



## UNIVERSITY POLICY

<b>SUBJECT:</b>	INTRODUCTION	<b>TITLE:</b>	OPERATIONAL MANAGEMENT POLICIES		
<b>CATEGORY: Check One</b>	<b>Board of Trustees</b> <input type="checkbox"/>	<b>Presidential</b> <input checked="" type="checkbox"/>	<b>Functional</b> <input type="checkbox"/>	<b>School/Unit</b> <input type="checkbox"/>	
<b>Responsible Executive:</b>	President		<b>Responsible Office:</b>	Policy and Project Management	
<b>CODING:</b>	00-01-01-05:00	<b>ADOPTED:</b>	07/01/87	<b>AMENDED:</b>	12/15/09
				<b>LAST REVIEWED:</b> 12/15/09	

**I. PURPOSE**

To outline the requirements and a process for the life cycle management of all University policies, with the exception of those adopted by the Board of Trustees, leading to decisions and actions to develop and adopt new policies, revise content, change ownership responsibility for existing policies or rescind policies which are no longer relevant.

**II. ACCOUNTABILITY**

Under the direction of the President, the Executive Vice Presidents, the Senior Vice Presidents, 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) is charged with maintaining the integrity of the policy life cycle management process by providing consulting assistance to all University officers and/or their designees.

**III. APPLICABILITY**

This policy shall apply to all members of the UMDNJ community which includes all officers, faculty, housestaff, volunteers, students (including postdoctoral fellows), attending physicians, UMDNJ staff members, and contractors or agents of UMDNJ when performing functions under the authority of or acting on behalf of UMDNJ.

**IV. DEFINITIONS**

See EXHIBIT.

**V. REFERENCE**

Board of Trustees Policies                      00-01-01-10:00

**VI. POLICY**

University of Medicine and Dentistry of New Jersey formally approves, issues, and maintains in a consistent format, official university policies. Individuals engaged in developing and maintaining these policies must follow the requirements outlined in this document for drafting, approving, revising, and rescinding policies. University policies are official directives which mandate requirements or constraints and establish boundaries for conduct of members of the UMDNJ community to:

- enhance missions and strategic goals;
- reduce institutional risks and enhance internal controls;

- establish delegation of authority and responsibility;
- promote compliance with federal, state and other applicable laws and regulations; and
- promote operational alignment, consistency and efficiency.

A. Requirements:

1. The University policies, with the exception of those adopted by the Board of Trustees, are categorized to align with the duties and powers of the President and other Officers as delegated by the Board of Trustees.

❖ **Presidential Policies** – The Office of the President establishes policies in compliance with Presidential Authority as delegated by the BOT to set forth courses of action, delegate authority and responsibility, provide administrative direction, and promulgate regulations or processes which are applicable broadly, ranging from the entire University to multiple functional areas, Schools and Units. Presidential policies are developed at the direction of the President by the Executive Vice President, Senior Vice President or Vice President and are approved by the President’s Cabinet on behalf of the President.

❖ **Functional Policies/Procedures** – The Vice Presidents of the Departments and/or Offices within Central Administration, e.g. Human Resources, IS&T, etc. vested with University-wide responsibilities for specific functional areas, establish procedures to promote implementation of Presidential policies as well as to fulfill the delegated responsibility and accountability for the specific functional area. The functional procedures provide guidelines to ensure consistent application across the University in compliance with the relevant legal, technological, contractual and regulatory requirements. These procedures are developed by the designated staff at the direction of and approved by the respective Vice President or Senior Vice President.

❖ **School/Unit-Specific Policies/Procedures** – The Deans of the Schools and President/CEOs of the Units establish procedures to promote implementation of the BOT and the Presidential policies as well as to fulfill the delegated responsibility and accountability for the specific School or Unit. The School/Unit-specific procedures should not contradict Presidential policies and the Functional procedures, and should ensure consistent application across the School/Unit in compliance with the relevant legal and regulatory requirements for the specific School/Unit. These procedures are developed by the designated faculty/staff at the direction of and approved by the respective Dean or President/CEO.

Category determination is made by the “Owner” or the designated “Author” in consultation with the Office of Policy and Project Management (OPPM).

2. Ownership – Presidential Policies

- a. Policies with locus of responsibility delegated primarily to a single functional/operational area are owned by the appropriate Vice President or Senior Vice President responsible for that area.
- b. Policies with locus of responsibility delegated to more than one functional/operational area are jointly owned by the appropriate Vice President(s) or Senior Vice President(s) responsible for the corresponding areas.
- c. When a policy transcends the academic, clinical and administrative operations, usually the President or the Executive Vice President owns this policy.
- d. The set of policies under the same ownership are collectively referred to as a “policy portfolio” for the specific “Owner(s)”.

