

# **UNIVERSITY OF HAWAI‘I AT MĀNOA**

## **Guidelines for Establishing Campus Policies and Procedures**

**(Rev. 07.23.2021)**

### **PURPOSE**

To establish a formal process for developing, approving, and promoting campus-wide policies and procedures.

Campus policies and procedures will be accessible to the campus community and will be:

- 1) Presented in a standard format
- 2) With concurrence from the Provost, formally approved by the Campus CEO
- 3) Centrally maintained and updated
- 4) Published and disseminated in designated and authorized publications and web-sites

Established campus policies and procedures will:

- 1) Be easy to find, read and understand
- 2) Help the Campus accomplish its mission
- 3) Maintain accountability
- 4) Provide faculty, staff and students with clear, concise tools
- 5) Clarify how the Campus does business

### **DEFINITIONS**

**POLICY:** A Campus policy is a guiding principle used to set direction in an organization and satisfies all of the following criteria:

- 1) articulates desired outcomes and mandates actions and constraints to achieve those outcomes
- 2) promotes operational consistency and efficiency
- 3) has campus-wide application
- 4) changes infrequently and sets a course for the foreseeable future
- 5) ensures compliance with applicable laws, rules and regulations, and Board of Regents (BOR) and Executive policies and Administrative (APM) procedures
- 6) enhances the Campus' mission or reduces institutional risk
- 7) requires review and recommendation by a Responsible Executive or Campus CEO
- 8) with concurrence from the Provost, final approval by the Campus CEO

**PROCEDURE:** A Campus procedure is a series of required steps to be followed as a consistent approach providing the framework for implementing policies, i.e., explains how to do something.

**GUIDELINE:** Provides suggested methods for accomplishing tasks governed by the policy and implemented by procedure.

## **RESPONSIBILITIES**

Responsible Office (RO) → The office(s) that will develop, draft and administer a particular campus-wide policy under a Responsible Executive and will be accountable for the policy's accuracy, interpretation, and update.

- Develops and drafts campus-wide policies and/or procedures in responsible areas where policies/procedures are required but are not covered by BOR and Executive policies and Administrative procedures.
- Ensures that statutorily required consultations with the exclusive bargaining representatives are initiated prior to the final review phases in the policy and procedure development process for those matters affecting employee relations, including those policies and procedures that are, or may be, the subject of a rule adopted by the employer or any director in accordance with Chapter 89-9(c), HRS.
- Ensures campus-wide policies and procedures in responsible areas are consistent with BOR and Executive policies and Administrative procedures, Administrative rules, collective bargaining agreements, laws and other legal requirements and federal and state regulations.
- Dean/Director supports and recommends new or revised policies/procedures. Dean/Director signature required on *Proposal to Add New or Change Existing Policy and Procedures* (Attachment B).
- Facilitates internal review and comment by appropriate campus governance groups (Associated Students of the University of Hawai'i, Graduate Student Organization, Mānoa Faculty Senate, Mānoa Staff Senate, Kualii Council) and other campus offices (e.g., HR office for UHM, Business and Finance Office for UHM, Legal Affairs/University General Counsel, and other system and campus units) that may be affected or will be responsible to implement and execute any part of the policy and procedures.
- Updates and clarifies information about campus-wide policies and procedures for which they are responsible.
- Promotes compliance with policies and procedures for which they are responsible through interpretation, training, and other means.
- Serves as primary contact to help members of the campus community with questions about the policy.
- Eliminates policies which are no longer applicable.

Responsible Executives (RE) → The Campus CEO, Provost and Vice Provosts

- Sponsors campus-wide policies for their respective units and facilitates review and comment by appropriate constituents (Campus governance groups, Mānoa Cabinet and Provost's Council, system-wide, campus-wide and external groups) and statutorily required consultation with appropriate unions.
- Designates proper RO where necessary.
- Works with the RO in the development and drafting of the policy and procedures, as necessary.

- Communicates and obtains feedback from other Responsible Executives (RE) on policies/procedures being reviewed to promote collaboration where possible and to avoid duplication.
- Facilitates statutorily required consultations with exclusive collective bargaining representatives on matters affecting employee relations, including those policies and procedures that are, or may be, the subject of a rule adopted by the employer or any director in accordance with Chapter 89- 9( c), HRS.
- Convenes Policy Advisory Committee (PAC), as appropriate.
- Recommends or does not recommend campus-wide policies and procedures generated by their units.

Campus CEO:

- Retains final authority for approving campus-wide policies and procedures.

