

<b>Policy Title</b>	<b>Policy for Creating and Establishing UMass Dartmouth Policies and Procedures</b>
<b>Policy Number</b>	<b>GOV- 001</b>
<b>Effective As Of</b>	<b>June 8, 2007</b>
<b>Responsible Office</b>	<b>Vice Chancellor for Administration and Finance</b>
<b>Related Policies</b>	

## **I. POLICY STATEMENT**

*It is the policy of the University of Massachusetts Dartmouth that all members of its University community have clearly written and understandable policies and procedures. These will be maintained centrally and be accessible to all interested persons through the UMass Dartmouth website. Anyone responsible for creating, distributing, or revising campus policy must comply with the procedures outlined in this policy.*

There are two distinct kinds of University policies: Board of Trustees policies and campus-based policies. In general, Board of Trustees policies include those specific actions required by state law, executive orders issued by the Office of the Governor, policy issued by other state agencies, and all other items for which the Board chooses to establish policy.

The authority to determine which policies require Board of Trustees approval rests with the Office of the President. All other University policies are by definition campus policies and are approved by the Chancellor or his/her designee. Any College, Department, or Operational Memoranda cannot supersede or conflict with a campus policy.

## **II. PURPOSE**

The purpose of this policy is to establish:

- a formal mechanism to create, approve, rescind, and periodically revise campus policies and procedures, including a standardized format and reference numbering system;
- a corresponding communications system that electronically disseminates results to the entire University community as well as those needing the information; and
- a central policy archive that is accessible and easy to use, with enhanced search capabilities (e.g. searchable by keywords or organized by subject areas).

## **III. DEFINITIONS**

*Policy:* A policy is a governing set of principles that guide University practice. It helps to ensure compliance with applicable laws and regulations, promotes operational efficiencies, enhances the University's mission and values, and reduces institutional risks. It has broad application throughout the University community. It provides a basis for consistent decision making and resource allocation, or a method or course of action selected to guide and determine, present, and future decisions. It mandates actions or constraints and contains specific procedures to follow.

In developing a University policy, consideration should be given to the implications for implementation to ensure that the intent of the policy is achievable, cost effective, and that outcomes can be measured.

*Procedure:* A procedure is a set of mandatory steps established to implement a University policy and/or to manage a University activity. It describes a process that must be followed to achieve the desired outcomes.

*Guidelines:* Guidelines establish a protocol to manage a particular policy or procedure as it relates to a University activity.

*Campus unit:* Any administrative, academic, or governance entity operating in the University who by virtue of their charge, duties, and responsibilities may be in a position to provide input and advice to the Chancellor and Vice Chancellors about a particular proposal to establish a new policy or procedure, or change an existing one.

*UMass Dartmouth:* Includes the main campus as well as all of its off campus facilities, programs, and related operations.

*VCAF:* VCAF is an acronym for Vice Chancellor for Administration and Finance.

#### **IV. PROCEDURES**

**A. General Requirements:** All UMass Dartmouth policies and procedures will be developed and reviewed in accordance with the following requirements:

1. Campus policies and procedures shall be:
  - Broad in its application throughout the University community.
  - Consistent with applicable laws and regulations, case law, Board of Trustees policies, and relevant President's Office directives.
  - 
  - To become effective any campus policy or procedure must:
    - Be written using an UMass Dartmouth approved format.
    - Be approved and signed by the Chancellor.
    - Include the date in which it will take effect.
2. Campus policies and procedures will continue to remain in effect until amended or rescinded by the Chancellor.
3. Each campus policy and procedure will be reviewed and updated every five **(5)** fiscal years or earlier as needed.
4. Any new campus policy or procedure as well as any revision of an existing one may be required whenever there is a change(s) in:
  - the organization of the policy or procedure itself;
  - relevant laws, regulations, or case law;
  - Trustee Policy, or President's Office directives;
  - available resources, personnel, and facilities; or

- Any other special circumstances that may necessitate a restructuring or reformulation of an existing policy or procedure.
5. The VCAF will make available all policy documents currently in effect for reading and downloads on the UMass Dartmouth Website. These will follow a standardized format and reference numbering system and be searchable by keywords and/or subject areas.
  6. The original signed policy or procedure will be retained by the office of the VCAF.
  7. Historical documents of superseded or rescinded campus policies and procedures will be archived centrally by the VCAF.
  8. The only official copies of campus policies and procedures will be those with the Chancellor's signature.

## **B. Development, Approval, or Rescission**

### **1. Development**

Any individual (including Deans, Chairs, Center Directors, etc.), group, or campus unit at UMass Dartmouth can identify a campus-wide policy issue and accordingly request that a new policy or procedure be formulated or that changes be made to an existing one. In both cases, proposals for new or updated policies and procedures are to be submitted initially to the Vice Chancellor having primary responsibility for the policy area. If the primary responsibility rests directly with the Chancellor, the proposed policy or procedure will be submitted first to the Associate Chancellor for review and further action.

Upon receipt of the proposal, the Vice Chancellor having primary responsibility for the policy area will review it and decide whether to recommend it with or without amendments, return it for further study and analysis, or reject it altogether.

If recommended, the respective Vice Chancellor will submit the proposed policy or procedure for official consideration and approval to the VCAF. All proposals must be submitted in electronic format using the official template found on the UMass Dartmouth website. The proposal will include an executive summary, a report of the process so far followed in developing the proposal, and a list of any supporting documents included or to be made available upon request.

