

Policy 1503

Development or Revision and Posting of University Policies, Procedures and Forms

Responsible Office	Controller	Effective Date	7/1/98
Responsible Official	Vice President for Finance and Business Operations	Last Revision	1/24/12

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Scope

This document defines and governs the process for developing and posting new or revised Yale University policies, procedures and forms. This policy applies to all Yale University policies.

Reason for the Policy

Policies, procedures and forms are designed to help achieve the University's mission by guiding our operating decisions, minimizing the risk of non-compliance and promoting efficiency. This policy provides standards to ensure that University policies, procedures and forms are approved, distributed and maintained in a cohesive manner.

Definitions

University Policy – University policies are designed to help achieve the mission of the University; promote compliance with federal, state and other laws and regulations; and promote efficient, effective processes. Policies generally mandate or restrict actions, describe the context for the policy and set responsibility for its administration.

Procedure – Operating procedures describe the work steps necessary to carry out a University policy. Procedures generally indicate those who are, by role or position, responsible for the work steps.

Form- Forms are created to provide an easy way for University employees to enter, submit, document, and utilize information specific to a business process and in support of a policy. Forms should allow the user to enter information, electronically, directly into the form.

PPDev—This is the acronym for the Yale University Policy and Procedure Development website. All University policies must be posted or linked to the Yale University Policy and Procedure Development (PPDev) website.

Policy Sections

1503.1 Initiation of a New or Revised Policy

Any individual or unit may identify the need for a new policy or a revision; however, policy proposals must be sponsored by Policy Sponsor, who is a Unit or Department Head.

Policies and associated documents should contain all the information required to ensure compliance with federal, state and other laws and regulations or compliance with University policies.

To coordinate the development and posting of a new policy or the revision and posting of an existing policy, the Policy Sponsor will contact the Manager of Policy and Procedure Development.

1503.2 New or Revised Draft Policy

Draft policies are prepared by the Policy Sponsor, in consultation with stakeholders, including, for example, the Office of the General Counsel and Tax Office, as appropriate. Draft policies must be approved by the Policy Sponsor.

1503.3 Review and Approval Process

1503.3.1 This section applies to all Finance and Business Operations and Facilities policies and to some Human Resources and Administration and Information Technology Services policies.

The Policy Sponsor submits the draft policy to the Controller. If the Controller approves the draft policy, then it is submitted to the Policy Review Committee for review and approval. Policies approved by the Policy Review Committee that have a major, campus-wide impact or that directly affect faculty require additional review and approval by the relevant University Officers.

Approved draft policies are generally posted on the Yale University Policy and Procedure Development Website for 30 days for campus review and comment. Based on the comments received, the Controller revises the policies and obtains final approvals, if and as appropriate.

1503.3.2 All other policies are subject to comprehensive review and approval processes established by other areas of the University.

1503.4 Posting of Approved Policies

All approved University policies must either be included on the PPDev website or be linked to the PPDev website. Therefore, once policies have received final approval (either through the review and approval process described in this document or another review and approval process), the Manager of Policy and Procedure Development posts the policies on the PPDev website or links the policies to the PPDev website. The Manager of Policy and Procedure Development will also ensure that the appropriate form of communication is issued to inform the University community of new and revised policies.

1503.5 Development or Revision and Posting of Procedures and Forms

The development or revision of procedures and forms follows the same steps as for policies except that procedures and forms that are associated with Finance and Business Operations and Facilities policies and some Human Resources and Administration and Information Technology Services policies do not go through the review and approval process described in Section 1503.3.1. Such new or revised procedures and forms are generally posted once the Policy Sponsor and Controller approve them. Two exceptions are:

- a) For major new policies or major policy revisions, the Controller may decide that it would be appropriate to have the associated procedures and forms go through the review and approval process along with the policy.
- b) For procedures or forms with significant impact, the Controller may decide that the procedures or forms should go through the process described above for policies.

Roles and Responsibilities

Policy Sponsor– Is the Unit or Department Head who is responsible for the development and periodic review and revision of the policy. The Policy Sponsor is accountable for the accuracy of its content.

Manager of Policy and Procedure Development– Is responsible for the oversight of the PPDev website by ensuring that all policies format and content conform to the University standard. The Manager:

- assists Policy Sponsors with process navigation,
- assigns numbers to new policies,
- provides editorial assistance,
- acts as a liaison between Policy Sponsors, the Controller and Associate Controller, and the Policy Review Committee,
- posts draft policies for comment by the University community,
- ensures that all University policies, procedures and forms are either posted on the PPDev website or linked to the PPDev website,
- ensures that approved policies are communicated to the University community, and
- periodically confirms that Policy Sponsors are keeping their policies current.

Controller and Associate Controller for Financial Compliance– Are the co-chairs of the Policy Review Committee (PRC). They set the committee’s agenda and review policies brought to PRC for approval. The Controller or his designee, the Associate Controller for Financial Compliance, is responsible for bringing approved policies with a University-wide impact or that directly affects faculty to the University Officers for final approval and distribution to the University.

Policy Review Committee (PRC) – Is responsible for the review and approval process for policies. PRC membership consists of a representative from each of the following offices: Controller, Provost, Business Operations, Information Technology Services, Facilities, School of Medicine, Tax Department, General Counsel, Auditing and Faculty of Arts and Sciences. The committee may also include subject matter experts in regulatory, accounting, administrative and other relevant areas depending on the policy being proposed and reviewed.

University Officers – Review and approve policies that have a University-wide impact or directly affect the faculty. Such policies must be reviewed and approved by all of the relevant University Officers, which are the President, Provost, Secretary and VP for Student Life, University VP, VP and General Counsel, VP New Haven and State Affairs and Campus Development, VP Development, VP Finance and Business Operations, and VP Human Resources and Administration.

Special Situations/Exceptions

Any exceptions to University policy must be presented to and approved by the Controller’s Office.

Subject	Contact	Phone
Exceptions/ Interpretations	Controller’s Office	203-432-5524
PPDev Website	Manager of Policy and Procedure Development	203-432-9240

Related Information

Procedure 1503PR.01 Development and Posting of University Policies, Procedures and Forms

Revision History

Effective 7/1/1998, revised 1/24/12

The official version of this information will only be maintained in an on-line web format. Any and all printed copies of this material are dated as of the print date. Please make certain to review the material on-line prior to placing reliance on a dated printed version.
