

HOWARD UNIVERSITY POLICY

Policy Number: 400-001
Policy Title: FORMULATION AND ISSUANCE OF HOWARD UNIVERSITY POLICY - POLICY ON POLICIES
Responsible Officer: Senior Vice President and Secretary
Responsible Office: Office of the Senior Vice President and Secretary
Effective Date: April 27, 2010

HISTORY:

May 24, 2011 – addition of Office of University Communications, Howard University Hospital, Chief Information Officer, Series 900, composition of University Policy Council, and addition of an Exceptions section.

July 27, 2011 – edit to change Talent Management to Human Resources and add Chief HR Officer to UPC.

March 5, 2012 – Sections IV. C. and D. revised to conform to University organizational structure.

December 1, 2013 – Sections IV. C. and D. revised to conform to University organizational structure.

I. POLICY STATEMENT

- A.** Howard University shall have a process that formally addresses the formulation, approval, implementation, promulgation, dissemination, revision, interpretation, and monitoring-for-adherence of official University policies and procedures. The purpose of the University *Policy on Policies* is to seek to provide the University community with easily accessible and understandable policies that provide faculty, staff and students with clear and concise guidelines, transparency and clarity on how the University conducts business.

University policies are those that have institution-wide application, support the University's mission, impact a substantial portion of the University community, or emanate from authority delegated to the President by the Board of Trustees to manage the institution or comply with Federal and other regulations.

Persons responsible for writing, updating, and distributing University policies shall comply with the conditions and procedures that are outlined in this document. Contained herewith are the definition of University policy and the standardized policy format, which outlines the steps for formulating, approving, issuing, and amending policies and procedures.

- B.** Approved "University" policies are maintained on the University's policy website.

- C. Unit Policies and Procedures -- A School, College, Department or operating Unit may issue policies and procedures that relate to matters of interest only to that particular School, College, Department or operating Unit and/or that set forth procedures by which it shall carry out “University” policies. These shall be referred to generally as “Unit” policies and procedures.

“Unit” policies and procedures are not considered “University” policies and therefore are not governed by the procedures set forth in this policy. Unit policies shall be reviewed and approved by the appropriate Responsible Officer prior to adoption. Schools, Colleges, Departments or operating Units are required to use the standard policy format to encourage uniformity of form and appearance for policies and procedures throughout Howard University. These Unit policies and procedures shall be published and maintained on the website of the issuing School, College, Department or operating Unit. “Unit” policies and procedures may be hyperlinked to the relevant guiding University policy, however, these “Unit” policies and procedures are maintained by the responsible Department or Unit.

Unit policies and procedures shall not contradict or override University policies.

II. RATIONALE

University policies shall be developed or updated and made accessible to all relevant HU stakeholders and operating units in a timely manner to: 1) ensure the orderly, effective and efficient operation of the University; 2) ensure compliance with policy objectives; and 3) establish the accountability of operating units and individuals affected by each policy. University policies shall be developed and disseminated, kept current, and made accessible to all relevant operating units in a timely manner.

III. ENTITIES AFFECTED BY THIS POLICY

This policy applies to all University entities including the Howard University Hospital.

IV. DEFINITIONS

- A. Policy** - a governing principle formally approved and established to provide vision, guidance, assistance, and direction to the University community in the conduct of University or Unit affairs.
- B. Procedures** – statements that set forth the manner of implementing established policies through prescribed actions in order to ensure compliance with those policies.

C. University Policy Council (the “Council”) – the University Policy Council comprises the Officers of the University. Four members shall constitute a quorum to take action, provided that the quorum includes the Provost and Chief Academic Officer, General Counsel, Chief Operating Officer, Chief Financial Officer, Chief Human Resources Officer, and the Secretary.

D. Responsible Office – the University office responsible for the creation, promulgation, revision, interpretation, and monitoring-for-adherence of policies and procedures. The following offices are deemed Responsible Offices:

- Office of the President
- Office of Development and Alumni Relations
- Office of Human Resources
- Office of Student Affairs
- Office of the Chief Financial Officer
- Office of the Chief Operating Officer
- Office of the General Counsel
- Office of the Provost and Chief Academic Officer
- Office of the Secretary

E. Responsible Officer - the principal of the Responsible Office who is charged with carrying out the responsibilities of the Responsible Office, as presented in paragraph IV.D, including the implementation and oversight of policy administration. The Responsible Officer engages in the identification of existing University policies, recommends and submits new policies or revisions to existing policies, and recommends rescission of existing policies to the University Policy Council. The Responsible Officer shall not delegate the authority to perform as a Responsible Officer.

