



Item: SP: A-2

## STRATEGIC PLANNING COMMITTEE

Wednesday, February 20, 2008

**SUBJECT: GUIDELINES FOR UNIVERSITY POLICY DEVELOPMENT**

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### PROPOSED BOARD ACTION

The university administration seeks approval from the Strategic Planning Committee for the acceptance of the "Guidelines for University Policy Development" document. This document presents a plan for developing university wide policies and procedures.

### BACKGROUND INFORMATION

When the university was opened, the first President initiated a series of documents that set policy. These documents were called Presidential Memorandums. As the university grew the practice of issuing Presidential Memorandums continued.

Last year, the President formed a workgroup to review the presidential memorandums to determine their current relevance as well as to study the best form of university-wide policy development. The workgroup evaluated each of the 95 presidential memorandums to determine their relevance for today. A large number were found to be in need of review, update and revision. Others were found to be obsolete or already covered under other departmental policies or University Regulations and have since been rescinded by the President.

As part of the review and revision process, the workgroup began to develop a consistent format to follow for University policy revisions and implementation. Today we ask the Board to review and approve the proposed guidelines for University Policy Development.

The Guidelines grant final authority to the University President for review and approval of the policies, with the exception of the naming of institutional facilities, building, colleges, schools or other institutional elements. The University Board of Trustees would have final authority over all naming opportunities and over all amendments to the Guidelines themselves.

Nothing in the guidelines or policy development process would usurp or diminish any authority or policies of the University Board of Trustees. In the event of a conflict between a University policy and a UBOT policy, the UBOT policy would prevail.

#### **IMPLEMENTATION PLAN/DATE**

The workgroup has been meeting to review and consider potential revisions to current presidential memorandums and to begin preliminary consideration of new University policies. Once the BOT has approved the guidelines, the workgroup will be constituted as a committee and will begin implementing the proposed guidelines accordingly.

#### **FISCAL IMPLICATIONS**

None. This is a purely administrative task.

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**Supporting Documentation:**

*Draft Guidelines for University  
Policy Development*

*CHART: Status of Current  
Presidential Memoranda*

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**DRAFT 2/13/08**

<b>SUBJECT:</b>  Guidelines for University Policy Development	<b>Effective Date:</b>	<b>Policy Number:</b>	
	<b>Supersedes:</b>	<b>Page</b> 1	<b>Of</b> 7
	<b>Responsible Authority:</b> Chief of Staff		

**I. INTRODUCTION:**

The Florida Atlantic University Policies and Procedures Manual includes university-wide policies and procedures.

Florida Atlantic University (“University”) policies and procedures should be organized and drafted using a standard format as outlined by this policy. The University Policies and Procedures Review Committee constitutes the principal body for reviewing, updating and managing University policies and procedures. Policy-initiating authorities may suggest policies and procedures to the University Policies and Procedures Review Committee. All policies and procedures require review by the University Policies and Procedures Review Committee, the Executive Committee and final approval by the President prior to implementation and/or inclusion in the manual. Approval of and amendments to this “Guidelines for University Policy Development” policy and any University policies pertaining to the naming of institutional facilities, buildings, colleges, schools or other institutional elements shall also require approval by the Florida Atlantic University Board of Trustees. Final authority and approval over University policies and procedures rests with the President.

**II. APPLICABILITY/ACCOUNTABILITY:**

These guidelines on University policies and procedures are applicable to all members of the University community.

The University Policies and Procedures Manual includes only those policies and procedures that are generally applicable to more than one college or unit of the University. Matters pertaining only to the internal procedures of a given college or unit are not within the scope of the manual or this policy and must be obtained from the specific college or unit. However, in the event of an inconsistency between a provision in a college or unit policy and a provision in a University policy or regulation, the University policy or regulation shall prevail.

