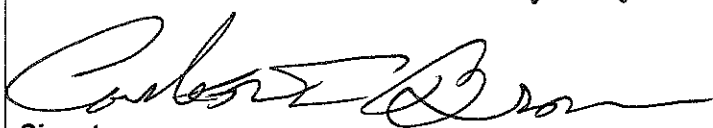


# CLARK ATLANTA UNIVERSITY

## Policy 2.1: University Operational Policy Development



CLARK ATLANTA UNIVERSITY		
<b>POLICY/PROCEDURE</b>	<b>Subject:</b> Policy 2.1: University Operational Policy Development	
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## **1.0 Authority to Establish University Operational Policy**

The ultimate authority for Clark Atlanta University (the University/CAU) policies rests with the Board of Trustees. The Board of Trustees has delegated the authority to implement its policies to the President of the University (the President) through the adoption of operational policies and procedures, who in turn, has delegated his authority to formulate operational policies and procedures to the Compliance Committee. The Compliance Committee shall ensure that the proposed operational policies do not conflict with any Board policy. Board policies will establish the broad parameters within which the Board and the University will operate.

Operational policies and procedures written to keep the University in compliance with regulations and laws are always reviewed in detail by the Chief Compliance Officer and General Counsel before they are presented to the Compliance Committee for approval. Once approved by the Compliance Committee, the Chief Compliance Officer and General Counsel will present the University Operational Policies and Procedures to the President for approval before being communicated to the University community. Should the President reject a policy, the policy is sent back to the Compliance Committee for further review and revisions.

Additionally, the President after consultation with the Board Chair will present to the Board of Trustees all proposed operational policies requiring their approval. A list of all new policies and policies that have undergone significant revisions are given to the Board of Trustees at least annually.

The Board of Trustees and the President have retained their authority to mandate a new policy and to change an existing policy. In addition, they have the authority to change the current policy review and approval process.

## **2.0 Policy Statement**

CAU formally approves, issues, and maintains in a consistent format, official University policies. Individuals engaged in developing and maintaining University policies must follow the requirements outlined in this document.

In order to provide members of the University community access to clear and understandable policies and related procedures, all University policies are:

- Approved by the Compliance Committee
- Kept current by the policy owner
- Made accessible to all members of the University community
- Communicated to all relevant faculty, staff and students, where applicable, in a timely manner to promote compliance and accountability

At the direction of, or with the approval of, the President, a department head may use policy-making as a tool for establishing requirements of the University community that relate to his or her department.

University policies connect the University's mission to individual conduct, clarify institutional expectations, support compliance with laws, regulations and sponsoring agency requirements and mitigate institutional risk. In no case may a University or department/unit policy violate a federal, state or local statute or regulation.

### **3.0 Procedure Narrative**

#### **3.1 Compliance**

The University establishes policies and procedures that bring the institution into compliance with all relevant federal, state and local statutes and regulations, as well as sound business practices. University constituencies are consulted in the formation and establishment of mandated policies and procedures, but they do not have the right of reversal for any policy or procedure.

#### **3.2 CAU University Operational Policy Definition**

CAU has both University policies and department/unit policies.

A University policy is defined by the following criteria:

- It has broad application throughout the University.
- It helps ensure compliance with applicable laws and regulations, promotes operational efficiencies, enhances the University's mission, and/or reduces institutional risks.
- It mandates actions or constraints and contains specific procedures for compliance, and articulates desired outcomes.
- The subject matter always requires approval by the Compliance Committee and in some cases may require the approval of the Board of Trustees and/or President. University policies that undergo substantive revisions, as determined by the Chief Compliance Officer, go through the same approval process as when they were first implemented.
- All proposed University policies are reviewed by an ad hoc Policy Subcommittee of the Compliance Committee and the University Senate. The purpose of this review is to ensure that the proposed policies are written in such a way that they can be implemented by the University and to ensure that they do not conflict with any existing University policy. These reviews take place prior to submission to the Compliance Committee for approval. Please see section 1.6.2 of the Faculty Handbook for a complete description of the duties of the University Senate.

An example of a University policy is the Conflict of Interest policy which is adhered to by all faculty and staff of the University.

### **3.3 CAU Department Operational Policy Definition**

A department/unit policy is defined by the following criteria:

- It is specific to one department or unit and does not have broad application throughout the University.
- It helps promote operational efficiencies within a department/unit, reduces departmental risks, and enhances the department/unit's mission.
- It mandates actions or constraints and contains specific procedures for compliance, and articulates desired outcomes.
- As a rule, the subject matter does not require approval by the Compliance Committee, the Board of Trustees or the President. Department policies that have gone through substantive revisions as determined by the Functional Vice President go through the same review process as when they were initiated. However, if there is a potential conflict with another department's policy, Compliance Committee approval is required. All functional department/unit policies are reviewed by the Functional Vice President to determine whether a potential conflict with University policy exists. If a potential conflict is identified, the policy is reviewed by the Compliance Committee. The Council of Deans is responsible for reviewing all academic policies to ensure that they are consistent with University policies. If there is a conflict, the policy is forwarded to the Compliance Committee for review. Please see section 1.4.5 of the Faculty Handbook for a complete description of the duties of the Council of Deans.

An example of a department policy is a vacation policy that prohibits staff from taking vacation during exceptionally busy times of the year (i.e., Finance at the end of the fiscal year or Student Affairs at the beginning of an academic term).

A department/unit policy may be superseded by a University policy, at which point the department/unit policy will be rescinded.

### **3.4 Policy Development**

The following steps must be followed when developing a policy.

#### **Step 1: Establish Need**

Any individual may identify the need for a new University or Department Policy. University policies, however, must have a sponsor on the Compliance Committee who is held accountable for the policy's development and the principles stated therein.

The first step in establishing need is to ask the following questions:

- What issue will be resolved by the proposed policy?

- What is the intended impact of the policy?
- Who is the audience of the policy (i.e., all members of the University community, budget managers, grant directors, etc.)?
- Will the policy assure compliance, or be in compliance, with relevant legislative and regulatory mandates?
- What are the risks of not establishing this policy?
- What procedures will be necessary to implement this policy?

## **Step 2: Develop the Policy Document**

After the Compliance Committee or Functional Vice President determines that there is a need for a new policy or that an existing policy needs to be revised the policy can be developed.

All policies must be clearly written in a manner that is easily understandable to all who must comply with it. Policies must also be practical and applicable and written in the format outlined in this document.

At a minimum, policies must contain a cover sheet, table of contents, policy statement, procedure narrative, section outlining entities affected by the policy and definitions.

## **Step 3: Compliance Committee Approval**

It is the responsibility of the policy sponsor to contact the Compliance Office to determine if Compliance Committee approval is necessary. If approval of the Compliance Committee is required the policy sponsor works with the Compliance Office to secure a space on the agenda of a Compliance Committee Meeting. If no Compliance Committee meeting is scheduled in the near future, the policy sponsor and Chief Compliance Officer will call a meeting. A copy of the proposed policy is sent to the Compliance Committee at least 48 hours in advance of the meeting to give committee members adequate time to review the policy.

It is also the responsibility of the policy sponsor to incorporate any changes that may be made to the policy as a result of the meeting. The policy sponsor may have to present the policy several times before approval is granted and the policy is adopted.

## **Step 4: Presidential Approval**

After approval by the Compliance Committee, all proposed and revised University policies and procedures are reviewed and approved by the President. The President reviews and provides comments back to the Compliance Committee and policy sponsor. Presidential approval is required for all University policies prior to formal adoption by the Compliance Committee.

### **Step 5: Board of Trustees Approval**

Policies written to keep the University in compliance with regulations and laws may need to be approved by the Board of Trustees prior to adoption by the Compliance Committee. The President after consultation with the Board Chair will present to the Board of Trustees all proposed operational policies requiring their approval.

### **Step 6: Website**

All University policies and the associated procedures are published on the CAU website unless prohibited by the Board of Trustees or President. In addition, the Compliance Office maintains copies of all University policies and procedures. Department policies and procedures may or may not be published on the CAU website at the discretion of the Functional Vice President. Copies of all department policies and procedures are made available to all members of the affected department.

### **Step 7: Communication**

In addition to publishing the new or revised University policy on the CAU website, the policy sponsor issues a University-wide communication to affected parties announcing the new policy. The announcement includes a brief explanation of the policy, the responsible department and instructions on how to access the policy. This communication is issued after the policy is published on the CAU website.

If necessary, the policy sponsor is responsible for providing training on the new or revised policy as well as any other assistance necessary to achieve ongoing compliance.

### **Step 8: Revisions**

Minor changes or updates to a University policy may be made by the policy sponsor and do not require approval of the Compliance Committee. Examples of these types of changes are departmental name changes and certain BANNER upgrades that may result in an improvement to an existing policy. All other changes that may have a material impact to an existing policy (such as a revision resulting from a new regulation/law) must be approved by the Compliance Committee. It is the responsibility of the policy sponsor to make necessary changes to a policy. The last revision date appears on the document title page and at the bottom of each page.

A detailed review of every University policy must be conducted at least every 5 years by the policy sponsor. The review date is noted on the cover page of the policy.

### **Step 9: Maintenance**

Copies of all policies and the associated procedures are kept in the Compliance Office as well as the office of the policy sponsor. In addition, current copies of all University policies are available on the CAU website.

### 3.5 Outdated Policies

Outdated policies are rescinded as follows. The policy sponsor notifies the Compliance Officer that a policy is outdated and requests that it be rescinded. It is the responsibility of the Compliance Committee to give official approval to rescind a University policy. Once official approval has been received the policy is removed from the CAU website. The rescission will be noted on the copies maintained by the Compliance Officer and the office of the policy sponsor.

### 3.6 Interim Policies

An interim policy is developed on rare occasions when a University policy is needed within a time frame that is too short to allow for the complete policy development process to be followed. Interim policies must at a minimum contain the title page, policy statement and a brief procedure narrative. The policy sponsor must get approval from the Compliance Committee to develop an interim University policy. The completed interim University policy is presented to the Compliance Committee for approval. An example of when an interim policy may be developed is when a private foundation requires a specific policy to be in place prior to releasing funds. Interim policies are in place for no more than 6 months, at that time the interim policy is replaced by a permanent policy. The Compliance Committee may renew the interim policy if necessary.

### 3.7 Policy Format

To ensure consistency, a standard format for policies has been created. Use of the standard format facilitates the adoption of clear, concise policies and procedures at all levels of the University. Policies do not need to have identical formats, but all must, at a minimum, contain the following:

**Cover Page:** The cover page contains the CAU seal, the title of the policy, the name of the department issuing the policy, the title of the policy's sponsor, the effective date and the date the policy was approved by the Compliance Committee. All dates must be visible on the document when it is published on the CAU website. A sample of the Cover Page is provided (Attachment A). The Compliance Office assigns each University policy a number.

**Policy Statement:** The policy statement appears on the first page of a policy document and summarizes the policy's purpose. If the policy is being developed as a result of a legal or regulatory requirement or to minimize institutional risk that is stated here. The policy statement should be no more than 2 or 3 paragraphs.

**Procedure Narrative:** This section documents the actual details of the policy including its core provisions and requirements

**Entities Affected by this Policy:** Departments or University entities that must adhere to and/or are affected by the policy are listed in this section.

**Definitions:** A list of key terms used in the policy and their definitions are included in each policy. Definitions are included at the end of the document.

Other information should be included as appropriate. Examples of acceptable activities and activities that violate the policy may be particularly helpful in facilitating the understanding of a policy. Enforcement processes and penalties should be included if appropriate. Where the policy and associated procedures are complex, the policy sponsor should consider including process flows. Department level policies are accompanied by Desktop Procedures where appropriate.

### **3.8 Numbering Scheme for University Policies**

The following number scheme is used when developing policies.

Office of the President	1.0
Compliance Office	2.0
Title III	3.0
Athletics	4.0
Office of Planning, Assessment, and Research	5.0
Academic Affairs	6.0
Finance and Business Services	7.0
Student Affairs/Enrollment Management	8.0
Management Services	9.0 / 10.0
Research and Sponsored Programs	11.0
Institutional Advancement	12.0

Every policy issued by the Office of the President will start with a 1, the Compliance Office a 2, etc. The second number is the actual number of the policy. For example, this policy is issued by the Compliance Office and is the first policy issued. Therefore, it is number 2.1.

## **4.0 Entities Affected by This Policy**

All units, both functional and academic are governed by University policies and are therefore, affected by this policy.

## **5.0 Definitions**

### **5.1 Compliance Committee**

The CAU Compliance Committee provides direction and guidance to the Compliance Office and assists the President in his oversight of the compliance function. The

committee's role is an essential component of the compliance program focusing on CAU compliance with applicable legal, ethical and regulatory requirements. The Compliance Committee is responsible for identifying and recommending appropriate disciplinary actions in response to specific types of compliance violations.

One of the responsibilities of the Compliance Committee is to review all new and significantly revised University policies.

*For a membership list of the Compliance Committee, please see the Compliance Web site at <http://www.cau.edu/compliance/default.html>.*

**5.2 Desktop Procedures** – Desktop procedures accompany department policies and are step-by-step directions on how to complete a specific procedure.

### **5.3 Procedure Narrative**

The Procedure Narrative documents specific actions required to fulfill the policy's purpose and allow for the orderly implementation of those policies.

### **5.4 Policy Sponsor**

The policy sponsor is the Functional Vice President or Provost/Vice President for Academic Affairs with responsibility for developing the policy and ensuring the policy is approved, maintained and enforced. The policy sponsor for University policies must sit on the Compliance Committee.

### **5.5 Policy Statement**

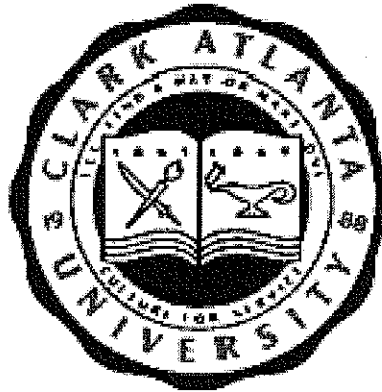
A policy statement appears on the front page of every policy document. The statement summarizes the policy's purpose, namely its core provisions, requirements and any legal or regulatory requirements the policy addresses.

### **5.6 Policy Subcommittee of the Compliance Committee**

The Policy Subcommittee is an ad hoc subcommittee of the Compliance Committee appointed by the Chief Compliance Officer. Membership on the Policy Subcommittee varies depending on the expertise needed to analyze a policy. This committee is responsible for ensuring there is consistency in the format and presentation of policies, that proposed policies do not conflict with existing University or Department policies and that policies are written so they can be implemented and enforced.

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