

Volume G1: Governance	G1.1 Formulation and Issuance of University Policies	Responsible Office: Finance and Administration
	9/26/2011 Draft Comments Due: XX/XX/2011	Responsible Officer: Policy Coordinator

POLICY STATEMENT

Northeastern Illinois University formally approves, issues, and maintains in a consistent format, NEIU policies. Individuals engaged in developing and maintaining NEIU policies must follow the requirements outlined in this document for drafting, approving, revising or withdrawing NEIU policies.

PURPOSE OF THE POLICY

NEIU policies must be thoroughly reviewed, maintained, and made available to the University community to inform and promote practicality, compliance, and accountability. NEIU policies are intended to supplement and clarify NEIU Board of Trustees (BOT) Policies and Regulations, and to implement compliance with local, state, and federal laws and regulations. NEIU Policies also supplement collective bargaining agreements. Policies do not supersede the Faculty Constitution or bylaws/operating papers of faculty governance entities.

WHO IS AFFECTED BY THIS POLICY

The University Community.

DEFINITIONS

NEIU Digital Policy Library is the central location online for all NEIU policies, accessible to everyone in the University community.

NEIU Policy Working Group (PWG) is the standing committee of senior administrators who review, discuss, advise, and/or take action on appropriate NEIU policy and policy issues. The group comprises senior administrators from across the University, who are appointed by the President and Vice Presidents.

NEIU Policy is a University directive that:

1. Mandates requirements of or provisions for members of the NEIU community, and provides procedures for implementation
2. Has broad application throughout the University
3. Enhances the University's mission, reduces institutional risk, and/or promotes operational efficiency
4. Has been reviewed by a committee of senior University administrators, typically the NEIU Policy Working Group, has been presented in draft form to the University community for input, and approved by the University President
6. Helps achieve compliance with applicable laws and regulations

Policy Coordinator is the individual who maintains the NEIU digital policy library and assists with policy development, coordination, and dissemination.

Procedures for compliance outline how the policy's requirements will be met. This section outlines the actions required to comply with the policy statement and the office responsible for each task.

Regulations state what new requirements or provisions this policy establishes, with a fuller description of these issues and their larger context than was possible in the policy statement.

Responsible Office is the unit responsible for maintaining the accuracy of the policy content and handling inquiries regarding the development, implementation, and requested revisions of that policy.

Responsible Officer is the individual delegated to revise procedures and to implement policy in their specific area, office, or jurisdiction.

University Officer is the individual delegated by the President or Vice Presidents to assist with special projects.

PROCEDURES

1. DEVELOPING POLICY

Policy is employed by unit heads to support the missions of their units to the University. Any individual or unit may identify the need for a new policy, but at least Responsible Officer must agree to sponsor its development and be accountable for the content of its principles and procedures. The Responsible Officer(s) will appoint (a) responsible office(s) to consult with the NEIU Policy Working Group in developing that policy.

Members of the PWG assist in the drafting of the full policy document as described below in the paragraphs on reviewing policy; however, the actual writing of the full policy is accomplished by the responsible office. NEIU has established a standard policy format and review process to achieve consistency, appropriateness, ease of understanding of, ease of access to, and compliance with University policies (see link below to NEIU Policy Template and Guide). The responsible office will use the NEIU Policy Template and Guide to develop new policy.

2. REVIEWING AND APPROVING POLICY

The PWG regularly meets to review and deliberate on policies in various stages of development, review, and approval.

With the unit head's approval, a policy draft is distributed via email by the Policy Coordinator to the entire PWG. Feedback from the PWG is sent directly to the policy's author. After several review phases have been completed, the PWG deliberates on final approval. Once approved, the policy draft is posted on the NEIU digital policy library for 30 days of public comment and feedback. The posting is announced to the University community via targeted announcement. The PWG requests two members of each Constituency Group (Faculty Senate, Civil Service Council, Administrative and Professional Council) review policies as they are posted and submit any feedback to the PWG during the 30 day review period. This feedback must be considered by the responsible office and the author who will determine whether and how these responses will be incorporated. If a new policy draft is revised based on community input, then this draft must be approved again by the PWG.

New policies, substantial revisions to existing policies, and policy eliminations are approved by the President or her/his delegate(s).

Final policies are posted on the NEIU digital policy library.

3. REVISING EXISTING POLICY

Each NEIU policy should be revisited at least every five years by the responsible office. The extent of revisions (if any) to existing NEIU policies suggested by the responsible office determines the approval process. Minor updates and less substantive revisions can be approved by the area's Vice President or delegated University Officer, with an opportunity for input from appropriate constituency groups. More substantial revisions to existing policy should go through the process described above for approving new NEIU policies, with final approval by the University President.

GUIDELINES

A unit head may use approved policy as a tool for effective management within his/her area of responsibility. In this way, NEIU policies clarify institutional expectations, provide employees with frameworks in which to

operate, support compliance with laws and regulation, mitigate institutional risk, and enhance productivity and efficiency in the University's operations.

AUTHOR REFERENCE

Cornell University Policy Library, "Formulation and Issuance of University Policies":
http://www.dfa.cornell.edu/dfa/cms/treasurer/policyoffice/policies/volumes/governance/upload/vol4_1.pdf

Michigan Tech, "Establishing and Creating University Policy and Procedures"

APPENDIX

Appendix A – [Policy Template](#)

HISTORY

Replaces Administrative Memorandum #1, March 1, 1995

RELATED POLICIES, DOCUMENTS, AND LINKS

NEIU Policy Library – http://www.neiu.edu/NEIUworks_UIS/Index.html

CONTACT INFORMATION

Please direct questions or concerns about this policy to:

Contact	Phone	E-Mail
Policy Coordinator	(773) 442-5321	policy@neiu.edu

DISCLAIMER

The University reserves the right to modify or amend sections of this policy at any time at its sole discretion. This policy remains in effect until such time as the Responsible Officer or University Officers call for a review. Requests for exception to any portion of this policy, but not to the policy statement, must be presented in writing to the Responsible Officer.

