

**Policy Title: Policy on Policies**

**Policy Number:**

**Date Issued: August 26, 2019**

**Responsible Executive: Senior Director of Compliance**

**Date Last Revised: October 11, 2021**

**Responsible Office: University Compliance & Risk Services**

## Policy on Policies

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### Policy Statement

Consistent with the University Compliance & Risk Services (“UCRS”) Charter, Baylor University (the “University”) will develop and maintain University Policies in accordance with a uniform process, which follows principles of good governance, transparency, and due diligence in policy management.

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### Reason for the Policy

To provide the roles, responsibilities, and process for developing and maintaining University Policies.

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### Individuals/Entities Affected by this Policy

All employees (faculty and staff) and students

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### Exclusions

NONE

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### Related Documents and Forms

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#### Forms and Tools

Forms and tools will be available at [baylor.edu/policy](http://baylor.edu/policy)

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## Definitions

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These definitions apply to terms as they are used in this policy.

<b>Executive Sponsor</b>	The executive officer, typically a vice president, who officially advances and endorses a University Policy
<b>Policy Impact Statement</b>	An initiating document proposing a new University Policy or revision to or retirement of an existing University Policy. The policy impact statement provides relevant policy related information addressing rationale, scope, and potential impact issues (resource, operational, financial, training).
<b>Policy Management</b>	The administration of a University Policy's lifecycle including the creation, initial review process, approval, communication, periodic review, policy updates, delivery of associated training, and proper retirement of a University Policy when no longer relevant
<b>Policy Owner</b>	The individual responsible for assuring appropriate policy management of a specific University Policy. The policy owner is considered a subject matter expert on the issue covered by the policy.
<b>Policy Template</b>	The standardized format used for creating or revising a University Policy
<b>Significant Change</b>	A substantive edit to University Policy content including changes to the essential principle(s), scope, or application of a University Policy. Significant changes do not include changes which are (a) editorial, (b) related to organizational reporting change, (c) reformatting a policy or paragraph, (d) updating policy related contacts, tools, resources, and reference citations, (e) made to bring clarity or grammar improvements, or (f) do not materially change the intent of the policy.
<b>Unit-Specific Policy</b>	A policy developed by a University unit which only impacts or concerns that unit
<b>University Policy</b>	University Policies are governing principles, formally approved to provide assistance in the conduct of University business. University Policies (a) apply to two or more divisions of the University, (b) comply with regulations and reduce risk, (c) enhance the University's mission and operational efficiency, and (d) mandate action or constraints. This definition includes only University-wide policies as distinguished from procedures and from school or departmental policies. Procedures are statements that describe the implementation of policies.
<b>University Policy Committee ("UPC")</b>	A group of University representatives appointed in accordance with the UPC Charter to review and approve new University Policies or revisions to or retirement of existing University Policies

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## Contacts

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<b>Subject</b>	<b>Contact</b>	<b>Telephone</b>	<b>Office email/web site</b>
<b>Policy Questions</b>	University Compliance & Risk Services	254-710-3908	policy@baylor.edu

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## 2. Policy on Policies

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## Responsibilities

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<b>Executive Sponsor</b>	The executive sponsor officially endorses and/or supports the policy owner in the advances of University Policies and policy amendments through the policy process.
<b>Policy Owners</b>	Policy owners are responsible for developing University Policies for matters within the scope of their responsibilities following the steps outlined in this policy, seeking advisory input from affected governance groups and stakeholders, initiating proper communication associated with policy rollout, initiating necessary policy related training, providing timely response to policy questions, conducting periodic review of their University Policies, serving as a key contact for policy interpretation and exception approval, and taking necessary action to update or retire a policy when deemed appropriate. This includes timely action when a policy is affected by applicable changes in federal and state laws or regulations or as deemed appropriate to support the University's mission.
<b>President, or Designee</b>	The President, or his/her designee, has authority to approve or disapprove any policy or policy amendment, as well as require additional review or comment.
<b>University Compliance &amp; Risk Services</b>	University Compliance & Risk Services will facilitate the University Policy process with key stakeholders, chair the University Policy Committee, serve as a liaison with the Office of General Counsel during its review of University Policies and policy amendments, communicate with executive leaders when University Policies and policy amendments are approved by the President, or his/her designee, and develop and maintain a library of current University Policies.
<b>University Policy Committee</b>	The UPC serves in an advisory role to UCRS on issues related to University Policy matters. The responsibilities of each UPC member include serving as a representative for their divisional/governance interest during UPC review/comment periods for draft University Policies and policy amendments, consulting on University Policy related issues as they arise, and serving as a communications liaison within their divisional/governance group for University Policy related matters.

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## Principles

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Policies developed by the University may not conflict with the University's mission or federal, state, or local laws and regulations.

Presidential consideration will be given only to proposed policies and policy amendments that follow the process outlined in this policy. The President, or his/her designee, is the institutional authority responsible for interpreting University Policies.

The President designates UCRS as the University office responsible for coordination and oversight of the University Policy process.

The UPC is a group of University representatives appointed in accordance with the UPC Charter. The UPC serves in an advisory role to UCRS on issues related to University

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Policy matters and provides a review of draft University Policies and policy amendments. The President has delegated responsibility for management of the UPC and internal policy process to the Vice President for Internal Administration and Compliance and Chief of Staff.

Schools, academic departments and programs, and non-academic units may develop unit-specific policies that supplement University Policies in response to their unique needs. The appropriate provost, vice president, dean, or designee has final authority to establish unit-specific policies. Depending on the nature of such policies, approval from higher-levels may be sought. All proposed policies, including unit-specific policies, shall first be submitted to UCRS. Upon receipt of a unit-specific policy, UCRS shall review the policy to determine that the policy is in fact a unit-specific policy and look for potential conflicts with University Policies. In the event of a conflict between a University Policy and an academic or administrative policy, the University Policy will supersede the academic or administrative policy.

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## **Procedures**

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The policy process includes an opportunity for faculty and staff comment periods regarding proposed significant changes to University Policies. It also includes opportunity for legal and executive leadership review before consideration by the President's Council. The following process applies to initiating a new University Policy, proposing significant changes to an existing University Policy, or proposing the retirement of an existing University Policy.

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## **Policy Process Steps**

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### **1. Initiation of the Policy Process**

University leadership, department heads, and/or divisional management may initiate the policy process for a unit-specific policy, University Policy, University Policy amendment, or University Policy retirement request by submitting a policy draft and policy impact statement to UCRS.

### **2. Preliminary Review**

UCRS will work with the policy owner and stakeholders, as needed, until the policy draft is ready for UPC review. If the policy submitted for review is a unit-specific policy, and the policy is deemed to be a unit-specific policy by UCRS, the policy will be routed to the appropriate dean or vice president for approval. For University Policy retirement requests, UCRS will confirm that removal of the University Policy will not conflict with any mandated requirements.

### **3. Stakeholder Review**

This step of the process involves further policy review as needed, including a UPC review, a legal sufficiency review by the Office of General Counsel, and an executive sponsor endorsement. Certain policies may require additional levels of

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review depending on the nature of the policy (e.g., review by the Faculty Senate or Council of Deans). These reviews and endorsement occur before advancing the policy or policy amendment for consideration by the President's Council.

The executive sponsor retains sole authority for decisions on advancing the policy or policy amendment for consideration by the President's Council following advisory input received during this stage of review.

#### **4. Executive Endorsement and Approval**

Following endorsement of the University Policy or policy amendment by the executive sponsor, UCRS will prepare a policy submission packet for President Council's consideration.

The President, or his/her designee, may seek further executive level advisory input on the proposed University Policy or policy amendment as he or she deems necessary. The President, or his/her designee, will notify UCRS in writing of his/her decision to approve or reject the University Policy or policy amendment.

#### **5. Policy Adoption**

A new University Policy or policy amendment will become effective upon approval by the President, or his/her designee. Upon notice of approval, UCRS will notify University officials according to established protocol.

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### **Policy Communication and Training**

The executive sponsor of the policy, or designee, is responsible for communicating the University Policy or policy amendment to key stakeholders within the University and facilitating any training as required for successful policy implementation.

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### **Policy Retirement**

Changing circumstances may create the need to retire a University Policy. Before being retired, a University Policy must go through the policy process, including the submission of a policy impact statement to UCRS.

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### **Policy Retention**

Previous versions of University Policies shall be retained according to the University's Records Retention Policy.

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### **Non-Significant Changes to University Policies**

University Policy amendments which are not deemed a significant change by UCRS will result in limited review to affect the change to the University Policy.

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## **Interim Policy**

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At the discretion of a vice president or other executive sponsor, an interim University Policy may be implemented when federal or state laws, regulatory actions, or compelling circumstances make expedited policy implementation prudent.

Upon implementing an interim University Policy, the vice president will notify University officials of the interim policy according to established protocol.

An interim policy is effective for a period of up to six months from the date of vice presidential approval assuming the policy owner initiates steps to seek normal review and approval in a timely manner. An interim policy is subject to renewal for good cause upon the President's, or his/her designee's, approval.

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## **Periodic Review**

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Policy owners and executive sponsors are responsible for reviewing and updating as necessary University Policies contained in their portfolio at least every five years and taking appropriate action to make timely updates to policy content.