### **III. POLICY STATEMENT:**

Florida Atlantic University is governed by state and federal statutes, regulations, rules and policies of the Florida Atlantic University Board of Trustees and Florida Board of Governors, and other applicable laws and collective bargaining agreements. However, there are many occasions where such authorities do not provide specific guidance or do not offer procedures or implementation directives necessary for efficient University operations. Where this occurs, the University must adopt policies and procedures to dictate and guide the operations of the University.

This policy establishes guidelines for the creation, issuance, review, and publication of policies at Florida Atlantic University; ensures consistency in policy creation and implementation; and centralizes policies for ease of reference, application, and enforcement. To the extent that there is a conflict between any University policy and procedure and a state and federal statute, regulation, rule or policy of the Florida Atlantic University Board of Trustees or Florida Board of Governors or other applicable law or collective bargaining agreement, the state and federal statute, regulation, rule or policy of the Florida Atlantic University Board of Trustees or Florida Board of Governors or other applicable law or collective bargaining agreement will prevail.

The Florida Atlantic University Policies and Procedures Manual is the official repository of University policies and procedures. It may be reviewed in the Office of the President or online at <http://www.fau.edu/president>. Having an official policies and procedures manual for the University ensures that University-level policies and procedures will be consistent and subject to appropriate review before implementation.

The President, Executive Committee, General Counsel, and University Policies and Procedures Review Committee are the University's policy-initiating authorities.

The University Policies and Procedures Review Committee and the Executive Committee must give preliminary review to all University policies and procedures. The President must give final approval to all University policies and procedures. The Florida Atlantic University Board of Trustees must also give final approval to this "Guidelines for University Policy Development" policy and any University policies pertaining to the naming of institutional facilities, buildings, colleges, schools or other institutional elements, and all amendments thereto. University policies and procedures should be formulated and drafted according to a template to ensure consistency and organized to ensure ease of reference. Specific implementation directives are provided in Section V below.

### **IV. DEFINITIONS:**

*Executive Committee.* Chaired by the University President, the Executive Committee consists of senior administrators reporting directly to the President who are individually and collectively responsible to guide a shared vision and lead institutional operations for the advancement of the University.

*Policy.* A statement of management philosophy or practice established to provide direction and assistance to the University community in the conduct of University

business or activities. University policies apply to all units, departments, or divisions of the University with respect to their operations at the University. Policies must not conflict with statutes, regulations, or other laws applicable to the University.

*Procedure.* A statement that prescribes categories of action applicable to all units, departments, or divisions with respect to their operations at the University, to be taken to conform to established policies, allowing for the orderly and consistent implementation of policies.

*University Policies and Procedures Review Committee.* The committee designated and appointed by the President to act as the central body for reviewing, updating, and managing University-wide policies. This committee will include the Chief of Staff, the General Counsel, the Vice Presidents or their designees, a representative of the faculty, and a representative of the student body. The Chief of Staff serves as the chair of this committee.

## **V. PROCEDURES:**

### **A. Initiation of New Policies and Procedures**

Initiation of new policies and procedures occurs when the need for a new policy and procedure is identified by the President, the Executive Committee, the General Counsel, or a representative of the University Policies and Procedures Review Committee.

- (1) Working with a representative on the University Policies and Procedures Review Committee, the appropriate Vice President or General Counsel, or their designees, oversees the creation of a draft of the policy and procedure, or revision thereof, following the guidelines described in Subsection C below. If a policy and procedure falls within more than one section of the University Policies and Procedures Manual, any affected unit may assume the responsibility for drafting and reviewing the policy and procedure. The individual who sponsors and oversees the drafting a new or revised policy and procedure is the *initiating authority*.
- (2) When the initiating authority has finished drafting the policy and procedure, that draft should be submitted to the University Policies and Procedures Review Committee for review and editing. The policy will be placed on the next available agenda of the University Policies and Procedures Review Committee, and the initiating authority or designee will be invited to present the policy to the committee. The initiating authority should be prepared to answer questions regarding the policy
- (3) When the committee feels that the proposed policy and procedure is in an acceptable form, the chair of the University Policies and Procedures Review Committee will send a copy of the proposed policy and procedure to the Executive Committee for review.
- (4) Once the proposed policy and procedure is reviewed by the Executive Committee, the chair of the University Policies and Procedures Review

Committee will forward the final draft to the President for final review and approval.