3. Life Cycle Management – Presidential Policies

- a. All policies within the individual portfolio must be reviewed by the respective “Owner” or the designated “Author”, at a minimum, every two years to determine the need for an appropriate management action to: either “Develop (new)”, “Revise”, “Reassign” or “Rescind”.
- b. Policies under revision will remain in full effect as written until the new version is adopted pursuant to this policy. The University may suspend policies under certain circumstances. If the University is legally, financially, operationally or otherwise unable to comply with or enforce a policy in its current form, it may be suspended for a specific time period during which either a revised policy is adopted or the current policy is deleted. To suspend a policy the "Owner" or the designated "Author" must develop a plan in conjunction with appropriate affected departments, as well as the Office of Legal Management. This plan must include, at a minimum, a directive to suspend enforcement of the existing policy, the reason for the suspension, the estimated timeframe for suspension, the procedures to be followed in the interim, and the contact information for further guidance. This plan must be approved by the SVP and General Counsel before it is implemented. The suspension may only be granted for an initial 90 day period and then the possibility of a 30 day extension with another approval.
- c. Proposals for new policies qualifying for adoption must include:
  - i. Policy Impact Analysis.
  - ii. a draft document prepared using the Policy Template.
  - iii. documentation attesting to the completed review/acceptance by the members of the Policy Review Group (PRG) and President’s Cabinet (PC)
  - iv. if determined by the PC to be appropriate, documentation attesting the review/approval by the Board of Trustees (BOT) signifying the official adoption.
  - v. Policy Communications Report (PCR).
- d. Proposals for “Substantive” revisions qualifying for acceptance must include:
  - i. Policy Impact Analysis
  - ii. the current policy version showing strikeouts and additions, highlighting (in yellow) the changes being proposed.
  - iii. documentation attesting to the completed review/acceptance by the members of the PRG and President’s Cabinet (PC)
  - iv. if determined by the PC to be appropriate, documentation attesting the review/approval by the Board of Trustees (BOT) signifying the official adoption.
  - v. Policy Communications Report (PCR).
- e. Proposals for “Non-substantive” revisions qualifying for acceptance must include:
  - i. the current policy version showing strikeouts and additions, highlighting (in yellow) the changes being proposed.
  - ii. documentation attesting to the Non-substantive nature of the changes from the ““Owner” or the designated “Author””.

- iii. Policy Communications Report (PCR).
  - f. A policy that has outlived its usefulness or been superseded by another policy with no need for a replacement policy may be identified for rescission. Recommendations for rescissions must include:
    - i. documentation containing justification for rescission attesting to the review and agreements by impacted entities.
    - ii. Policy Communications Report (PCR).
  - g. Recommendations for changes in ownership of policies must be reviewed and negotiated by the original "Owner" with the new "Owner".
  - h. The procedures outlined in Section VI must be used to comply with the life cycle management requirements.
4. Functional and School/Unit-Specific Policies/Procedures
- a. The ownership and life cycle management responsibility for functional policies/procedures is delegated to the respective Vice President and for School/Unit-specific policies/procedures is delegated to the respective Dean or President/CEO.
  - b. The life cycle management process should be tailored to address functional, School/Unit specific requirements while following the general principles described in this policy.
  - c. Must be in the format as specified in the policy template: [http://www.umdj.edu/oppmweb/policy\\_resources/poltemp.doc](http://www.umdj.edu/oppmweb/policy_resources/poltemp.doc).

B. Responsibilities:

- 1. Policy "Owners" – Presidential Policies:
  - a. Designate responsibility for compliance, implementation and effectiveness of policies within his/her portfolio over the entire life cycle.
  - b. Review policies within the respective portfolio, at a minimum, every two years to determine the need for the appropriate management action working in conjunction with OPPM to ensure the directives are up-to-date and consistent with current environment, business practices and organizational roles.
  - c. Designate responsibility to develop and maintain policies within his/her portfolio in conformance with the life cycle management requirements as outlined in this policy.
  - d. Designate responsibility to provide interpretations of all policies within his/her portfolio.
- 2. Office of Legal Management:
  - a. Provide consultation and counseling support to the policy "Owner" or the designated "Author" in verifying that policies within his/her portfolio are in compliance with the prevailing legal/regulatory requirements.
  - b. Provide a legal opinion to the "Owner" or the designated "Author" on the viability of suspending a specific policy and thereby facilitating a review and approval by the SVP and General Counsel.

