


Name of Policy: <u>Formulation and issuance of policies.</u> Policy Number: 3364-10-01 Approving Officer: President Responsible Agent: Vice President and General Counsel Scope: All University of Toledo Campuses	 Effective date: December 1, 2007
<input type="checkbox"/> New policy proposal	<input type="checkbox"/> Minor/technical revision of existing policy
<input checked="" type="checkbox"/> Major revision of existing policy	<input type="checkbox"/> Reaffirmation of existing policy

(A) Policy statement

The university is committed to governance by clear, concise policies. Policies are statements of the principles that govern decision making, maintain compliance and accountability and explain how the university conducts business. Procedures are the functional steps used to implement policies.

(B) Purpose of policy

To provide a procedure for instructing the university how to adopt, approve and periodically review policy.

(C) Delegation of approval authority for policy

Board of trustees resolution 07-02-02 authorizes the president or his designee to establish, manage, and administer necessary and reasonable policies amplifying and implementing actions approved by the board of trustees, and to adopt, amend, or rescind policies governing the day to day procedures and operations of the university, except where the authority remains with the board of trustees through law, bylaw, or board of trustees request.

Only those who have direct written authority from the president may adopt, amend, or rescind such policies.

(D) Conflicts between policies

In the event of a conflict between any policies, the president has the authority to resolve the conflict.

(E) Procedure for formulation and issuance of policy, systematic review, archiving and format

Every policy falls within the jurisdiction of a responsible agent listed in the header of the policy. The responsible agent has overall accountability for the implementation, training, and oversight

of the policy as well as each policy's revision and approval. The responsible agent conducts periodic reviews of the policy.

(1) Approval process for new or revised policies

- (a) The responsible agent is accountable for the drafting, updating, and implementing of the policy. The university policy coordinator, who is charged with overseeing the formulation and issuance of all policies, assists the responsible agent or the agent's designee with policy approval. The responsible agent or designee contacts the policy coordinator to begin the policy formulation process.
- (b) The responsible agent ensures that a person is appointed to draft policy statements, reasons for policy, and pertinent procedures in the standard policy format with assistance from the university policy coordinator, and seeks input from and vets the draft policy with appropriate personnel, including subject matter experts, frequent users of the policy, and representatives of groups affected by the policy. Senior leadership may be asked to provide input. In addition, where appropriate the policy coordinator places the proposed policy on the university's policy website for a thirty day comment period to garner comments or suggestions before the approving officer signs the policy. Exceptions or waivers to the thirty day comment period may be granted by the president. All policies will be placed on the policy website for a thirty day comment period after the approving officer signs the policy.
- (c) Once the comment period has lapsed or been waived, the policy coordinator assists the responsible agent in submitting the proposed policy to the approving officer, who has direct written authority from the president to approve the policy.

(2) Issuing a policy

Once a policy is approved, the responsible agent communicates, implements, trains and oversees the policy.

The policy coordinator places the approved policy in the central policy web repository.

(3) Systematic review of policies

All policies are required to be reviewed at least once every three years by the responsible agent in coordination with the policy coordinator and revised as necessary.

(4) Archiving policies

When policies are revised or rescinded, the policy coordinator is responsible for maintaining an archive of the retired policy versions in accordance with the university records retention policy. Copies of newly approved policies will be sent to the university archivist for archival purposes.

(5) Policy numbering system

The university policy coordinator ensures compliance with filing necessary rules with the Ohio legislative service commission. To assist in this filing, all university policies are numbered and begin with 3364. At least two numbers, and sometimes three, follow the "agency number." These indicate the "chapter" and the "policy" number. For new policies that do not yet have a chapter and rule number, the policy coordinator assigns these numbers as appropriate.

With a few exceptions, university policies are generally placed with other policies relating to similar subjects within the following framework:

Bylaws of the Board of Trustees
 Administration (Compliance, Facilities, Finance, Human Resources,
 Information Technology, Institutional Advancement, Legal, Marketing
 and Communications, Safety and other administrative units)
 Academic (Colleges, Faculty, Research)
 Students
 Athletics
 UT Medical Center

(6) Standard policy format

This policy serves as a format for all administrative policies and contains the header block, sections, and signature block as defined below:

- (a) Header block. The header block of the policy contains the following information:
 - (i) Name of the policy.
 - (ii) Approving officer (president or designee) who has the authority to approve the policy.
 - (iii) Responsible agent who drafts, updates and implements the policy.
 - (iv) Individual/areas covered by the scope of the policy.
 - (v) Original effective date of the policy and most recent revision date.
 - (vi) Policy number.
- (b) Sections. The sections of the policy contain the following information:
 - (i) Policy statement (required section). A specific statement of principles or guiding actions that imply clear commitment by The University of

Toledo; a statement of values or intent that provide the basis for consistent decision making and resource allocation; or a definite method or course of action selected to guide and determine present and future decisions.

- (ii) Purpose (required section). A brief explanation of why the policy was developed, such as:
- (a) To provide legal or regulatory compliance.
 - (b) To resolve a problem or conflict.
 - (c) To manage or contain risk.
 - (d) To document internal controls, roles, and responsibilities.
- (iii) Procedure (required section). Statements that prescribe specific actions to allow for orderly implementation of the policy and that often describe a series of interrelated steps. For example:
- (a) List steps that must be followed to comply with the policy.
 - (b) Divide into sections.
 - (c) Use an introductory section for complex procedures or those with options.
 - (d) Clearly identify options.
 - (e) Clearly identify cautions or warnings.
 - (f) Provide references to related documents.
- (c) Signature block. The signature block is signed by the president or designee and provides a history trail, including:
- (i) Policies that have been superseded by the policy.
 - (ii) Dates of prior reviews and versions of the policy.
 - (iii) Date of next review.
 - (iv) List of individuals/departments responsible for the review of the policy.

<p>Approved by:</p> <p><u>/s/ laj</u> Lloyd A. Jacobs, M.D. President</p> <p>December 18, 2007 Date</p> <p><i>Review/Revision Completed by: Senior Leadership Team Policy Committee</i></p>	<p>Policies Superseded by This Policy:</p> <ul style="list-style-type: none"> • <i>01-055 General Policies and Procedures Manual Updates (former Health Science Campus Policy, revision date 07/01/03)</i> • <i>01-057 Policy and Procedure Retention (former Health Science Campus Policy, review date 07/01/03)</i> • <i>HSC-ALL-01-003-00 Policies and Procedures (former Health Science Campus Policy, effective date 8/20/07)</i> • <i>HSC-ALL-01-004-00 Policy on Policy Identification and Numbering (former Health Science Campus policy, effective date 8/20/07)</i> • <i>7-75-1 Policy Format (former UT Medical Center policy, effective date 2/28/05)</i> • <i>7-75-2 Policy Revision/Review (former UT Medical Center policy, effective date 2/28/05)</i> <p>Initial effective Date: 12/18/2007 Review/Revision Date: Next review date: 12/1/2010</p>
---	---