- (5) Once the President has approved a final draft, and the Florida Atlantic University Board of Trustees, if applicable, the chair of the University Policies and Procedures Review Committee will ensure that the new policy and procedure is incorporated into the Policies and Procedures Manual.

#### B. Review and/or Revision of Existing Policies and Procedures

Every policy and procedure, once implemented, should be reviewed on a periodic basis to ensure that the policy and procedure remains current and necessary.

The procedures to initiate, review, and approve revisions to existing policies and procedures, and to eliminate policies, are as follows:

- (1) The need for revisions to an existing policy and procedure, or to eliminate a policy and procedure, may be identified by the President, the Executive Committee, the General Counsel, a representative of the University Policies and Procedures Review Committee, or by the authority responsible for the policy and procedure.
- (2) If the need for a revision is identified, the responsible authority must review the existing policy and procedure carefully to determine whether it continues to reflect current practice and responds to a need in the University community. If the responsible authority feels that changes to the policy and procedure are in order, then he or she will prepare a draft of a revised policy and procedure in a format that highlights the proposed changes. If the responsible authority feels that the policy and procedure is no longer needed and should be eliminated, then he or she will prepare a written statement to that effect for submission to the University Policies and Procedures Review Committee.

#### C. Drafting of Policies and Procedures

A standardized format will be used for University policies and procedures and will include certain minimum information. To guide in that effort, the University Policies and Procedures Review Committee has created a policy template to be used in drafting policies and procedures.

Policies and procedures should be submitted on the policy template listed under FORMS and should contain the following information:

- The policy number (issued upon approval)
- The policy name
- The initiating authority
- Date(s) of initial adoption and any revisions; effective date, if different
- The responsible authority for that policy
- Applicability or Accountability
- Policy Statement
- Definitions of relevant terms

Procedures, if any are needed, to implement the policy  
Forms, if any are required or suggested, to carry out the procedure

Policies and procedures may also contain the following information as necessary for a full explanation of the policy and its application and procedures:

General policy or preamble summarizing policy  
Related information or documents  
Background information  
Contacts (may be included as part of the procedures)

#### D. Dissemination of Information about New or Revised Policies and Procedures

Information about new, revised, or eliminated policies and procedures may be announced by e-mail or released in a memorandum by the Chair of the Policies and Procedures Review Committee or his or her designee.

#### E. Maintenance of the Policies and Procedures Manual

The Chair of the Policies and Procedures Review Committee will be responsible for maintaining the master list of policies and procedures within the Policies and Procedures Manual. A copy of each approved policy and procedure will be kept on file. The policies and procedures will be maintained on the University Web site and users may print copies directly from the system. Policies and procedures will be numbered and organized by topic.

#### **VI. FORMS:**

(1) Policy Template

#### **VII. RELATED INFORMATION:**

Colleges, centers, and institutes may have policies and procedures specific to their operations, but those will not be included in the University's Policies and Procedures Manual. Any such policies and procedures must not conflict with statutes, regulations of the Florida Atlantic University Board of Trustees or the Board of Governors, and University policies and procedures, and any approved University collective bargaining agreements. To the extent that there is a conflict between a college, center, or institute policy and a University policy and procedure, University regulation, other regulation or statute, or any approved University collective bargaining agreement, the provision of the University policy and procedure, University regulation, other regulation or statute, or any approved University collective bargaining agreement will prevail. Colleges should use the template outlined above for their policies and organize their policies in a manual for ease of reference.

