about this University Policy – UMBC Policy Formulation and Management first to your department's administrative office. If you have specific questions, call the following offices:

| Subject | Contact | Email |
|---|---|---|
| Policy Clarification | UMBC Policy Liaison | MASInquiry@umbc.edu |

## V.    UNIVERSITY POLICY:

A.    **Use**: A University Policy is defined by all of the following criteria:

1) It is officially sanctioned by the President and has broad application throughout the university.
2) It helps ensure compliance with applicable laws and regulations, promotes operational efficiencies, enhances the University's mission, or reduces institutional risks.
3) It mandates actions or constraints and contains specific procedures for compliance.
4) The subject matter requires University President and/or designee(s) review and approval for policy issuance and major changes.
5) All policies that meet the above criteria are governed by this policy and will be included in the electronic University Policy archives.

B.    **Documentation**: There are many other important college, departmental, or operating unit policies, procedures, processes, and guidelines ("Procedures") that do not meet all of the above criteria. Therefore, they are not considered to be *University Policies* and are not governed by this document. Nonetheless, they should be clearly written documents and well-communicated.

## VI.    DEFINITIONS

| Term | Definition |
|---|---|
| **College, Department or Operating Unit Policy** | Those policies and operating procedures that do not meet all of the criteria of a University Policy. |
| **Drafting Group** | An ad hoc committee formed, when necessary, to write clear and understandable policies and procedures on a given subject, using the standard format. |
| **Guidelines** | Instructions and forms that facilitate completing Operating Procedures. |
| **Operating Procedures** | The interrelated steps, sometimes simple, sometimes complex, by which university employees implement a particular policy. |
| **Policy** | A guiding or governing principle in a prescribed format that usually mandates or constrains action, changes infrequently and sets a course for the foreseeable future. |

| Term | Definition |
|---|---|
| **Policy Liaison** | The UMBC Policy Liaison is a staff member in the office of the Vice President for Administration and Finance who serves as a resource to the campus to (i) ensure that the campus policy formulation process is consistent with this policy and (ii) assures the availability and accessibility of a University policy. This person works with the operating units in helping to define and implement effective University Policy formulation and a cataloguing process. The Liaison works closely with the campus committee on University Policy, the Office of General Counsel and the Senior Leadership. |
| **Policy Statement** | A document describing the need and justification for, and the impact of any newly proposed University Policy. This would include the reason for the policy and an impact statement prepared by the Responsible Administrator for submission to the President or his designees. |
| **Senior Leadership** | This council consists of senior administrators who meet regularly with the President and who serve as a resource in the formulation, review, and distribution of all University Policies and Operating Procedures. Serves as resource for Policy Liaison, drafting groups, Responsible Administrator and Responsible Department or Office. |
| **Responsible Administrator** | The Vice President or senior administrator charged with the responsibility for creating, implementing, updating and enforcing University Policies as required in his/her area of administrative authority. This Administrator is responsible to (i) identify the need for a University policy, (ii) initiate response to campus requests for policy development or amendments, (iii) draft policy statement with input from campus advisors and/or Policy Liaison, (iv) advises the President's Office or its designee of policy development initiatives, (v) designates a Responsible Department or Office to administer a University policy, (vi) identify a drafting group to provide an initial draft of a University policy, and (vii) review and approve final draft of a University policy before its referral for review as designated by the President or his/her designee. |
| **Responsible Department or Office** | At the direction of the Responsible Administrator, the Responsible Department or Office develops and administers policies and procedures and assures the accuracy of its subject matter, its issuance, and timely updating. |

## VII.    APPROVAL AND PROCEDURES:

1.    Pre-approval is not applicable.

2.    Approval is required by the President or his/her designee.

3.    Procedures:

1.  The requirement for new University Policies may arise from many sources, but every University Policy must fall within the jurisdiction of a Responsible Administrator.

2.  The Responsible Administrator coordinates with the UMBC Policy Liaison to assure that the formulation process is consistent with this Policy.

3.  The Responsible Administrator may designate a Responsible Department or Office, which generally will be the unit that develops, and/or administers the University Policy and its procedures, and will be accountable for the accurate formulation, issuance, and timely updating of the document. In developing, drafting, or amending a University Policy, the Responsible Department/Office shall ensure the following:

    a.  Guidance must be obtained from the UMBC Policy Liaison and, if determined to be required by the UMBC Policy Liaison, the Office of General Counsel as to appropriate campus and/or external review processes, including input from standing committees, Senates, affected Colleges, departments or units, senior administrators and other groups.

    b.  A Drafting Group may be established, if and when needed, to formulate the policy document using the standard format. Its 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 assures that each University Policy, along with its procedures as applicable, is clearly written using the standard format, is easily understandable to all who must comply with it, and is practical and applicable.

    c.  When the Drafting Group completes its work, the draft University Policy is submitted by the Responsible Office or Administrator to the UMBC Policy Liaison to assure that any required on or off campus reviews or approvals (e.g., Office of General Counsel, USM, etc.) have been obtained and that the University Policy is within the correct format.

    d.  It will then be forwarded to Senior Leadership. The Senior Leadership advises the Responsible Administrator for each University Policy, may review all policies and procedures arising from drafting groups, may recommend University Policies and Procedures to the Responsible Administrator and may assist in the formulation and distribution of all University Policies. At the President's request, the Council may review the final draft of each University Policy to determine what operating procedures and/or budget may be required for its support, and make recommendations to the President.

e. Upon final approval by the President, the University Policy may be issued to the campus and included on the campus web site which will serve as the repository for all University Policies.

4. When required by law or Board of Regents action, or in exigent circumstances, Responsible Administrators may issue Interim University Policies with appropriate legal review and approval of the President. Interim University Policies may remain in effect for up to 12 months from the date of issuance unless otherwise authorized by the President. An Interim Policy must still follow the process set forth in this section VII and be made final within 12 months of issuance.

5. From time to time, a University Policy and or its procedures will need to be amended or updated. The Responsible Department or Office undertakes revisions and maintenance. Periodic reviews and assessment of the need for amendment should occur at least once every five years. When changes are necessary to a University Policy or are requested by the campus community, or it is determined that a given policy is no longer necessary, the Responsible Department or Office should contact the UMBC Policy Liaison to determine whether the changes require a recommendation from the Senior Leadership and/or approval of the President. For information regarding amending official UMBC policies, please see the Procedures on Revising an Existing UMBC Policy.

6. Upon completion of the approval documentation noted in VIII below, a policy shall be made available to the campus electronically via posting on the campus policy website.


VIII. DOCUMENTATION

A. Use of this standard format facilitates the adoption of clear, concise policies and procedures at all levels of university organization. The first page of each University Policy carries the official indicia of the university. **This University Policy is done in the standard format and shall be used as a model.**

B. Once approved, an approval document is signed and the approval date is noted on the bottom of the policy.

IX. RESTRICTIONS AND EXCLUSIONS: None

X. RELATED ADMINISTRATIVE POLICIES AND PROCEDURES: None

**Policy Number: VI-10.00.01 (formerlyVI-13.00.01.01, I-4.00.01)**
**Policy Section: General Administration**
**Responsible Administrator: UMBC Policy Liaison**
**Responsible Office: Vice President for Administration and Finance**
**Approved by President: March 14, 2007**
**Originally Issued: June 2001**
**Revision Date(s): October 22, 2002, September 25, 2006, and March 14, 2007**