Once received, the VCAF will record the proposal and, in consultation with the proponent Vice Chancellor and other members of the Chancellor's Cabinet, distribute it to all or several of the campus units for additional input, comments, and advice. These reviews should be timely and expeditious. Under normal circumstances those units will have a period of thirty (30) calendar days to submit in writing their response. When necessary, additional time may be allowed. If no response is given by a unit, it will be assumed that the policy or procedure has been reviewed and considered acceptable as drafted. Any questions regarding the proposal should be directed to the VCAF who will record and forward them to the proponent Vice Chancellor.

Comments from the various campus units from whom the VCAF has solicited input will also be recorded and forwarded to the proponent Vice Chancellor for review and possible incorporation.

## **2. Approval**

Once reviewed, the proponent Vice Chancellor can then recommend to the VCAF that the revised proposal be forwarded to the Chancellor for consideration and subsequent approval. A copy of the proposal, along with all supporting documents, will also be forwarded to the Associate Chancellor for his/her perusal.

Any proposal not approved by the Chancellor will be returned to the VCAF, who will then notify the decision to the proponent Vice Chancellor and schedule a meeting to discuss any issues or changes that should be made. Once the proponent Vice Chancellor has made the recommended changes, the VCAF will resubmit the proposal to the Chancellor for final consideration, approval, and signature.

Upon receipt of an approved and signed policy or procedure from the Chancellor, the VCAF will:

- give a copy to the proponent Vice Chancellor,
- post the document on the UMass Dartmouth website, and
- Send an e-mail to all Vice Chancellors, Deans, Department Chairs, Directors and other campus unit representatives informing them of the policy or procedure and the date in which it will take effect.

## **3. Rescission**

The Chancellor, having been delegated the authority by the Board of Trustees to operate the campus, may rescind policies or procedures at any time. This authority is not intended to change any other delegation of authority by the Board of Trustees, the President, or any binding contract.

Proposals to rescind or modify a campus policy or procedure will be submitted to the VCAF in the same manner as the review process for a new or existing one.

However, the intent will be to determine their impact on any facility, office, program, service, or campus unit.

## **C. Emergency Procedure**

On occasions, the Chancellor, or his/her designee, may be faced with an emergency or with a situation in which the need for a change in policy or procedure is immediate or urgent. In those situations, the Chancellor may issue an executive directive to establish a new campus policy or procedure, or approve significant changes to an existing one.

Such directive may be issued under a cover letter from the Chancellor, through the VCAF. It will remain in effect for one year, until it is incorporated into the affected policy or procedure, or until otherwise rescinded by the Chancellor, whichever happens first.

An Executive Directive will be distributed in the same manner as in the regular procedure.

#### **D. Format**

All campus policies or procedures will have a heading which includes a Title, Number, and Effective Date, the office or person responsible for overseeing it as well as other related policies or procedures. All policies or procedures documents will include the following seven sections:

1. *Policy Statement:* This section will define the campus's position and expectations on a given issue or the Board of Trustees policy addressed by the document.
2. *Purpose:* This section will address what the policy or procedure intends to accomplish.
3. *Definitions:* This section lists specific terms and their standard meaning. These will be listed in alphabetical order.
4. *Procedures:* This section will delineate the sequence of mandatory steps necessary to implement a policy (Board of Trustees or campus based), or to manage a University activity.
5. *Responsibility:* This section will specifically denote the University office and official(s) responsible for implementing the provisions of the document.
6. *Attachments:* This section will list any supporting documents that are included with the policy or to be made available upon request.
7. *Approval and Effective Date:* This section will specify the date in which the policy or procedure will take effect, the Chancellor's signature, and the date in which it was approved and signed.

#### **V. RESPONSIBILITY**

- A. The Chancellor or designee is responsible for ensuring that all campus policies are current, compliant with all statutory requirements and case law, and consistent with other applicable standards, including Board of Trustees policies and President's Office directives.
- B. Each Vice Chancellor will be responsible for:
  1. Reviewing and updating the campus policies and procedures every five (5) fiscal years.
  2. Ensuring that his/her staff and colleagues are made aware of all applicable Board of Trustees policies as well as campus policies and procedures.

3. Monitoring compliance and assessing outcomes.

C. The VCAF is responsible for:

1. Processing all proposals in accordance with the procedure stipulated in section IV of this document.
2. Updating policies and procedures on the UMass Dartmouth website.

## VI. ATTACHMENTS

- A. Template

## VII. APPROVAL and EFFECTIVE DATE

- A. Effective Date will be **June 8, 2007**

**APPROVED BY** \_\_\_\_\_ Date \_\_\_\_\_  
Jean F. MacCormack  
Chancellor



Policy for Creating and Establishing  
UMASS Dartmouth Policies and Procedures  
GOV-001 June 10, 2007

University of Massachusetts Dartmouth --- Campus Policy Template

Policy Title	
Policy Number	
Effective Date	
Responsible Office/Person	
Related Policies	

- I. Policy
- II. Purpose
- III. Definitions
- IV. Procedures
- V. Responsibility
- VI. Attachments
- VII. Approval and Effective Date

Approved: \_\_\_\_\_ Date: \_\_\_\_\_  
Jean F. MacCormack  
Chancellor