**VIII. INITIATING AUTHORITY:** Jennifer O'Flannery, Chief of Staff.

POLICY APPROVAL  
(For use by the Office of the President)

Policy Number: \_\_\_\_\_

*Initiating Authority*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

*Policies and Procedures*

*Review Committee Chair*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

*President*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

*Board of Trustees Chair*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

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**Instructions for Drafting University Policies:**

Use the form below to draft or revise a University policy. Please use Arial in 11 pt font size. You are not limited to the spacing that appears on the form. Draft policies ready for review by the University Policies and Procedures Review Committee should be sent via e-mail as a Word document attachment to Dr. Jennifer O'Flannery at [joflanne@fau.edu](mailto:joflanne@fau.edu). There should be clear indication in the transmittal that the draft policy has been reviewed and approved by its initiating authority.

**POLICY TEMPLATE**

<b>SUBJECT:</b>	<b>Effective Date:</b>	<b>Policy Number:</b>	
	<b>Supersedes:</b>	<b>Page</b>	<b>Of</b>
	<b>Responsible Authority:</b>		

**(REQUIRED)**

DATE(S) OF INITIAL ADOPTION AND EFFECTIVE DATE:\*

APPLICABILITY/ACCOUNTABILITY:

POLICY STATEMENT:

DEFINITIONS:

PROCEDURES:\*\*

INITIATING AUTHORITY:

**(OPTIONAL)**

GENERAL POLICY OR PREAMBLE; BACKGROUND INFORMATION; RELATED INFORMATION; RELATED DOCUMENTS; CONTACTS; FORMS:

\*THIS REQUIREMENT APPLIES ONLY TO EXISTING POLICIES BEING REVIEWED OR REVISED

\*\*IF ANY ARE NEEDED TO IMPLEMENT THE POLICY

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**POLICY APPROVAL**  
(For use by the Office of the President)

Policy Number: \_\_\_\_\_

*Initiating Authority*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

*Policies and Procedures  
Review Committee Chair*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

*President*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

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Presidential Memoranda			
Number	Name	Last Update	Units Responsible
1	Fiscal Policy	1983	
2	Calendar of Events	1966	
3	University Publications	1988	
4	Migrant Program		
5	Establishment of Standard Work Week		
6	Payment of Membership Dues		
7	Acquisition of all Books and Periodicals	1980	Academic Affairs, Purchasing
8	FAU Housing Policy		
9	Transfer of Student Health	1967	
10	Transfer of Student Financial Aid	1967	
11	Transfer of Student Placement	1968	
12	Transfer of Student Employment Function	1968	
13	Employment of Relatives	1973	Academic Affairs, Human Resources
14	Non-Florida Fee Waiver	1970	
15	Property Responsibility	1983	
16	Acquisition of No-Charge Equipment	1970	
17	Transfer of Student Housing	1971	
18	Campus Access for Commercial Enterprises	1984	
19	Possession or Use of Alcoholic Beverages on Campus	1990	Facilities, Financial Affairs, Student Affairs, Univ Att'y
20	Maternity Leave	1972	
21	Pets	1972	
22	Conference Room Facilities	1984	
23	Investment Policy-Contracts and Grants Fund	1983	
24	Trespass Upon State Lands	1972	
25	Operating Policy and Procedures for Support of the FAU Center	1983	
26	Non-Credit Educational Programs	1983	
27	Off-Campus Credit Courses	1972	
28	Contract Programs Conducted by Continuing Ed	1972	
29	Outside Employment Policies and Procedures	1972	

