Howard University Policy

Policy Number: 400-001
Policy Title: FORMULATION AND ISSUANCE OF HOWARD UNIVERSITY POLICY (Policy on Policies)
Responsible Officer: Secretary
Responsible Office: Office of the Senior Vice President/Secretary
Effective Date: April 27, 2010

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, and 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 must 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. Only approved “University policies” shall appear on the University’s policy website. Departmental and Unit policies and procedures may appear on departmental web pages but not on the University’s policy web page and may not conflict with official University policies and procedures.

C. Unit Policies and Procedures -- A School, College, Department or operating Unit may issue policies or 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 the 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 must be reviewed and approved by the cognizant 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 the institution. 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 shall not contradict or override University policies.

II. RATIONALE

University policies must 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 must 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 excluding 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 Committee (the “Committee”)** – the group designated and appointed by the President and composed of the membership of the University Operations Committee, the General Counsel, Secretary and Internal Auditor.

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 the Provost and Chief Academic Officer  
Office of the Executive Vice President and Chief Operating Officer  
Office of the Senior Vice President - Chief Financial Officer and Treasurer  
Office of the Senior Vice President for Strategic Planning, Operations and External Affairs  
Office of the Senior Vice President and Executive Dean for Health Sciences  
Office of the Vice President for Research and Compliance  
Office of the General Counsel  
Office of the Senior Vice President and Secretary  
Office of the Vice President for Development and Alumni Relations  
Office of the Vice President of Student Affairs

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 Committee. The Responsible Officer shall not delegate the authority to perform as a Responsible Officer.

F. **Structure and Organization of University Policies** - Policies will be assigned a number by the University Policy Committee 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 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**  
Broad range of policies emanating from the authority of the Board of Trustees or authority delegated by the Board to the President related to the use of institutional resources to implement or comply with a University policy.
Series 500 - Human Resources and 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.

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.

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 must be prepared in accordance with the prescribed format and submitted to the Responsible Officer for consideration and appropriate action. The Responsible Officer must provide for substantial review by all key stakeholders prior to submission to the University Policy Committee. The Committee may require the Responsible Officer to appear before the Committee to discuss the rationale for the proposed or revised 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 Committee, the Committee shall forward the proposed or revised policy to the President or the Board of Trustees, if required, for final approval. Informed by the University
By-Laws and Board policies and procedures, the University Policy Committee shall decide which policies require Board of Trustees approval.

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 is 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 presented to and approved by the University Policy Committee 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 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 Committee 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 Committee 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.
VI. INTERIM POLICIES

The President is empowered to issue interim policies in situations where a University policy must 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. WEBSITE ADDRESS

www.howard.edu/policy
Howard University Policy Format

**Policy Number** - the number in the applicable series assigned by the University Policy Committee, followed by a sequential number. The policy number shall be assigned by the University Policy Committee.

**Policy Title:** A descriptive name that succinctly, but clearly designates the subject matter.

**Responsible Officer:** Self-explanatory.

**Responsible Office:** Self-explanatory.

**Effective Date:** The date on which the requirements of the policy are implemented and enforceable. If a revised or updated policy is being issued, then the dates of the original policy and its revisions or updates shall be shown in chronological order. The dates shall be displayed in the following format -- XX/XX/XXXX (Original Effective Date: XX/XX/XXXX; prior updates: XX/XX/XXXX, XX/XX/XXXX, etc.)

The subject matter of the policy document shall start two lines below the heading material, shall be capitalized and bolded and preceded by Roman numerals.

I. **Policy Statement**
   - **Background**
     - New or updated policy
     - Problem/issue to be addressed
   - **Conformance with University’s governance goals**
   - **Institutional Impact**
     - Financial cost
     - Cultural, systemic, procedural changes
   - **Other key issues**

II. **Rationale**
   - **Reason for policy**
     - Legal, regulatory, financial, accreditation or other context
     - Advantages
     - Risk avoidance

III. **Entities Affected by this Policy**
   - All stakeholders and stakeholder perspectives
   - How stakeholders were engaged in formulation process

IV. **Definitions**
V. Policy Procedures
- How will policy be implemented and by whom
- Required communications
- Required training
- Implementation timetable
- Policy effectiveness evaluation indicators

VI. Interim Policies

VII. Sanctions

VIII. Hyperlink (University Policies) or Website Address (Unit Policies)