Rice University Policy No. 101

UNIVERSITY POLICY DEVELOPMENT AND MANAGEMENT

I.   General Policy

The President of Rice University, pursuant to the university bylaws, has general control and supervision over all matters pertaining to the university and its activities, subject to the advice and approval of the Board of Trustees. Pursuant to that authority, the President approves all university policies as well as delegates to university leadership (including the Provost, Vice Presidents, Vice Provosts and Deans) the ability to develop policies and procedures for their areas of responsibility consistent with university policies.

This policy sets out the process for development, issuance and maintenance of university policies in order to promote consistency, compliance with law and regulation, and effective communication with the University community.

II.   Roles and Responsibilities

Responsible Official: The Responsible Official is the senior leader (e.g., Provost, Vice President or Athletic Director) with principal responsibility for the substantive area covered by a particular university policy and is considered the "owner" of the policy for purposes of creation, implementation and timely updating of the university policy.

Policy Manager: The individual charged with administration of the University Policy Management Program, which includes maintenance of physical copies of all signed university policies, maintaining an archive of changes or amendments, and maintaining the university policy website. The Policy Manager will also review all new and revised policies for consistency, and manage the final approval process. The Policy Manager, in consultation with the Responsible Officer, has the authority to make clerical changes to policies, including updating names, offices, links, citations and formatting (substantive changes must go through the approval process). The current Policy Manager is the Director of Compliance.

III.   Definitions

University Policy: A university policy is a policy that (a) has broad application or effect across the University, (b) is fundamental to furtherance of the University's mission, (c) seeks to ensure compliance with applicable law, regulation or standards, (d) establishes fundamental operational, administrative or budgetary principles, or (e) covers any other matter that the President deems appropriate for a university-wide policy.

Procedures: Procedures are the detailed and specific steps utilized to implement a policy. Procedures typically include the forms and process steps necessary to comply with the applicable policy requirement. Procedures should be linked to the corresponding university policy in section VII of the university policy.

Area or Departmental Policies and Procedures: Area or departmental policies are those policies or procedures created by a school, department or administrative unit, and approved by the relevant Responsible Official, to carry out matters that do not rise to the level of a university policy (e.g., parking rules and regulations) or relate only to that particular school, department or administrative unit. Such policies, and any related procedures, are issued by the leadership of that particular school, department or

administrative unit, and do not require presidential approval. An area or departmental policy must be consistent with all applicable university policies and procedures. Area policies that are more restrictive than a university policy on the same or similar subject should be discussed with the Responsible Official. Area policies that are less restrictive than a university policy on the same or similar subject are prohibited unless an exception has been approved pursuant to the procedure outlined in "Exceptions to University Policies."

IV.   Elaboration of Policy

University policies are reviewed by and approved by the President, after the policy management process described in this policy and final review by the Office of General Counsel. The President may decide to issue, revise or withdraw university policies on his or her own volition at any time.

The principal responsibility for proposing new university policies, or proposing amendments or modifications to existing university policies, rests with the applicable Responsible Official who has responsibility for the substantive area.

> For example, university policies relating to research or academic matters reside with the Provost, who consults with the Faculty Senate as appropriate. University policies relating to budgetary, financial and accounting matters (including research accounting) primarily reside with the Vice President for Finance. University policies relating to facilities, housing and dining, human resources, police and other general areas of University administrative operations primarily reside with the Vice President for Administration.

University policies should be written in accordance with the policy template (see Appendix 1). Written procedures necessary to implement the policy and a plan to provide appropriate training should be completed prior to submission of the policy to the President.

A. Issuing, Modifying or Updating Policies

Should the Responsible Official wish to propose a new university policy or a substantive amendment to an existing university policy, the Responsible Official prepares a draft policy document that is discussed and reviewed by relevant and appropriate campus constituencies, especially those offices which would have significant involvement in implementing the policy or creating or modifying procedures to effectuate the policy or directly affected by the policy. Throughout the development of the draft policy, the Responsible Official should consult with the Office of General Counsel and the Director of Compliance so that issues or concerns may be identified and considered.

Final versions of University Policies should be submitted by the Responsible Official to the Policy Manager with a signed memo and the Policy Approval Tracking sheet (Appendix 2). The Policy Manager will coordinate the final approval and dissemination. This will include review and comment by the Executive Compliance Committee and Office of General Counsel. The packet containing the submission of the draft policy to the President includes a brief memorandum from the Responsible Official describing the new policy or policy revision and explaining why the new policy or revision of an existing policy is recommended. The Policy Manager will submit the packet containing the final version to the President for review of the policy and approval; notify the Responsible Official after it is signed by the President; and post the approved policy to the policy website.

The Responsible Official will then issue the university policy by sending a communication to all departments ("All Depts" email), as well as any other targeted communication which may be appropriate or necessary regarding implementation, procedures, or training.

B. Exceptions to University Policies

University Policies are expected to be followed by all Rice employees, students and visitors, and only the Responsible Official or President may grant an exception to a university policy for good cause shown, such as unusual facts or circumstances that make adherence to the university policy impossible or impracticable.