**Previously Rescinded**

**Rescinded by President Brogan**

**Needs Review and Revision**

Presidential Memoranda			
Number	Name	Last Update	Units Responsible
30	University Policy and Procedures for Overload Payment	1983	Academic Affairs, Human Resources
31	Occupational Injury-Worker's Compensation	1977	
32	Use of University Property and Facilities		
33	Traffic Violation Fees	1985	
34	Campus Traffic Court		
35	Records Management and Control	1992	Financial Affairs, University Attorney
36	Grants, Contracts and Unrestricted Gift Funds	1973	Research, University Advancement
37	Student Possession, Use and/or Sale of Drugs	1978	
38	University Attorney	1984	
39	Student Employment	1993	Human Resources, Student Affairs
40	Policy on Limited Access to Student Records	1973	
41	Flags at Half-Staff	2000	President's Office
42	Authority to Effect Disciplinary Actions for Career Service Employees	1973	
43	Assignment and Use of State Licensed Vehicles	1983	Facilities
44	Policy and Procedures on EEO - Affirmative Action	1988	
45	Gift Solicitation and Handling		
46	Professional Fees	1975	Financial Affairs
47	Bank Acc't Establishment, Management of Funds and Investment Policy	1981	Financial Affairs
48	Admin of College Dev Res Fund Accts & State Appr Cont Ed Fund Accts	1983	
49	Use of University Property and Support of Campus Events		
50	Collection of Outstanding Student Fees	1976	
51	Access to Records and Release of Information	1993	
52	Activity Fees Collected by Alexander D. Henderson University School	1983	
53	Fingerprinting	1984	Human Resources
54	Dual Employment Compensation	1985	
55	Monitoring of Equal Opportunity/Equal Access		
56	Emergency Plan	2000	Facilities, Fin Affairs, President's Office, Univ Att'y
57	Authorization for Travel	1979	
58	Delegation of Authority for Effecting Career Service Personnel Actions	1985	
59	Anti-Hazing Policy	1981	
60	Use of University Property and Facilities	2001	Facilities, President's Office
61	Loan, Sale or Rental of Materials Produced by the Div of Learning Resources	1981	
62	Services Provided to Outside Organizations by the Div of Learning Resources	1983	
63	Role of Internal Management Auditing		
64	Office Systems Equipment Acquisition		
65	Charges for the Photocopying of Documents/Reproduction of Classroom etc	1986	

Presidential Memoranda			
Number	Name	Last Update	Units Responsible
66	Weapons	1986	
67	FAU Equipment Purchases from Foundation Funds	2000	
68	Salary Adjustments-Acting Positions	1987	
69	Internal Printing Oversight Committee		
70	Florida Small and Minority Business Assistance Act of 1985	1987	
71	Delegation of Authority for University Purchasing	1987	Financial Affairs, President's Office, University Att'y
72	Group Travel	1988	
73	Aids Committee	1988	
74	Concession Fund Expenditures	1994	Financial Affairs, President's Office, University Att'y
75	Salary Equity Studies	1989	
76	Religious Accommodation for Students	1989	Acad Affairs, Human Res, Stud Affairs, Univ Att'y
77	Use of Protective Body Armor	1989	
78	Drug-Free Workplace	1995	Acad Affairs, Human Res, Stud Affairs, Univ Att'y
79	Special Pay Increase	1993	
80	Regulations fr Posters, Notices, Temporary Ground Signs and Banners	2000	Facilities, Partner Campus, Student Affairs
81	Auxiliary Fees and Charge Back Committee	1991	Financial Affairs
82	Grant Recovery for Computing Services	1992	
83	FAU HIV/Aids Policy	1992	
84	Data Administrator Authorization	1993	
85	University Safety Policy	1995	Facilities, President's Office
86	Delegation to Univ VP's of Signature Authorization for Execution of Legal Doc's	1993	University Attorney
87	Health Insurance Requirement for Exchange Visitors	1995	Academic Affairs, Student Affairs, University Attorney
88	Effective Communication for Individuals with Disabilities	1997	Acad Affairs, Human Res, Stud Affairs, Univ Comm
89	Speech Forum	2000	Facilities, Student Affairs
90	University Administrative Data Systems Policy	2004	Academic Affairs
91	Administration of Campus Surveys and Questionnaires	2004	Academic Affairs
92	Names and Designations for FAU Campuses/Locations	2000	
93	Parental Notification Policy for Alcohol and Other Drug Violations	2000	
94	Securing Sponsorship/Marketing Support at FAU Foundation, Inc	2001	
95	Lobbying by University Employees	2003	President's Office, University Attorney