DEVELOPMENT AND ISSUANCE OF UNIVERSITY POLICIES

Category: General
Responsible Office: Policy & Internal Control
Responsible Executive: Sr. Vice President & Chief Operations Officer

Date Established: 2/19/07
Date Last Revised: 11/10/10
Date Posted to Library: 3/20/07

Summary
University policies are to be appropriately approved and published in the web-based UB Policy Library. This policy outlines the format, review, approval, and distribution process for University policies.

Policy

POLICY STATEMENT
The University at Buffalo (UB, University) formally approves, issues, and maintains in a consistent format, official University policies in a central policy library. Individuals engaged in developing and maintaining University policies must follow the procedures established in this policy.

Official and approved university policies are not to be independently published or republished on departmental websites. Departmental websites should link to the UB Policy Library when references are required.

BACKGROUND
Policies that are easy to find and understand will help the university accomplish its mission, maintain accountability, and clarify how we do business. Faculty, staff, and students need access to clear and concise tools to assist them in their day-to-day operations. University at Buffalo policies should be:
- well articulated and understandable
- presented in a common format
- formally approved
- maintained centrally and accessible to all interested parties
- distributed to all relevant operating units in a timely manner
- reviewed regularly and kept current.

APPLICABILITY
This policy applies to all university-wide policies. This policy does not apply to departmental, office, or unit specific policies and such policies may not contradict, undermine, or relax the standards of university-wide policies.
DEFINITIONS

**Policy and Internal Control (PIC) Office** - the Office charged with defining and implementing an effective policy formulation, issuance, and cataloging process. The PIC Office coordinates the policy approval process by working closely with the responsible executive and the Policy Review Group (PRG). The Office also coordinates and maintains the publication of all documents in the UB Policy Library.

**Policy Review Group (PRG)** - a standing advisory/working group comprised of senior administrators who thoroughly review proposed policies and substantial revisions to existing policies. The Group provides advice and recommendations as well as a university-wide perspective. The PRG typically meets monthly and recommends approval of draft policies.

**Policy Proposal** - a document that describes the need, justification, and impact of a proposed University policy, and identifies the stakeholders to be consulted during policy development. Although this form is not required, departments may find it helpful to clarify the purpose of a proposed policy or to determine if a policy is warranted.

**Responsible Executive** - the provost, vice provost or vice president with jurisdiction over the activity that encompasses a policy, and through whom a proposed or revised policy must be developed.

**Responsible Office/Director** - the office that administers the policy. The office will develop a particular policy and be accountable for the accuracy of its subject matter and timely updating.

**Standard Policy Format** - a standard format is required to ensure consistency and facilitate the formulation of clear, concise policies.

**UB Policy Library** - a web-based system containing the most current version of all university policies.

**University Policy** - a university policy states the university’s official position on a particular issue and provides procedures for implementation.

A university policy is characterized by all of the following criteria:
- has broad application throughout the university
- helps ensure compliance with applicable laws and regulations, promotes operational efficiencies, supports the university’s mission and/or reduces institutional risks
- determines actions and constraints
- helps achieve compliance with applicable laws and regulations
- requires Presidential review and approval.

A policy that does not meet all of the above criteria is a departmental, office, or unit policy.
RESPONSIBILITY

Policy and Internal Control (PIC) Office
- Design and implement a process for developing, reviewing, issuing, and storing university policies.
- Manage the policy review and approval process.
- Work with the Responsible Executive and Responsible Office in an advisory capacity.
- Coordinate the activities of the PRG.
- Serve as the liaison with State University of New York (SUNY) and The Research Foundation of the State University of New York (RF) regarding the substance and appropriateness of university policies.
- Broadly announce the issuance of a university policy.
- Maintain the UB Policy Library.
- Retain superseded policies for six years.

Policy Review Group (PRG)
- Thoroughly review proposed policies and substantial revisions to existing policies resulting in understandable, implementable, auditable, and cost effective policies.
- Recommend approval of draft policies.

Responsible Executive
- Designate the responsible office to develop and administer individual policies.
- Determine how comments from stakeholders should be incorporated into a draft policy.
- Approve and forward the draft policy proposal to the PIC Office.
- Forward the approved draft policy to the President for approval.

Responsible Office/Director
- Develop the draft policy documents.
- Seek stakeholders’ input during the policy development process.
- Lead the establishment of any system or process necessary to achieve compliance.
- Administer, update, and train the university community on policies for which the office is responsible.

PROCEDURE

The following procedures have been established to formulate, approve, and disseminate new or revised policies:

1. Under the direction of the Responsible Executive, the Responsible Office drafts the new or revised university policy. The draft university policy should be:
   - clearly written using the standard policy format
   - easily understandable to all who must comply
   - reviewed by constituents, appropriate deans, senior administration, and stakeholders who can provide a broad perspective on the content and application of the policy.

The PIC Office will provide advice and guidance during the policy development process.
2. The responsible executive submits the draft policy to the PIC Office.

3. The PIC Office, in conjunction with the PRG, reviews the draft policy for consistency, clarity, stakeholder input, and potential impact. The PIC Office may decide that a review by additional departments or stakeholders is required.

4. Following final review, the PIC Office forwards the final policy to the Responsible Executive.

5. The Responsible Executive submits the final policy document to the President for approval.

6. The President reviews the policy and upon approval, signs and returns it to the Responsible Executive.

7. The Responsible Executive returns the original, signed policy to the PIC Office.

8. The PIC Office publishes the approved policy in the UB Policy Library and issues an announcement to the university community.

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**Contact Information**

Policy and Internal Control Office  Phone: (716) 645-2505  
420 Crofts Hall  Fax: (716) 645-3701  
North Campus

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**Related Information**

**Related Links:**
- UB Policy Library
- Standard Policy Proposal Template
- Standard Policy Template

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**Revision History**

November 2010 - Updates reflect the development process after the Institutional Policy and Compliance Advisory Group was dissolved.

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**Presidential Approval**

*Signed by President John B. Simpson*  
2/19/07

John B. Simpson, President  Date