



## University Policy Protocol

**Purpose of Protocol:** To establish standards for the development, approval, revision and decommissioning of official University policies for the Storrs and Regional Campuses<sup>1</sup>. This protocol aims to ensure University policies are well defined, understandable and consistent with the mission, values and goals of the University of Connecticut.

**University Policy Definition:** A University policy is an official statement expressing the position of the University on an issue of institution-wide importance. A policy guides the decisions and actions of the institution. As such, it meets the following criteria:

- The administrative authority of the University and its relevant governing boards has sanctioned it;
- It has a broad institution-wide application;
- It is a governing principle for both established and future activities of the University;
- It exists to achieve compliance with Federal and State legislation, the University’s bylaws, collective bargaining agreements and other legal requirements or to meet other institutional objectives.

A University policy articulates requirements and restrictions, and establishes standards, rights and responsibilities that apply generally throughout the University.

Note: Procedures and protocols are methods established for the implementation of policies. If a policy is “what” the institution does, its procedures and protocols are “how” it carries out the requirements of a policy.

### Developing a University Policy

- A senior institutional official, such as a Vice President, Vice Provost or Director having authority and responsibility for the area or activity to which a policy may apply, should initially confirm the need for the policy in light of Federal and State legislation, external standards and requirements, institutional objectives, and/or best practices. The senior institutional official may then assign the development and administration of the policy to a responsible office or individual. If a proposed policy involves matters within the purview of more than one senior institutional official, he or she will ensure consultation and coordination among appropriate leadership. Early in the development stages, the individuals or groups developing the policy should notify the Office of University Compliance. University Compliance is charged with the stewardship of the policy development process taking into consideration language, conflicting policies, and appropriate vetting and

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<sup>1</sup> Unless otherwise specified, Regional Campuses include Avery Point, Greater Hartford, Stamford, Waterbury, the School of Law and all other Storrs based programs.



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approval. Additionally, University Compliance is responsible for engaging the Office of the General Counsel as appropriate.

- The senior institutional official must also confer with University governance groups, University officials with expertise in the subject matter of the policy or whose operations will be significantly affected by the policy, or others as appropriate and desirable [Examples: University Senate and University Senate Executive Committee, Deans Council, Collective Bargaining Units, Trustee/Administrator/Faculty/Student Committee (TAFSC)].

### Approving a University Policy

- Although the development or administration of a policy may be delegated to subordinate officials, the senior institutional official is responsible for ensuring all necessary approvals are obtained. Once the senior institutional official is satisfied with the final draft of a policy, it must be forwarded to University Compliance at [policy@uconn.edu](mailto:policy@uconn.edu), who may consult with the Office of General Counsel, for final review. Staff will work with the Office of the President and the senior institutional official to present the draft policy to President's Cabinet for approval. Some policies may also require approval by the Board of Trustees.
- The Executive Secretary to the Board of Trustees, in consultation with the Board Chairperson, will make the final determination regarding when policies require Board of Trustees approval. A Board subcommittee will typically be assigned to review and approve the policy before it goes to the full Board for final approval.
- Once the Policy has been approved, the senior institutional official will collaborate with University Compliance to ensure the policy is posted to [policy.uconn.edu](http://policy.uconn.edu) (and [policies.uchc.edu](http://policies.uchc.edu) where applicable). The senior institutional official must also publicize and distribute the Policy to the University Community members to whom it applies and to offices that may have implementation requirements.

### Revising a University Policy

- Policies must be reviewed at least once every three years. The senior institutional official or designee is required to ensure the periodic review and revision of policies related to their areas of responsibility. He or she must notify University Compliance at [policy@uconn.edu](mailto:policy@uconn.edu) when revisions are necessary. University Compliance will consult with the Office of the President and Executive Secretary to the Board of Trustees regarding whether recommended revisions require President's Cabinet and/or Board of Trustees approval. Generally only substantive revisions to a policy are required to be approved by the President's Cabinet. Contact updates, individual title changes, and minor updates should be shared with the appropriate institutional official and University Compliance for updating.
- Once the revisions are reviewed and/or approved, the senior institutional official will collaborate with University Compliance to ensure the revised policy is updated.



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### **Decommissioning a University Policy:**

- When a policy is no longer needed or is more effectively combined with another policy, the responsible office will submit a formal request to the senior institutional official responsible for the policy. He or she may confer with applicable University governance groups and subject matter experts as appropriate to ensure overall impact is considered. The senior institutional official will collaborate with University Compliance to seek formal decommissioning approvals.

### **Archiving a University Policy:**

- University Compliance will work with University Archives to properly maintain the record.

**Policies that do not fit the criteria of a University policy, such as individual unit policies, should be vetted through the appropriate Dean or Director for approval to ensure consistent application and to avoid conflict with any University or unit policies. It is recommended that units use a similar policy review process as outlined in this document. Please contact the Office of University Compliance or refer to the Policy website, for assistance.**

Initial drafts of this document were adapted from the University of Vermont's *Adoption of University Policies* policy.

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Approved by President's Cabinet 2-11-15

Supersedes University Policy Protocol Approved by the President's Cabinet on October 12, 2011