APPENDIX A – POLICY TEMPLATE



NEIU POLICY

Volume <code> <volume title>	<Code> <Title>	Responsible Office: <title>
	Effective Date: mm/dd/yy Last Revised: mm/dd/yy	Responsible Officer: <title>

Template and guide to writing NEIU Policy

This template is designed to help policy writers organize the content of a policy according to the official policy template used at NEIU. We will aid you in editing your text to conform to university policy standards at your request. In general, our normal review and edits will only be to apply appropriate formatting, grammar, etc. Important note: all items in italics are guidelines to help you with each section. These guidelines will not appear in your final policy draft and you may delete them before submitting a policy draft for approval.

Five guidelines for drafting policy language:

1. Where possible, use the active voice rather than the passive
2. Break up text using the lists and headings in the template
3. You are writing for a general audience – the university-at-large. To maximize understanding by the average individual, use clear and precise language, brief sentences, and common words. Avoid jargon. If technical words are necessary these must be defined in the Definition section.
4. Avoid absolutes, like the word “ensure,” whereby the university might flout its own policy unwittingly by failing to deliver such a guarantee
5. Avoid “should” and opt for firm language, such as “must,” especially as the actions required by this policy are not optional.

Referring to cells at the top of the policy:

Effective Date: when the policy was approved, this will be filled in before the policy is published

Volume Section: leave blank for the Policy Coordinator to fill in.

Responsible Office: the office responsible for maintaining the accuracy of the policy information, reviewing the policy, and handling inquiries about the development, implementation, and revisions of that policy.

Responsible Officer: the person responsible for the creation and revision of policy. List this as a position, not the name of any individual currently in the position.

Policy Format

Text	All text must be Helvetica
Font Size	All font size within content areas should be size 9. Excluding headings.
Headings	See examples below: 1. HEADING 2 (Helvetica, 12 pt, bold, underlined, all caps, underline, numbered, level 2 outline, number position indent 0.0, text position indent 0.4) 1.1. HEADING 3 (Helvetica, 12 pt, bold, small caps, numbered, level 3 outline, number position indent 0.25, text position indent 0.7)
Line Spacing	Single line spacing and returns will be used. No paragraph spacing (ex. 10pt before or after).

POLICY STATEMENT

Generally, two to four sentences, the “Policy Statement” states the policy, who must follow the policy, when the policy applies, and any mandated actions or constraints. It doesn’t describe procedures or regulations. Once a policy has been formally approved by the University, the responsible office may change the procedures (the way in which a policy is implemented) but may not change the policy statement or regulations (below) without restarting the approval process.

PURPOSE OF THE POLICY

Generally, two to four sentences, the "Purpose of the Policy" cites the University's commitment to a value or mission, why the policy must exist, the problem or conflict the policy seeks to address, or cites any legal, regulatory, stewardship or other requirement the policy aims to meet.

WHO IS AFFECTED BY THIS POLICY

Indicate the intended audience or users of the policy.

DEFINITIONS

THIS IS AN OPTIONAL FIELD

Define terms that have specialized or particular meanings in the policy. **Caution:** Do not use the term being defined to define the term itself.

REGULATIONS

THIS IS AN OPTIONAL FIELD

States what new requirements or provisions this policy establishes, with a fuller description of these issues and their larger context than was possible in the policy statement. If statutes or laws are cited, please provide a valid web link so the user can quickly see the source document. (This section can be several pages long and contain directives.)

PROCEDURES

A policy can contain procedures for compliance that outline how the policy's requirements will be met. This section outlines the actions required to comply with the policy statement. It must specify the office responsible for each task.

GUIDELINES

THIS IS AN OPTIONAL FIELD

Guidelines are intended to advise and recommend rather than govern. They provide appropriate action and instruction, but are optional actions to which other alternatives are possible.

AUTHOR REFERENCE

THIS IS AN OPTIONAL FIELD

Reference published material that aided in writing this policy.

HISTORY

The entire official history of the policy and all content contained within it. A description and date should accompany each action, noting whether it is a revision (include reasons) or review.

(Example: 10/20/04 – Reviewed; scheduled review date
01/11/06 – Revised; edited procedure 1.2 to include miscellaneous approval information)

APPENDIX

THIS IS AN OPTIONAL FIELD

Attachments that accompany the policy such as: forms, guides, illustrations, flow charts and other supporting documents.

RELATED POLICIES, DOCUMENTS, AND LINKS

THIS IS AN OPTIONAL FIELD

Supplemental information either about or bordering the policy. This material is not related to the policy's implementation.

CONTACT INFORMATION

Please direct questions or concerns about this policy to:

Contact	Phone	E-Mail
<i>Title of Responsible Officer</i>	<i>phone number</i>	<i>E-mail address of area</i>

DISCLAIMER

Include the following statement at the end of the policy:

The University reserves the right to modify or amend sections of this policy at any time at its sole discretion. This policy remains in effect until such time as the Responsible Officer or University Officers call for a review. Requests for exception to any portion of this policy, but not to the policy statement, must be presented in writing to the Responsible Officer.

*Reference for guidelines: Cornell University Policy Office's Simplified Policy Template,
<http://www.dfa.cornell.edu/dfa/treasurer/policyoffice/development/simpletemplate.cfm>*