F. Structure and Organization of University Policies - Policies shall be assigned a number by the University Policy Council under one of the following series headings:

Series 100 – Academics and Research

Academic policies related to faculty, the Academy and its administration, and policies related to faculty, staff and student research, its funding and commercialization.

Series 200 – Administration, Facilities and Public Safety

Broad range of policies related to general administration, facilities, safety and environmental risk.

Series 300 - Business and Finance

Policies guiding the accounting for and management of the University’s assets, and other financial matters.

Series 400 – Governance, Risk and Compliance

Broad range of policies related to ethics and standards of conduct, liability mitigation, values and principles, and other institutional issues.

Series 500 – Human Resources/Talent Management

Policies pertaining to the employer-employee relationship for faculty and staff.

Series 600 – Student Life

Broad range of policies related to all facets of student life from admission through graduation, including athletic program policy.

Series 700 – Information and Technology

Broad range of policies related to information and technology management.

Series 800 – External Relations and Fundraising

Policies related to managing relationships with groups, organizations and other entities external to Howard University, including alumni relations government relations and lobbying.

Series 900 – Clinical

Range of policies related to the Health Sciences Enterprise, including the Howard University Hospital and the Faculty Practice Plan.

V. POLICY PROCEDURES

A. Policy Ownership

New and existing policies shall be assigned to a Responsible Officer. The Responsible Officer shall perform the responsibilities noted in paragraph IV.E. The Responsible Officer shall also be accountable for initiating, amending and recommending rescission of policies.

B. Policy Format

University policies shall be written and maintained in a standardized format. The standardized University policy format is provided as “Howard University Policy Format” at the end of this document.

C. Policy Preparation Process

Proposed or revised policy shall be prepared in accordance with the prescribed format and submitted to the Responsible Officer for consideration and appropriate action. The Responsible Officer shall provide for substantial review by all key stakeholders prior to submission to the University Policy Council. The Council may require the Responsible Officer to appear before the Council to discuss the rationale for proposing, revising or rescinding policy.

D. Policy Compliance Review and Approval Process

The policy shall be reviewed for compliance with University By-Laws and Board policies and procedures, and consistency with previous Board actions. Once the policy is vetted, reviewed, and accepted by the Council, the Council shall forward the proposed or revised policy to the President (or the Board of Trustees) if required, for final approval. Determination of final approval authority will be guided by the University By-Laws and the delegation of authority as provided therein.

E. Policy Dissemination Process

Upon final approval by the appropriate authority, the new or revised policy shall be posted on the University's policy website; information announcing the posting shall be generally disseminated to the University community. Other appropriate means of disseminating policies may be used to complement the posting of the policy on the University's policy website.

F. Sunset Provision

Only policies managed via this process shall be considered "University" policies.

In the first three years following Presidential approval of the *Policy on Policies*, all Responsible Officers and University staff, authorized to support implementation of the *Policy on Policies*, shall engage in a comprehensive, enterprise-wide review of policies to identify existing "University" policies. All identified "University" policies shall be compiled in a database. Those policies that have not been updated in five years or more shall be assigned a sunset date. All such "University" policies shall expire if not presented to the University Policy Council for review prior to the sunset date. This proviso does not preclude the formulation and promulgation of new policies according to the other provisions of this policy.

G. Comprehensive Policy Review

To ensure policy relevance and effectively manage risk, the Responsible Officer shall routinely initiate a review of the University policies within the Officer's purview. Such review shall occur within three to five years following University Policy Council review and approval. In cases where delayed review may result in increased institutional risk, comprehensive policy review shall be conducted more frequently.

H. Location of Policies

The official repository of University policies is the Office of the Secretary. Official University policies shall be posted on the Howard University website. School, College, Department and operating Unit web pages may not display copies or versions of official University policies, but Schools, Colleges, Departments and Units are encouraged to provide a hyperlink to the relevant official University policy website.

I. Policy Exceptions

All University entities are expected to comply with University policy. If an exception to the application of a proposed University policy is anticipated, it is incumbent upon the Responsible Officer to delineate all exceptions within the context of the proposed policy. Should a policy exception be required after a policy is promulgated, it is incumbent upon the Responsible Officer to establish a process for granting the exception and provide a justification to the University Policy Council.

VI. INTERIM POLICIES

The President is empowered to issue interim policies in situations where a University policy shall be established in a time period too short to permit completion of the process delineated in this policy. Each interim policy shall remain in force for up to six months from the date of issuance.

VII. SANCTIONS

Failure to follow this policy or any other approved University policy may result in disciplinary action, including termination of employment.

VIII. HYPERLINK

www.howard.edu/policy