3. University Officers:
  - a. Exercise the responsibilities and authority as delegated by the President in regard to ensuring compliance with both the University policies and the associated life cycle management requirements as outlined in this policy.
  - b. Apprise faculty, staff and students of policies and their implications so that departmental operations are conducted in concert with University policies.
  - c. Ensure that the functional/school/unit/departmental policies/procedures conform with and not contradict University policies.
4. Members of the Policy Review Group (PRG):
  - a. Review policy-related proposals with others in their functional area and provide collective feedback indicating endorsements or comments to the “Owner” or the designated “Author” via email.
  - b. Must respond to requests for feedback for the initial draft within ten (10) and the subsequent draft within five (5) business days. Failure to provide feedback within these timeframes will be interpreted as an acceptance unless an extension has been negotiated in advance.
  - c. Work in conjunction with the “Owner” or the designated “Author” to resolve any concerns/issues about the proposals to facilitate timely closure.
5. President/President’s Cabinet (PC):
  - a. Review policy proposals to provide feedback to the “Owner” or the designated “Author” indicating endorsements or suggestions for change.
  - b. Recommend policy proposals to the Board of Trustees (BOT) for final approval pursuant to the provisions of the Board of Trustees Policies, 00-01-01-10:00.
  - c. Approve policy proposals consistent with Presidential Authority as delegated by the Board of Trustees.
6. UMDNJ Community:
  - a. Be aware of and abide by all applicable University and School/Unit and departmental policies, rules, procedures and standards.
  - b. Address questions regarding the applicability, interpretation of policies or suggestions for changes/enhancements to the “Owner” or the designated “Author” through the appropriate UMDNJ office and/or the supervisory chain of command.
7. The Office of Policy and Project Management (OPPM):
  - a. Maintain current versions of the BOT and Presidential policies online at: [http://www.umdj.edu/oppmweb/university\\_policies/index.htm](http://www.umdj.edu/oppmweb/university_policies/index.htm) and archives pertaining to older versions of policies offline.
  - b. Design, implement and administer the BOT and Presidential policy life cycle management process.
  - c. Establish portfolios working in conjunction with policy “Owners” and providing them with the portfolio status reports on a periodic and as needed basis.

- d. Consult with policy “Owners” and “Authors” in the review, assessment and adjustment of policy content in keeping with changes in internal and external requirements.
- e. Review policy content for style, clarity, format and conformity with other University policies. Provide recommendations regarding policy rationale and relevance.
- f. Make ongoing assessment of the effectiveness and efficiency of the policy life cycle management process in keeping with the prevailing best practice models.
- g. Coordinate publication and dissemination of the policies.

VI. PROCEDURES

A. **Policy Portfolio Review**

<u>Performed By</u>	<u>Action Taken</u>
1. OPPM	<ul style="list-style-type: none"> <li>a. Establishes and maintains policy portfolios working in conjunction with policy “Owners”.</li> <li>b. Provides the policy “Owners” with the portfolio status reports on a periodic and as needed basis.</li> </ul>
2. “Owner”	<ul style="list-style-type: none"> <li>a. Designates responsibility for compliance, implementation and monitoring effectiveness of policies within his/her portfolio over the entire life cycle.</li> <li>b. Reviews policies within the portfolio, at a minimum, every two years to determine the need for the management action to ensure consistency with current environment, business practices and organizational roles.</li> </ul>
3. OPPM	<ul style="list-style-type: none"> <li>a. Assists “Owner/Author” as needed.</li> <li>b. Updates portfolios to reflect outcome of the review.</li> </ul>

B. **New Policy Development**

<p>For step by step instructions, use:  <a href="http://www.umdj.edu/oppmweb/policy_resources/Steps%20for%20new%20policy%20process.doc">http://www.umdj.edu/oppmweb/policy_resources/Steps%20for%20new%20policy%20process.doc</a></p>
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C. **Policy Revision**

<p>For step by step instructions, use:  <a href="http://www.umdj.edu/oppmweb/policy_resources/Steps%20for%20policy%20revision%20process.doc">http://www.umdj.edu/oppmweb/policy_resources/Steps%20for%20policy%20revision%20process.doc</a></p>
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D. **Ownership Change**

