



# University Policy on Policies Overview

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University Compliance  
November 7, 2019

# Agenda

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- Introduction
- Why This Is Being Done
- University Policy on Policies
- Benefits of the Policy on Policies
- Comprehensive Policy Review
- Roles and Responsibilities
- Resources
- Template Preview
- University Policy Website Preview

# Why This Is Being Done

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- Need for one website to inventory all policies, which are now widely dispersed on Provost, Registrar, OIED, Research, etc.
- Need for consistency and standards
- Need to meet current compliance and regulatory requirements
- Clarity regarding rights and responsibilities for learning, living and working at Brown



# Development of the Policy on Policies

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- The University Policy on Policies was developed by reviewing:
  - Brown's policies
  - Peer best practices
  - Professional policy, legal and compliance organizations' best practices



# University Policy on Policies

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- Approved by the President
- Cornerstone policy that defines:
  - Policy criteria and format
  - Who oversees and owns a policy
  - Who can approve a policy
  - Who can update a policy
  - Where all University policies reside

# Benefits of the Policy on Policies

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- Enhances operational excellence
  - Eliminates redundant, conflicting and outdated policies
  - Reduces time spent handling questions and issues on an ad hoc basis
  - Reinforces compliance requirements
  - Reduces potential liability and penalties
  - Clarifies rights, responsibilities, expectations and conduct





# Comprehensive Policy Review Project: What is it?

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- Implements the University Policy on Policies
  - President established
  - Steering Committee oversight
  - University Compliance manages
- Updates, formats and reviews all policies
- Separates policy from procedure
- Approves all policies via a centralized process
- Consolidates all current policies on one website
- Archives outdated policies

# Comprehensive Policy Review: Roll Out

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- Gradual, intentional roll out by policy category
  - Tested processes to avoid negative mission impacts
  - Started with two categories:
    - Human Resources and Employment
    - Information Technology
  - Order of category kick off (i.e., start) is determined by the Steering Committee in consultation with departments and offices



# Comprehensive Policy Review: Categories

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- Governance and Administration
- Academic
- Advancement
- Athletics and Recreation
- Auxiliary Services
- Facilities and Resources
- Finance Operations
- Human Resources / Employment \*
- Information Technology \*
- Research and Sponsored Activities
- Safety and Security
- Student Services / Campus Life

Departments and offices are not required to comply with the University Policy on Policies until their policy category is kicked off.

*\* Category has been kicked off*

# Comprehensive Policy Review: Best Practice

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- If your category has not been kicked off, you can get a head start
- If you plan to develop or update a policy:
  - You should follow the University Policy on Policies
  - If the policy is founded on legal or regulatory elements, consult with OGC from the start
- University Compliance will help you understand the process





How does this affect me and my department/office?



# Your Role

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- The Brown Community needs to know:
  - The University Policy on Policies
  - The Comprehensive Policy Review Project
  - The new University Policy Website
    - Launches in the Spring Semester
    - Replaces the Administrative Policy Website
  - Continue to search other University policy sites until all policies are on the new website
  - How to comply with the Policy on Policies
- Participate in policy reviews as requested by your leadership





# University Leadership Role

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- When notified your category is kicking off:
  - Attend kick off meeting with University Compliance
  - Form a Category Policy Review Working Group
  - Schedule training with University Compliance
  - Consult with OGC
  - Determine target completion date based on workload and staffing
  - Meet weekly with Policy Review Working Group
  - Coordinate policies with external stakeholders
  - Submit policies for approval



# Policy Development Resources


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## ■ Templates, instructions and questions

- Contacts:
  - [policyonpolicies@brown.edu](mailto:policyonpolicies@brown.edu)
  - 401-863-1593



# Policy Template Example

 BROWN	<b>Policy on Policies</b>	POL #: 01.2001
		Effective Date: August 16, 2019

**1.0 Policy Purpose**

For the effective and orderly administration of Brown University, this Policy on Policies is established to govern the adoption, revision and publication of Brown University Policies.

**2.0 To Whom the Policy Applies**

This policy applies to any member of the Brown University community who develops, reviews, approves, publishes, manages, or otherwise engages in the promulgation and dissemination of University policies.

**3.0 Policy Statement**

A Brown University Policy is a document that states the rights and responsibilities of members of the Brown community. A University Policy must meet all of the following criteria:

- It has broad application throughout the University; or is required by regulation or documented industry standards;
- It helps achieve compliance with applicable laws and regulations, promotes operational efficiencies, enhances the University's mission, or reduces institutional risks;
- It mandates actions; and
- The subject matter requires Corporation, President or delegated Cabinet member review and approval for policy issuance and major revisions.

If a document does not fit the above criteria it is an operating unit, department or school Standard Operating Procedure (SOP).

To ensure consistency, policies must be written in standard outline form consistent with the University's Policy Template and instructions. Policies are effective when adopted by the Corporation, or when adopted by the President (or the delegated Cabinet member with policy approval authority) upon written approval. Policies will be posted to the dedicated official University Policy web site. Operating units, departments, and schools should provide links to the official University web site dedicated to policies to assure the official and most current version is referenced and relied upon.

**3.1 Authority**

The Corporation of Brown University or one of its committees acting under authority delegated by the Corporation will adopt policies in accordance with The Charter of Brown University, and pursuant to its authority delegated by law.



# Policy Template Example (Continued)

 BROWN	Policy on Policies	POL #: 01.20.01
		Effective Date: August 16, 2019

## 1.0 Policy Purpose

For the effective and orderly administration of Brown University, this Policy on Policies is established to govern the adoption, revision and publication of Brown University Policies.

## 2.0 To Whom the Policy Applies


This policy applies to any member of the Brown University community who develops, reviews, approves, publishes, manages, or otherwise engages in the promulgation and dissemination of University policies.

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## Policy Template Sections:

- 1.0 Policy Purpose
- 2.0 To Whom the Policy Applies
- 3.0 Policy Statement
- 4.0 Definitions
- 5.0 Responsibilities
- 6.0 Consequences for Violating this Policy
- 7.0 Related Information
- 8.0 Policy Owner and Contacts
- 9.0 Policy History





# New University Policy Website Preview

*[policy.brown.edu](http://policy.brown.edu) (in development)*



# University Policies

Welcome to the Brown University official policy website. Currently not all University policies are on this website, therefore, users need to search other University websites to find all current policies.

 Search Policies

SEARCH →

[SEE ALL POLICIES](#)

## University Policies by Category

[➔ ACADEMIC](#)[➔ GOVERNANCE AND ADMINISTRATION](#)



FILTER BY

✕ CLEAR

ACADEMIC ✕

ACCOUNTING ✕

FACULTY ✕

252 Policies

Search Policies



**Policy Category**  
Academic

Advancement



Athletics and Recreation



Auxiliary Services



Facilities and Resources



Finance Operations and  
Auxiliary Services



Accounting



Accounts Payable



Purchasing



Accounts Payable



Accounts Payable



Environmental Health and Safety



Transportation / Auto



Accounts Payable



Purchasing



Academic Service Center Policy



Equipment Capitalization



Fringe Benefit Rates



Management of Restricted Gifts



FINANCE OPERATIONS AND AUXILIARY SERVICES

→ **Academic Service Center Policy**

POLICY NUMBER: **3341**

... To ensure that the Brown's values are reflected in our work, the University expects employees to use good personal and professional ... of their duties. The list below includes examples of work behaviors that comport with Brown's workplace values as well as examples ...



# Questions?

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