The following standards apply to all exception requests:

- No exception will be granted that may violate federal, state or local laws or regulations, including governmental rules relating to grants and contracts. If there is any question whether the exception may implicate federal, state or local laws or regulations, the Office of General Counsel must be consulted before any exception is granted.
- Exception requests and any exceptions granted should be in writing so that there is a record of the exception and the reasoning behind it.
- An exception is ordinarily a rare occurrence, and limited to the particular facts and circumstances giving rise to the request. Should the facts and circumstances indicate an issue that may recur or be a broader issue, the Responsible Official should consider revising the university policy to avoid the need for an exception on a similar issue in the future.

C. Policy Maintenance and Periodic Review

The Responsible Official is responsible for maintaining and updating policies in his or her area to ensure they reflect current responsibilities, in conformance with new or revised laws, regulations, or other factors. To ensure policies remain current, all policies should undergo a periodic review at least once every five years. If such a periodic review does not result in changes (i.e., the policy is up to date and matches Rice's current practices), the Responsible Official should provide the date of the review to the Policy Manager, who will note on the policy that it was reviewed without change.

V.   Cross References to Related Policies

None

VI.   Responsible Official and Key Offices to Contact Regarding Policy 101 and its Implementation

Responsible Official: Vice President for Finance

Other Key Offices: Director of Compliance for questions related to policy development, implementation, or revision.
Office of General Counsel for questions related to legal or regulatory requirements and policy exceptions.

VII.   Procedures and Forms

University Policy Management Page (for procedures and resources)
University Policy Website (for official versions of all university policies)

                                        *Signed David W. Leebron*_____
                                        President

Policy History
Revised: May 25, 2016
Issued: March 11, 2011

APPENDIX 1 - UNIVERSITY POLICY TEMPLATE

Rice University Policy No. _____

TITLE OF POLICY

I.   General Policy

[General statement of policy, the rationale behind the policy, including whom it covers (e.g. all employees, faculty, staff, students, others). If this policy concerns a law or regulation, ordinarily identify the common name]

II.   Roles and Responsibilities

[Discuss what offices or individuals play key roles in implementation or administration of this policy]

III.   Definitions

[Defined terms in the policy, if any]

IV.   Elaboration of Policy

[Insert subsections with headings and details concerning the policy, including specific requirements, issues or situations, and mechanisms for compliance]

V.   Cross References to Related Policies

[Insert the name and a link to any related policies]

VI.   Responsible Official and Key Offices to Contact Regarding the Policy and its Implementation

Responsible Official: [Provide the Provost, Vice President or Athletic Director with principal responsibility for the policy]
Other Key Offices: [Provide the name of offices and titles, but not individual names]

VII.   Procedures and Forms

[Link to the key Rice office website, procedures, training, or other important information]

VIII.   Links to Additional Information [Optional]

[Link to other helpful information]

_____
David W. Leebron
President

Policy History
Revised: [Insert Date 1, Date 2, Date 3, starting with the most recent]
Issued: [Insert date initial policy was adopted]
Reviewed without change: [Insert date of latest review, if that review did not produce changes]
Clerical Change: [Insert Date 1, Date 2, Date 3, starting with the most recent]

APPENDIX 2 – UNIVERSITY POLICY APPROVAL TRACKING SHEET

Step 1. Fill out this section for all university policies:
1. Policy Name and Number: _____
2. Responsible Official: _____
3. Check one: _____ Revision _____ New Policy
   _____ Reviewed without Changes (i.e. this policy is still current and accurate)
   If this is a review without change, please sign this form and send to
   Director of Compliance (Section 2 and 3 are not required).

Step 2. Attach a short memorandum, signed by the Responsible Official, which discusses the following:
1. Discuss/describe the reason for this new policy or policy change (e.g. law change; add clarity; reorganization; etc.).
2. Discuss what stakeholders have been involved in the drafting/vetting of this policy/revision. Have these stakeholders raised any issues or concerns, and if so have these been resolved?
3. Discuss any budgetary impacts this policy or policy change may have, including monetary costs and time burdens.
4. Discuss updated procedures, training and necessary communications that have been prepared.
5. Provide other comments as necessary.

Step 3. Email the approval package to the Director of Compliance. A completed package will include the following.

Cover	University Policy Approval Tracking Sheet (this sheet)
Tab 1	Memorandum signed by Responsible Official (pdf)
Tab 2	Policy to be signed (an unmarked clean copy in Word)
Tab 3	For Revisions, provide detail of changes. This can be accomplished with an annotated version highlighting major changes, or with a "track changes" version.
Tab 4	Supplemental materials (as may be necessary)

_____

Step 4. Reviewed and Approval:

_X_____   _____
Director of Compliance   Date Reviewed
_X_____   _____
For the Executive Compliance Committee   Date Review/Comment Completed
_X_____   _____
For the Office of General Counsel   Date Approved

Step 5. Final Approval and Dissemination
1. <u>President</u>: Sign the policy at Tab 2, and return the package to Director of Compliance (Allen Center 425).
2. Director of Compliance will notify Responsible Official, and post to the policy website
3. Responsible Official will send an All Depts email, in addition to other communications as necessary.