



UNIVERSITY POLICY

SUBJECT: INTRODUCTION

TITLE: POLICY PROCESS REQUIREMENTS

CODING: 00-01-01-05:00

ADOPTED: 07/01/87

AMENDED: 05/10/07

LAST REVIEWED: 05/10/07

I. PURPOSE

To outline University policy requirements and the process for the development of new policies, revision of existing policies or deletion of obsolete policies.

II. ACCOUNTABILITY

Under the direction of the Executive Vice President for Academic and Clinical Affairs and the Senior Vice President for Administration, the Deans, President/CEOs of the Healthcare Units and Vice Presidents shall ensure compliance with and implement this policy. The Office of Policy and Project Management (OPPM) shall facilitate the implementation of this policy by providing consulting assistance to all University schools/units/departments.

III. DEFINITIONS

- A. University Policy - University policies are applicable throughout the University; are needed to enhance the missions and operational efficiency and to reduce institutional risks; promote compliance with federal, state and other applicable laws and regulations; and establish the delegation of authority and responsibility by the officers of the University.
- B. University Policy Website - The Office of Policy and Project Management (OPPM) maintains a website (www.umdj.edu/oppmweb) for University policies.
- C. School/Unit/Departmental Policy - schools, units and departments establish policies and procedures in addition to University policies and procedures provided that such policies do not contradict University policies. School, unit and departmental policies and procedures are also reviewed with regard to legal and regulatory compliance, and approved by the respective Dean, Vice President or the equivalent senior administrative officer.
- D. "Owner" - The President, Executive Vice President, Senior Vice President or Vice President authorized to sign the policy to initiate the University policy implementation and enforcement.
- E. Policy Portfolio - A collection of University policies that are within the purview of specific "Owner(s)".
- F. "Author" - The designate of the President, Executive Vice President, Senior Vice President, Dean, or Vice President who is given the primary responsibility by the Owner to oversee the University policy management process for the specific policy(ies) within his/her portfolio.
- G. BOT - Board of Trustees of UMDNJ.
- H. Substantive Policy Changes - those affecting:
 - 1. the University's legal, regulatory, financial and ethical obligations and responsibilities,

2. the way the business is conducted in support of mission-critical operations impacting on the roles of the UMDNJ organizations,
 3. the actions required by targeted audience to remain in compliance with the policy provisions.
- I. Non-Substantive Policy Changes - All changes that are not substantive. Changes that primarily pertain to technical or medical revisions, position titles, words, definitions, procedures, corrections of grammar, etc.

IV. POLICY

A. Requirements:

1. University policies should articulate and communicate the actions required to enhance the missions and operational efficiency and to reduce institutional risks; promote compliance with federal, state and other applicable laws and regulations; and establish the delegation of authority and responsibility by the officers of the University.
 - a. The procedure to be used in developing and implementing new or revised policies or recommending deletions of obsolete University policies is outlined in Section V.
 - b. University policies for each policy portfolio will be reviewed by the respective "Owner" on a periodic basis to determine the need for an appropriate policy action: "Revise", "Reclassify/Reassign", "Delete" or "Leave as is".
 - c. Recommendations for policy additions, revisions or deletions should be scrutinized for potential impact on UMDNJ operations by the "Author." The policy must also be endorsed by the Dean or Vice President of the impacted schools/units/departments, the designated "Owner", and, as appropriate (based on criteria outlined in Section V.), approved by the respective BOT Committee followed by the entire Board before implementation is authorized.
2. Approval Signature(s):
 - a. Policies pertaining to a specific functional area will be signed by the appropriate Vice President or Senior Vice President for the area.
 - b. Policies pertaining to more than one functional area will be jointly signed by the appropriate Vice President(s) or Senior Vice President(s) for the involved areas.
 - c. When a policy transcends the academic, clinical and administrative operations, usually the President, the Executive Vice President or the Senior Vice President(s) shall sign the policy.
 - d. For policies requiring BOT approval, BOT resolutions will serve as proxy for approval signatures.