Provost:

- Concurs or not concurs on proposed campus-wide policies and procedures.

Chief Business Officer (Mānoa Office of Business and Finance)

- Maintains the official campus-wide policies and procedures web site.
- Disseminates new or revised campus-wide policies and procedures via campus listserv.
- Maintains an archive of campus-wide policies and procedures.

Policy Advisory Committee (PAC):

- An optional committee which can be convened by the Responsible Executive (RE) to serve in an advisory capacity on proposed policies that require further review and discussion.
- Reviews proposed campus-wide policies for their impact on the full range of campus programs and operations.
- Ensures that policies and procedures are necessary, understandable and meet the established criteria.
- Provides comments and recommendations, if any, to RE for action as appropriate.

Executives, faculty, staff, and students:

- Accepts responsibility for knowing and following applicable campus-wide policies and procedures.

## ADMINISTRATIVE POLICY DEVELOPMENT

Flow chart: Procedures for Developing, Approving and Communicating Campus-Wide Policies. (Attachment A).

### Policy Development:

Every proposed campus-wide policy must be sponsored by a Responsible Executive (RE). The RE works with the Responsible Office (RO) to write the policy and guide it through the steps described below.

The RO completes form entitled *Proposal to Add New or Change Existing Policies and Procedures* (Attachment B) addressing purpose, applicability, definitions, responsibilities, procedures and references of the proposed policy. The RO must assure that adequate consultation has occurred and that appropriate legal and compliance issues have been addressed.

A campus program/unit/group may present a recommended draft policy to their respective RE for review. The RE will then designate an appropriate RO to ensure proper forms are completed and to guide the proposed policy through the process outlined in Attachment A.

### Policy Format:

For new policies and procedures, an example of the standard format to be used can be found under Policy Format, located after Attachment B.

The numbering for policies and procedures will be as follows:

- I.
  - A.
  - B.
    - 1.
    - 2.
- II.
  - A.
  - B.
    - 1.
    - 2.
- III.
  - A.
  - B.

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Font Size = 12

For revisions to existing policies and procedures, create a “Ramseyer Version” of the policy/procedure by using the current policy/procedure as a base to reflect recommended changes as follows:

- Deletions in [brackets]
- Additions underlined

In addition to the above Ramseyer Version, prepare a Final Version of the policy/procedures (a clean copy of the recommended policy/procedures) for review and recommendation by the appropriate RE and campus groups.

### Policy Approval:

After appropriate consultation and recommendation by the RO’s Dean/Director, the RE reviews and either recommends or not recommend the proposed policy for concurrence by the Provost and approval by the Campus CEO.

The final authority for approving campus-wide policies rests with the Campus CEO.

Policy Advisory Committee (PAC) Review:

The Policy Advisory Committee (PAC) is convened by the RE when deemed necessary to address concerns or questions on proposed policies that require further evaluation. Membership will consist of one (1) representative from the Chief Business Office, one ( 1) representative from the human resources office for matters affecting employee relations, one (1) representative from each RE unit, and selected campus representatives. Based on the nature of the policy, the designated RE will determine the appropriate campus representatives.

The chief responsibility of the PAC is to review proposed campus-wide policies and procedures for their impact on the full range of campus programs and operations.

The PAC serves in an advisory capacity to the Campus CEO, Provost and Vice Provosts. Under the direction of the RE, the RO will follow-up and respond to questions the PAC may have, to carry out the suggestions (i.e. additional review by other campus constituencies, revisions etc.) offered by the PAC and to report back to the RE on its response and findings.

Policy Dissemination:

Once a policy has been approved by the Campus CEO, the RO transmits an electronic version (word doc or pdf) of the policy to the Office of Mānoa Business and Finance for e-mail notification to the campus-at-large and for posting on the official campus-wide policies and procedures website. This website serves as the repository for all official campus-wide policies and procedures.

If the RE wishes to obtain feedback prior to submittal to Provost and Campus CEO, the Chief Business Officer will post draft versions of policies and procedures to the website for campus-wide comment.

Policy Interpretation:

The RO designates an individual to serve as a contact for questions about the policy. This contact information must be kept current by the RO with any changes electronically sent to the Chief Business Officer. It is expected that members of the campus community seeking clarification on policies will receive prompt, courteous, and clear responses by the respective ROs.

The RO is responsible for implementation, communication, and training of approved policies and procedures under their charge.