<u>Performed By</u>	<u>Action Taken</u>
1. “Owner”	<ul style="list-style-type: none"> <li>a. Determines the need to change ownership of a policy.</li> <li>b. Assumes or delegates the responsibility to the “Author”.</li> </ul>
2. “Author”	Discusses and negotiates agreement with impacted “Owner (s)”.
3. New “Owner (s)”	Either agrees or disagrees to assume ownership.
4. “Author”	Provides OPPM with the outcome of the negotiation copying others impacted.
5. OPPM	<ul style="list-style-type: none"> <li>a. Makes appropriate revisions to policy portfolios.</li> <li>b. Notifies University personnel of the ownership change.</li> </ul>

E. **Policy Rescission**

<b>Performed By</b>	<b>Action Taken</b>
1. "Owner"	a. Determines the need to rescind a policy that has become obsolete. b. Assumes or delegates the responsibility to the "Author".
2. "Author"	Requests endorsements from the impacted areas.
3. Impacted Areas	Negotiates major disagreements with the "Author".
4. "Author"	Provides OPPM with: a. documentation containing "Owner's" justification for rescission attesting to the review and agreements by impacted entities. b. Policy Communications Report (PCR)
5. OPPM	a. Assesses the impact of the policy rescission on other policies and University operations. Provides appropriate feedback to the "Author". b. Removes the policy from the University Policy Website, and sends out appropriate communications.

VII. EXHIBIT

DEFINITIONS

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President

## EXHIBIT

### DEFINITIONS

- A. **“Author”/Responsible Office** - The designate of the “Owner” who has been delegated the responsibility for the life cycle management process for the specific policy(ies) within the “Owner’s” portfolio.
- B. **BOT** - Board of Trustees of UMDNJ.
- C. **BOT Resolution** – A statement used to communicate resolution of Board of Trustees to adopt either a new policy or changes to existing policies.
- D. **BOT Standing Committees** – committees created and assigned specific duties and powers by the Board consistent with the applicable statutes of the State of New Jersey that are deemed necessary or conducive to the efficient management of the University.
- E. **Life Cycle Management of Policies** – Managing the overall process encompassing the creation and adoption of new policies, review of existing policies to affirm appropriateness, revise them to address changes in requirements and rescind them when no longer relevant or effective.
- F. **Non-Substantive Policy Changes** - All changes that are relatively minor; pertaining primarily to technical or medical issues, position titles, definitions, procedures, corrections of language, etc. with no/minimal impact on the way the business is conducted in support of mission-critical operations.
- G. **“Owner”/Responsible Executive** - The Board of Trustees (BOT), President, Executive Vice President, Senior Vice President or Vice President, Dean or President/CEO authorized to initiate the policy implementation and enforcement.
- H. **Policy Communication Report (PCR)** – A document summarizing the highlights of the BOT or Presidential policy, e.g. purpose of the policy and principle provisions or changes depending on whether it is for a new or a revised policy.
- I. **Policy Impact Analysis (PIA)** – The analysis done by the “Owner” or the designated “Author” to demonstrate whether the risk or value is sufficient to warrant the dedication of resources needed for developing and implementing BOT or Presidential policy, and that the purpose and goal of the proposed policy can not be accomplished in a different way.
- J. **Policy Portfolio** - A collection of BOT and Presidential policies that are within the purview of specific “Owner(s)” as determined by the delegation of authority and responsibility assigned.
- K. **Policy Review Group (PRG)** – standing committee comprised of stakeholders in middle and senior management positions representing key functional areas designated by the President to review and rationalize proposed revisions to existing policies or proposals for new BOT or Presidential policies.
- L. **Policy Review Group Checklist** - A checklist for monitoring and tracking dates of communications to members regarding policy proposals.
- M. **Policy Template** – Document form used to draft new policies.
- N. **President’s Cabinet (PC)** – standing forum comprised of the President and his/her senior management team responsible for policy level decision making. Recommendations for significant changes in existing policies or adoption of new BOT or Presidential policies must be reviewed and signed off by the PC. Additionally, at PC’s direction, specific policy proposals are presented to the Board of Trustees for final review/approval.
- O. **Red lined** – Proposed changes to current policy highlighted in red to assist in focusing attention on the changes being proposed to the existing policy.

## EXHIBIT (continued)

### DEFINITIONS

- P. **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 and/or resource requirements,
  3. the actions required by targeted audience to remain in compliance with the policy provisions.
- Q. **University Officers** – Includes all positions holding but not limited to the following titles: President, Executive Vice President, Senior Vice President, President/CEO, Dean, and Vice President, etc. all of which are appointed by the Board of Trustees.
- R. **University Policy Website** - The Office of Policy and Project Management (OPPM) maintains a website <http://www.umdj.edu/oppmweb/index.htm> for BOT and Presidential policies.