

## **Adoption of University Policies**

### **Policy Statement**

The University wishes to ensure that its community has ready access to sound, clear, and current governing Policies. Toward that end, University Policies will be adopted in a manner consistent with University governance channels; approved and monitored by authorized University officials; maintained centrally on-line at a University website; written consistently with institutional objectives and applicable external requirements; and presented in a comprehensible and common format.

### **Reason for the Policy**

The Policy is designed to assist the University in serving its mission and achieving its goals; maintaining accountability on the part of responsible officials and University community members; and providing clear, concise, and current guidance on standards, expectations, and requirements.

### **Applicability of the Policy**

The standards and procedures outlined in this Policy apply to University administrators originating, approving, issuing, or revising a University Policy. There are many other important policies applicable to students, faculty, or staff that do not meet the criteria for University Policies set forth below. Such policies include, without limitation, those issued locally by Colleges, Schools, academic, and administrative departments and affecting only the personnel or operations of such schools and departments. Such are not University Policies subject to this document. University-wide policies, however, supersede those of other departments regarding issues of University-wide application and in the event of a conflict between such policies.

### **Definitions**

*University Policy:* a university policy guides University faculty, staff, and students in their pursuit of institutional goals and in their relations with the campus community. It may also establish standards for campus visitors and service providers. A University Policy describes principles, requirements, and restrictions; and establishes standards, rights, and responsibilities that apply generally throughout the University and use of its resources.

Thus, a University Policy is defined by the following criteria:

- It applies generally throughout the University or major components of the University.
- It facilitates compliance with internal or external standards or requirements, thus advancing the University's mission and reducing institutional risk.
- It requires action or states constraints, articulates desired outcomes, and typically contains notice of consequences for non-compliance.

### **Procedures for the Adoption of University Policies:**

The following steps apply in the following sequence to the Adoption of University Policies:

#### Step One: Analysis, Approval to Proceed & Drafting

- A. The senior institutional official, typically a Vice President or a member of the Provost's office, having authority and responsibility for the program, activity, conduct, or endeavor to which a Policy applies or would apply ("responsible official"), should initially confirm the need for the Policy in light of external standards and requirements, institutional objectives, or best practices. Although responsible officials may delegate tasks relating to policy development or administration to subordinate officials, the policy initiative and final Policy must ultimately be approved by the responsible official. The first step is thus for the policy initiator to ensure that he or she is authorized to proceed. Questions regarding institutional jurisdiction, authority, or responsibility should be directed to the General Counsel.
- B. The responsible official will then notify the Policy Approval Committee, which includes the President's Chief of Staff (who shall serve as Chair of the Committee), the General Counsel, and the Chief Financial Officer, of the plan to develop the policy.

#### Step Two: Development & Approval for Submission

- A. The responsible official will designate a responsible office ("responsible office") as the office that develops and administers the Policy and any associated procedures, and is accountable to the responsible official for accurate formulation and timely updating of the Policy document under the direction of the responsible official. In developing the Policy, the responsible office must consult with the Office of the General Counsel regarding legal requirements or considerations applicable to the Policy as well as for review and approval of the proposed Policy.
- B. The responsible office will submit the draft Policy to the responsible official for review. If a proposed Policy involves matters within the purview of more than one responsible official, the responsible official will ensure consultation and coordination between responsible officials. The responsible official will also confer with University governance groups (e.g., relevant committees), University officials with expertise in the subject matter of the policy or whose operations will be significantly impacted by the policy, or as otherwise appropriate and desirable.

#### Step Three: Submission for Approval

- A. Within 60 days of the responsible official notifying the Policy Approval Committee of the plan to develop the policy, the responsible official will forward a draft of the policy to the Policy Approval Committee for review and approval. If the Policy Approval Committee approves the policy, but the Committee determines that the Policy also requires Presidential approval, the Policy Approval Committee will forward the policy to the President. If the General Counsel determines that University governance also requires approval of the policy by the Board of Trustees or other governing body, the responsible official will submit the policy proposal to such board or governing body for approval.
- B. The Policy Approval Committee will return the duly approved policy to the responsible official, with a copy to the Office of the General Counsel. The responsible official will

make recommendations to the Policy Approval Committee as to how the policy should be publicized, which must be approved by the Policy Approval Committee.

**Step Four: Implementation and Promulgation**

The responsible official must also publicize and distribute a copy of the policy to the University community members to whom it applies and to offices that may have implementation responsibilities. Copies of all duly approved policy documents will be maintained in the Office of the General Counsel.

***Revising a University Policy:*** Responsible officials are required to oversee the periodic review and revision of policies relating to their units and areas of responsibility. Revisions must be submitted and approved by the Policy Approval Committee.

***Retirement of Policies:*** As policies are superseded by new ones or revoked by responsible officials, such policies will be retired and archived by the Office of the General Counsel. Copies of retired policies will be maintained in accordance with record retention requirements or guidelines.

**Contacts**

Questions related to the daily operational interpretation of this policy should be directed to:

Andrew J. Lauer, Vice President for Legal Affairs, Secretary, and General Counsel

2495 Amsterdam Avenue, Belfer Hall 1001, New York, NY 10033

Phone: (212) 960-0051

Fax: (212) 960-5346

Email: [andrewlauer@yu.edu](mailto:andrewlauer@yu.edu)

The official responsible for the interpretation and administration of this policy is the General Counsel.

# Yeshiva University Policy Template

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## **Title of the Policy**

## **Policy Statement**

Keep the policy statement as brief and understandable as possible. Simply worded policy statements are more easily understood and therefore are more effective. If further explanation of the policy statement is needed, use the Policy Elaboration section.

A policy describes principles, requirements, and restrictions, and establishes standards, rights and responsibilities that apply generally throughout the University or major components of the University.

*A University Policy is defined by the following criteria:*

- *It applies generally throughout the University or major components of the University.*
- *It facilitates compliance with internal or external standards or requirements, thus advancing the University's mission and reducing institutional risk.*
- *It requires action or states constraints, articulates desired outcomes, and typically contains notice of consequences for non-compliance.*

## **Reason for the Policy**

This section should include a brief statement as to why the University is adopting the policy. This section should include comments on the risk to the institution that underlies this policy.

## **Applicability of the Policy**

This section should identify the segment of the University community that the policy applies to. (As examples, all employees, faculty, officers, staff, students, union members, etc.)

*The standard language format for this section is as follows (as an example):*

*This policy applies to all University faculty, staff and students*

## **Policy Elaboration**

This section is used to elaborate on the policy statement above. As an example, this section can include clarification of the policy statement or provide examples of different scenarios.

## **Definitions**

This section shall consolidate the technical or significant terms contained within the policy and define these words within the context of the policy's intent. The terms should be listed alphabetically.

## **Procedures**

The procedures are the methods established for the implementation of the policy. If a policy is "what" the institution does, its procedures are "how" it carries out its policy. Present the procedures related to the policy in this section.

## **Forms**

All forms related to the policy are to be listed here. If the forms are web based, this section will link to the form.

## **Contacts**

This section should specify the contact person for operational questions about the policy and the responsible official for the policy, generally a vice president will be the responsible official.

*The standard language format for this section is:*

*Questions related to the daily operational interpretation of this policy should be directed to:*

*(person's name, title and office)*

*xxx-xxxx*

*email address*

*The {title and office} is the official responsible for the interpretation and administration of this policy.*

## **Related Documents / Policies**

Related documents / policies that the University community should know about should be listed in this section.

## **Effective Date / Revision Date**

This will be the date the policy is approved by the President or other governing body.