Policy Maintenance:

The RO is responsible for keeping the policy current and in compliance with applicable laws, rules and regulations and Board of Regents (BOR) and Executive policies and Administrative (APM) procedures. A review should take place at least once every three (3) years.

The Chief Business Officer is responsible for maintaining the official campus-wide policies and procedures website.

## **REFERENCES (Direct Links)**

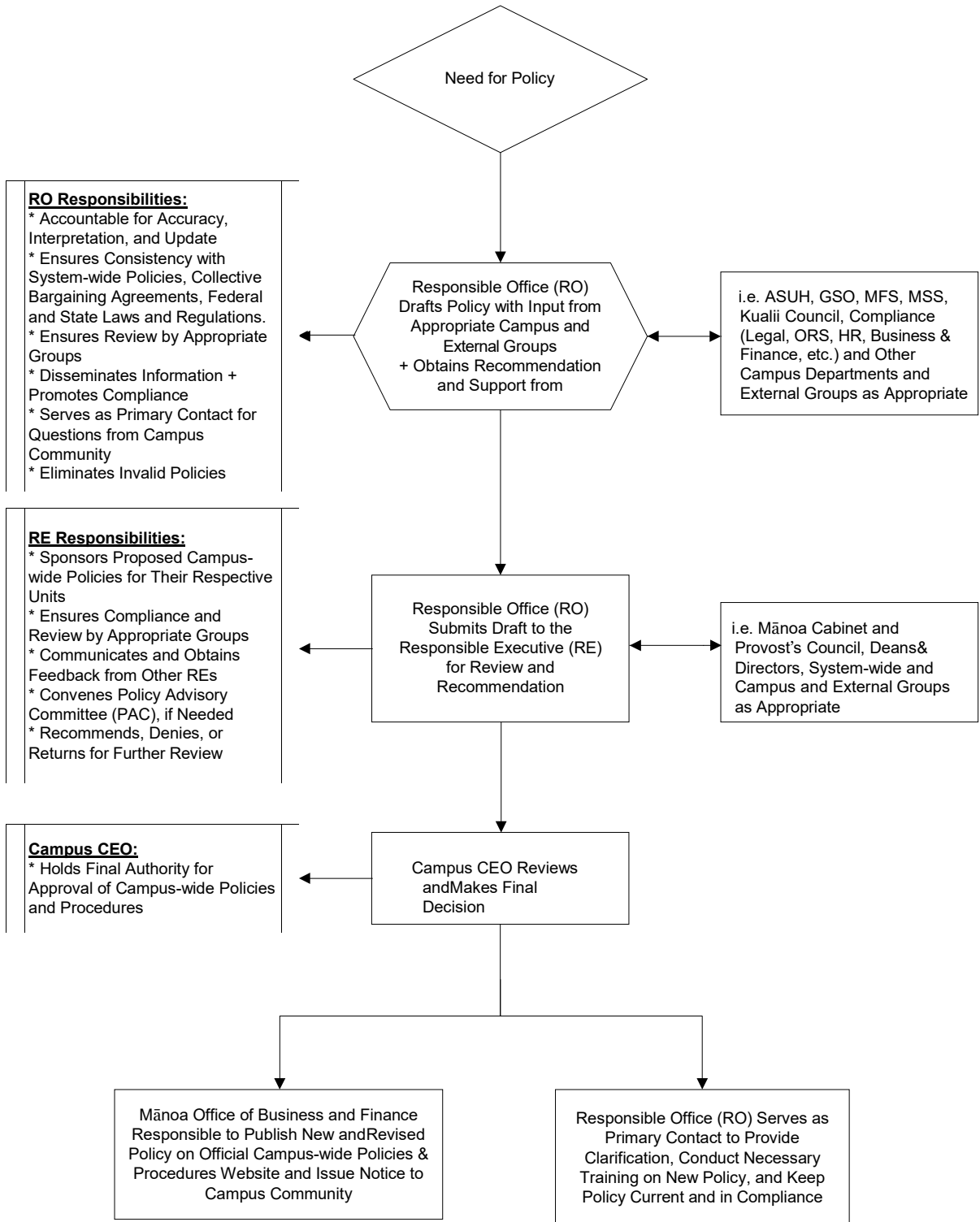
BOR Section 1-10: Regents' Policy on Faculty Involvement in Academic Decision Making and Academic Policy Development → <http://www.hawaii.edu/offices/bor/policy/borpch1.pdf>.