B. Responsibilities:

1. The Office of Policy and Project Management is responsible for:
 - a. designing and administering the policy process;
 - b. establishing policy portfolios working in conjunction with policy Owners and providing the policy Owners with the portfolio status reports on a periodic basis;
 - c. assisting policy Owners and Authors to facilitate ongoing review, assessment and adjustment of policy content in keeping with changes in internal and external requirements;

- d. making recommendations regarding policy content and format;
 - e. coordinating publication and dissemination of the policies, highlighting significant changes as articulated by the cognizant Owner or Author;
 - f. maintaining a hard copy archive of the relevant policy-related information, and
 - g. maintaining and updating the University Policy Website on an as needed basis.
2. Policy “Owners”/“Authors” are responsible for:
- a. reviewing policies within specific portfolio on a periodic basis to assess the need for additions, revisions or deletions of policies and communicating the resulting action plan to OPPM via email;
 - b. utilizing the template (EXHIBIT A) for drafting policy proposals, (EXHIBIT B) for Policy Communications Report, and (EXHIBIT C) for BOT resolution. EXHIBIT D contains a flowchart outlining the steps to be followed for the review, revision and deletions of existing policies and the development of new policies.
 - c. providing the official interpretation of all policies within his/her portfolio.
3. The Senior Vice Presidents, Deans and Vice Presidents are responsible for:
- a. recommending the addition, revision or deletion of policies in accordance with the established guidelines;
 - b. ensuring implementation and compliance with policies;
 - c. apprising faculty, staff and students of policies and their implications so that departmental operations are conducted in concert with University policies; and
 - d. ensuring that the school/unit/departmental policies and procedures conform with University policies.

V. PROCEDURES

A. New Policies

<u>Performed By</u>	<u>Action Taken</u>
1. “Owner”	Initiates an action to develop a new policy to address a specific issue, concern or development. Assigns a policy “Author” to oversee the new policy development process.
2. “Author”	Drafts a policy document utilizing the established template (as outlined in EXHIBIT A) and requests a preliminary review of the policy draft by OPPM.
3. OPPM	Conducts a preliminary assessment of the draft document for consistency with an impact on other University policies and reviews the content for substance, relevance and format. Provides the "Author" with appropriate feedback.

<u>Performed By</u>	<u>Action Taken</u>
4. "Author"	Amends proposed policy draft and forwards the amended proposal to all relevant Deans, Executive Vice Presidents, Senior Vice Presidents, Vice Presidents and the Ethics and Compliance Oversight Committee (ECOC) for review and comments or endorsements.
5. Dean, Executive Vice President, Senior Vice President, Vice President or ECOC	Prepares comments or indicates endorsement in writing to the "Author", generally within two weeks of receipt of the policy proposal, regarding any issues or concerns applicable to areas under individual jurisdiction.
6. "Author"	<ol style="list-style-type: none"> a. Reviews all comments and makes any additional changes to the policy draft. Meets with the impacted areas, if necessary, to finalize changes. b. Forwards policy draft to "Owner" for preliminary approval, and once received forwards to OPPM.
7. OPPM	<ol style="list-style-type: none"> a. Reassesses the impact of the updated policy draft on University operations and reviews the content for style, clarity, format and conformity with other University policies. If necessary, provides a forum for mediating between differing University units impacted and assists in reaching a resolution. b. Provides a final draft of the proposed policy document to the "Owner" through the "Author" for review and decision to proceed to obtain BOT approval.
8. "Author"/"Owner"	<ol style="list-style-type: none"> a. Prepares a Policy Communications Report (PCR) using Exhibit B as a guide. b. Sends the policy draft along with the PCR to the Chair of the appropriate BOT standing committee for review at the next meeting. c. Once the policy draft is approved, drafts the BOT Resolution using the template (EXHIBIT C) and provides BOT Resolution along with PCR for inclusion as part of the consent agenda for the next BOT meeting.
9. "Owner"	<ol style="list-style-type: none"> a. Upon receiving approval of BOT resolution, sends copy of this to OPPM, who will send "Owner" an original copy for signature. b. Returns original signed policy document to OPPM along with Policy Communications Report (PCR).
10. OPPM	Upon receipt of the signed policy, prepares the policy for electronic distribution on the University Policy Website, limited hard copy distribution and notifies University personnel of new policies accompanied with the Policy Communications Report.

B. Policy Revisions:

<u>Performed By</u>	<u>Action Taken</u>
1. "Owner"	Initiates an action to revise an existing policy to address a specific issue, concern or development. Assigns a policy "Author" to oversee the policy change process.
2. "Author"	Downloads the current version of the policy document in WORD format from the website, incorporates the appropriate changes and requests a preliminary review of the policy draft by OPPM.
3. OPPM	Conducts a preliminary assessment of the draft document for consistency with an impact on other University policies and reviews the content for substance, relevance and format. Provides the "Author" with appropriate feedback.
4. "Author"	Amends proposed policy draft and forwards the amended proposal to all relevant Deans, Executive Vice Presidents, Senior Vice Presidents, Vice Presidents and the Ethics and Compliance Oversight Committee (ECOC) for review and comments or endorsements
5. Dean, Executive Vice President, Senior Vice President, Vice President or ECOC	Prepares comments or indicates endorsement in writing to the "Author", generally within two weeks of receipt of the policy proposal, regarding any issues or concerns applicable to areas under individual jurisdiction.
6. "Author"	<ol style="list-style-type: none">Reviews all comments and makes any additional changes to the policy draft. Meets with the impacted areas, if necessary, to finalize changes.Prepares a Policy Communications Report (PCR) using EXHIBIT B as a guide. Forwards policy draft and PCR to "Owner" for preliminary approval along with a recommendation to indicate whether the changes are "substantive" or "non-substantive."Forwards the policy draft to OPPM along with a decision indicating whether changes are substantive or non-substantive.
7. OPPM	<ol style="list-style-type: none">Reassesses the impact of the updated policy draft on University operations and reviews the content for style, clarity, format and conformity with other University policies.If changes are non-substantive, provides a final copy of the proposed policy document for review and signature by the appropriate "Owner" through the respective "Author".If changes are substantive, provides a final draft of the proposed policy document to the "Author" for the "Owner" to present to BOT for review and approval.

Performed By

8. "Author"/"Owner"

Action Taken

In case of Substantive Changes:

- a. Sends the policy draft along with the PCR to the Chair of the appropriate BOT standing committee for review at the next meeting.
- b. Once the policy draft is approved, drafts the BOT Resolution using the template (EXHIBIT C) and provides BOT Resolution along with PCR for inclusion as part of the consent agenda for the next BOT meeting.
- c. Upon receiving approval of BOT resolution, sends copy of this to OPPM, who will send "Owner" an original copy for signature.
- d. Returns original signed document to OPPM with Policy Communications Report (PCR).

In case of Non-Substantive Changes:

Returns original signed document to OPPM with PCR (EXHIBIT B).

9. OPPM

Upon receipt of the signed policy action, coordinates the preparation of the policy for electronic distribution on the University Policy Website, limited hard copy distribution and notifies University personnel of policy revisions accompanied with the Policy Communications Report.

C. Policy Deletion:

Performed By

1. "Owner"

Action Taken

Initiates an action to delete an existing policy. Assigns a policy "Author" to oversee policy process.

2. "Author"

Meets with the impacted areas, if necessary, to obtain endorsement of the proposed deletion. Informs OPPM in writing about the proposed deletion of the policy along with a statement of justification.

3. OPPM

- a. Assesses the impact of the policy deletion on University operations and other policies. If necessary provides a forum for mediating between differing University units impacted and assists in reaching a resolution.
- b. Removes the policy from the University Policy Website, distributes change documents for hard copy manuals and notifies University personnel of deletion via selected media.

D. Policy Review

Performed By

Action Taken

1. OPPM

Establishes policy portfolios working in conjunction with policy Owners and provides the policy Owners with the portfolio status reports on a periodic basis.

2. "Owner"

Reviews all policies included within his/her portfolio and provides an action plan indicating intended policy action: "Revise", "Reclassify/Reassign", "Delete" or "Leave as is" and date to OPPM.

3. OPPM

Updates appropriate policies to reflect the "Last Reviewed" date.

VI. EXHIBITS

A. Policy Template and Format Instructions

B. Policy Communication Report Examples

C. Template for BOT Resolution for New or Revised Policy

D. Policy Process Flowchart

By Direction of the President:

Senior Vice President for Administration

Policy Template and Format Instructions



UNIVERSITY POLICY

SUBJECT:

TITLE:

CODING:

ADOPTED:

AMENDED:

LAST REVIEWED: xx/xx/xx

I. PURPOSE

(Specifies the primary goals and objectives of the policy.)

II. ACCOUNTABILITY

(Identifies management accountability for policy compliance, implementation and administration.)

III. APPLICABILITY (optional)

(This section is used only when needed to define the specific individuals or groups to which this policy applies.)

IV. DEFINITION(S) (optional)

(This section is used when appropriate to define unfamiliar but important terms that are referenced in the policy.)

V. BACKGROUND (optional)

(This section is used sparingly to provide the context for the policy provisions.)

VI. REFERENCE(S) (optional)

(This section is used to reference other University policies and relevant documents.)

VII. POLICY

(Sets forth requirements to accomplish the purpose of the policy.)

A. Requirements: (This section is optional and outlines the philosophy, rules and regulations.)

B. Responsibilities: (This section is optional and outlines the roles of the units, departments or individuals who will implement the rules and regulations outlined in the Requirements section.)

C. Enforcement: (This section is optional and explains how this policy will be enforced.)

EXHIBIT A (continued)

VIII. PROCEDURE(S) (optional)

(This section is used to describe the actions to be taken by the various individuals in accomplishing a task, operation, or transaction, referenced in the Requirements section.)

IX. EXHIBIT(S) (optional)

(This section includes forms, illustrations, bibliographies and reference information.)

By Direction of the President:

(Title of Executive or Senior Vice President(s) or Vice President(s) whose area of responsibility the policy covers.)

Format Instructions

All policies must be submitted to OPPM as an e-mail attachment. For revisions, the document must be in MS Word, font 10 pt Times New Roman and additions must be in red and deletions marked by strikethrough.

- For Policy Revisions: Utilize the **MS Word version** of the current policy which can be downloaded from the policy website for making revisions or request a copy of the current policy from OPPM. **A link to the MS Word version of each policy is found on each policy contained on the policy website.**
- For New Policies: Utilize the Policy Template which can also be downloaded from the policy website. **A link to the Policy Template is located on the left menu of OPPM's home page.**
- **Note:** The subheadings below are provided as illustration. Subheadings are not utilized if there is only one occurrence (i.e. if there are two exhibits the subheadings would be A and B but if there is only one exhibit, **no** subheading A would be used.)

A. Requirements:

1.

a.

i.

ii.

b.

i.

ii.

iii.

2.

B. Responsibilities:

C. Enforcement:

EXHIBIT B

Policy Communications Report Examples

Inclement Weather Emergency: 00-01-10-17:10, Amended on 10/24/06 (Adopted if it is a NEW policy)

This policy outlines the notification, communications and operating requirements affecting all UMDNJ students, employees and joint program partners to ensure the safe and orderly continuation of education and research programs, patient care services and administration of the University during periods when the safe continuation of services is threatened by inclement weather conditions. It contains specific protocols for campus-specific decision-making process affecting program closures with implications for employee attendance and compensation.

Revised with Non-Substantive changes:

1. Title Changes - SVP for Academic Affairs to Executive VP for Academic & Clinical Affairs; and SVP for Administration and Finance to SVP for Administration.
2. Inclusion of the new Executive Director of Emergency Management and Occupational Health and Safety role in the Inclement Weather Emergency Procedures.
3. Updating of EXHIBIT B with current information - Campus specific phone numbers and procedures for Maintaining University Operations.
4. Updating of EXHIBIT D with current information - Designated Contacts for Joint Programs.
5. Inclusion of Office of Executive Director of Emergency Management and Occupational Health and Safety to Notification Flowchart.

Human Resources coordinated the review with all appropriate schools, units and CA departments to incorporate appropriate changes.

Criminal Background Checks for Accepted Applicants for Admission to UMDNJ Schools and Educational Programs and for Currently Enrolled Students, Amended on 11/10/06 (Adopted if it is a NEW policy)

This policy outlines the procedure for conducting criminal background checks on applicants accepted for admission to, and students enrolled in or visiting UMDNJ schools and educational programs that may include clinical experience in any facility that requires or may require such checks.

Revised with Non-Substantive changes:

1. Title change from Senior Vice President for Academic Affairs to Executive Vice President for Academic and Clinical Affairs;
2. Inclusion in the background check of a search of the U.S. Department of Health and Human Services Office of Inspector General List of Excluded Individuals/Entities (LEIE);
3. Additional language clarifying the list of reportable incidents required to be reported by the student to the school subsequent to the submission of the disclosure form;
4. Additional language indicating that failure to provide additional documentation as required may be a reason for denying or rescinding an offer of admission, or for disciplining or dismissing an enrolled student, or for refusing a visiting student.
5. Addition of EXHIBIT H "Sample letter from a school to an applicant accepted for admission withdrawing an offer of admission when applicant has not provided required documents about information of concern from a criminal background check."

These changes were recommended by Legal Management and approved by the Student Affairs Deans of all schools.

EXHIBIT C

Template for BOT Resolution for New or Revised Policy

RESOLUTION OF BOARD OF TRUSTEES OF
THE UNIVERSITY OF MEDICINE AND DENTISTRY OF NEW JERSEY

FOR NEW POLICY:

WHEREAS, the University of Medicine and Dentistry of New Jersey has identified the need to adopt a policy on (wording can be taken from Policy Communications Report) _____.

WHEREAS, in order to ensure that the day-to-day business of the University is carried out in a timely and efficient manner the University has developed the attached policy:

Name: _____

Code: _____

WHEREAS, this policy has been presented to and approved by the _____ Committee of the Board in its meeting dated _____, now therefore;

BE IT RESOLVED that the University of Medicine and Dentistry of New Jersey Board of Trustees upon recommendation of the _____ Committee adopts the (name of policy, code number).

Date: _____

=====

FOR REVISED POLICY:

WHEREAS, in order to ensure that the day-to-day business of the University is carried out in a timely and efficient manner the University has identified the need to modify the policy:

Name: _____

Code: _____

Whose purpose is (wording can be taken from Policy Communication Report)

WHEREAS, this policy has been presented to and approved by the _____ Committee of the Board in its meeting dated _____, now therefore;

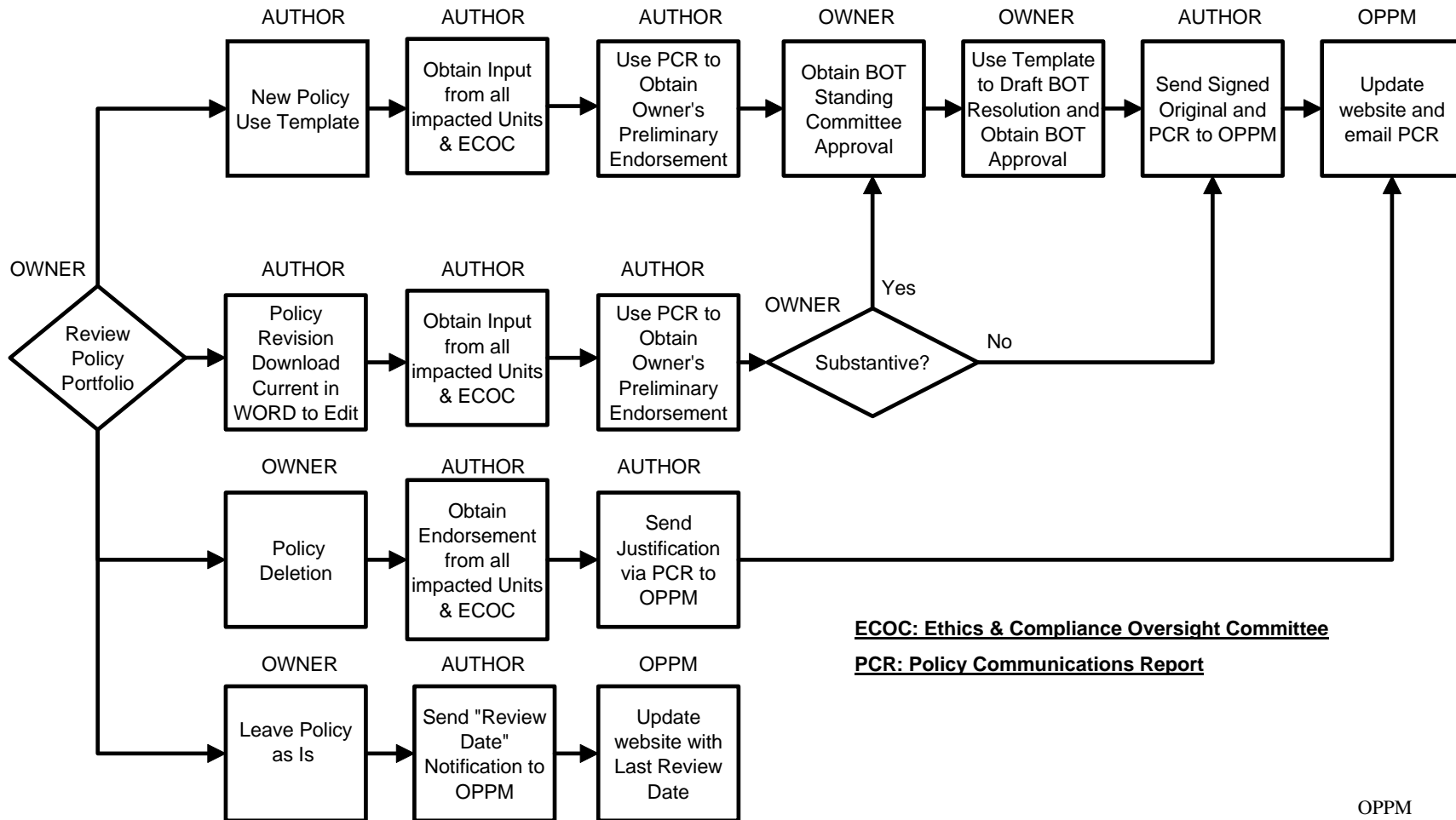
BE IT RESOLVED that the University of Medicine and Dentistry of New Jersey Board of Trustees upon recommendation of the _____ Committee adopts the (name of policy, code number).

Date: _____

Additional wording may be added to either resolution at Boards discretion.

EXHIBIT D
Policy Process Flowchart

Proposed University Policy Process Requirements: Additions, Revisions, Deletions and Review



ECOC: Ethics & Compliance Oversight Committee
PCR: Policy Communications Report

OPPM
02/07/07