[Executive Policy 2.201, System wide Policies and Procedures](#)

[Administrative Procedure 2.201, New or Amended Policies and Procedures](#)

# Attachment A: Flow Chart

## University of Hawai‘i at Mānoa Procedures for Developing, Approving and Communicating Campus-wide Policies



**Attachment B: Cover Page**

**PROPOSAL TO ADD NEW OR CHANGE EXISTING POLICY AND PROCEDURES**

**Select One:**

**ADD NEW**

1. Complete Attachment B (this page)
2. Complete Additional Information (page 3)
3. Attach proposed policy and procedures for review and approval

**CHANGE EXISTING**

1. Complete Attachment B (this page)
2. Complete Additional Information (page 3)
3. Attach “Ramseyer Version” and “Final Version” as specified in the Guidelines for Establishing Campus Policies and Procedures

**DELETE EXISTING**

1. Complete Attachment B (this page)
2. Attach justification for deletion

**POLICY TITLE:**

**Responsible Office Information**

**NAME/TITLE:**

**DEPARTMENT /SCHOOL/COLLEGE/OFFICE:**

**TELEPHONE:**

**E-MAIL:**

**Responsible Executive**

**NAME/TITLE:**

**TELEPHONE:**

**E-MAIL:**

1. Recommend / Not Recommend:

\_\_\_\_\_

Dean/Director

\_\_\_\_\_

Date

Recommend / Not Recommend:

\_\_\_\_\_

Vice Provost (if under purview of)

\_\_\_\_\_

Date

2. Recommend / Not Recommend:

\_\_\_\_\_

Provost

\_\_\_\_\_

Date

3. Approve / Disapprove:

\_\_\_\_\_

Campus CEO

\_\_\_\_\_

Date

**POLICY NO / DATE:** To be assigned by the Mānoa Office of Business and Finance upon receipt of approved proposal

**Approved UH Mānoa policies and procedures shall be submitted to the Mānoa Office of Business and Finance for posting on campus website and notice to campus community.**

**The Responsible Office shall conduct necessary education/training and ensure policy and procedure remains current.**



## **POLICY FORMAT**

Prepared by: (Department/Office)

Revision #

Date:

## UNIVERSITY OF HAWAI‘I AT MĀNOA

### **POLICY TITLE:**

- I. **POLICY STATEMENT** (A well-articulated statement that is the governing principle, plan, or understanding that guides the action. It states what we do, but not how we do it. The policy statement should be brief and is supplemented by the information within the rest of this form.):
- II. **PURPOSE** (Brief summary to inform readers why the policy was issued and what it is designed to ensure. A concise summary of the objectives of the policy.):
- III. **APPLICABILITY/SCOPE** (Identify who this policy would affect.):
- IV. **DEFINITIONS** (Unique terms that, by being defined, add to the reader’s understanding of the policy.):
- V. **RESPONSIBILITIES** (Identify name and title of person(s) who will be responsible to execute this policy.):
- VI. **PROCEDURES** (Describe how the policy is to be implemented. The action steps included here should clearly and accurately describe the process and responsibilities for accomplishing tasks governed by the policy. Procedures are the required process for the specific situation. As appropriate, include guidelines, forms and associated instructions that directly support the policy. Guidelines provide suggested methods for accomplishing tasks governed by the policy.):
- VII. **REFERENCES** (Provide links to the sources upon which the policy section is based, including federal and state laws, system-wide policies and procedures or other relevant references. In addition, list other UH policies and procedures that are related or affected by this policy.):
- VIII. **HISTORY** (Record of past practices regarding this issue, if any.):

## **ADDITIONAL INFORMATION**

**Please answer the following questions as thoroughly as possible for user's reference:**

- 1) What impact will this new or revised policy/procedure have on other UHM campus programs/departments/offices?
  
- 2) What steps were taken to ensure review and comment by internal campus groups, statutorily required consultation occurred with the exclusive bargaining representatives, and review by other appropriate constituents? (who reviewed, what concerns were raised, how were these concerns addressed, etc.)?
  
- 3) Does this policy/procedure have a financial impact? If so, how?
  
- 4) Does this policy/procedure affect space (classroom, research, etc.) on campus? If so, how?
  
- 5) Are there safety measures that need to be implemented prior to execution? If so, please specify. Who will be responsible to ensure safety standards?
  
- 6) What steps will be taken to ensure that proper clarification and training is provided to the appropriate campus representatives?
  
- 7) What steps will be taken to ensure update and compliance of this policy?

**Policy Advisory Committee:**

Comments and Recommendations: