



NORTHWESTERN
UNIVERSITY

Responsible University Official:
University President
Responsible Office: Office for Audit and
Advisory Services
Origination Date: August 6, 2009

UNIVERSITY POLICY DEVELOPMENT AND PUBLICATION

Policy Statement

All University Policies must be developed, approved and published in accordance with the standards outlined in this Policy and must be published on the University's central policy web page.

Reason for Policy/Purpose

This Policy is required for the effective communication of University Policies and for the ease of use and identification of approved University Policies. University Policies must be kept current, and made available to all relevant operating units in a timely manner.

Table of Contents

Page

Policy Statement.....	1
Reason for Policy/Purpose.....	1
Table of Contents.....	1
Who Approved This Policy.....	2
Who Needs to Know This Policy.....	2
Website Address for This Policy.....	2
Contacts.....	2
Definitions.....	2
Policy/Procedures.....	4
General University Policy Standards.....	4
Policy Review.....	4
Standard Policy Template.....	5
Interim Policies.....	5
Issuing a Policy.....	5
Origination Date.....	5
Policy Applicability/Who Needs to Know the Policy.....	6

Review Period.....	6
Policy Amendments.....	6
Forms/Instructions.....	6
Appendices.....	6
Related Information.....	6
History/Revision Dates.....	6

Who Approved This Policy

President
Provost
Senior Vice President of Business and Finance
Vice President and General Counsel

Who Needs to Know This Policy

All members of the Northwestern University community

Website Address for this Policy

<http://www.northwestern.edu/policy-statements/policy.pdf>

Contacts

If you have any questions on the policy or procedure for developing or publishing a University policy, you may:

1. Call the Associate Vice-President, Office for Audit and Advisory Services at 847-491-3304 or
2. Send an e-mail to policy@northwestern.edu

Definitions

Appendices:	Contain laws, regulations and checklists that may pertain to the policy.
Approver	The University Officer(s) who approve(s) a University policy.
Contacts:	Names the University office(s) that can answer specific questions regarding the policy or approve exceptions.

Definitions:	Lists the terms used in the document alphabetically; defines unfamiliar terms that have a specialized meaning in the policy.
Departmental/School/ Operating Unit Policy:	A policy that does not have broad impact on the University community and is limited in its scope and application to a specific area.
Forms/Instructions:	Lists forms the reader must use to comply with the policy, explains the purpose of each form, and may provide a hyperlink to the applicable form(s).
Policy:	Is a concise statement of the University's position on the subject matter and may state who should follow the policy, when the policy applies, and list any major conditions or restrictions.
Policy Owner:	Is the Responsible University Official charged with the responsibility for creating, implementing, and updating University policies in his/her area of jurisdiction.
Policy Review Committee (PRC):	Is a standing committee of the University. Its role is to review, help ensure that new or revised University policies follow an approved format and process, and are approved by the respective University Officer.
Procedures:	Describe the means by which policies are implemented.
Reason for Policy/Purpose:	States the legitimate interests of all parties, describes the problem or conflict the policy addresses, and cites any legal or regulatory reasons for the policy.
Responsible University Office:	Under the direction of the Responsible University Official, the Responsible Office will develop and administer a particular policy and procedures and will be accountable for the accuracy of its subject matter, its issuance, and timely updating.
Responsible University Official:	The Policy Owner. The individual charged with the responsibility for creating, implementing, and updating University policies in his/her area of jurisdiction.

University Compliance Committee (UCC)	The University Compliance Committee is an information-sharing and awareness-raising advisory group that provides leadership and helps ensure accountability for University compliance. The UCC accomplishes this by identifying and evaluating institutional risks and communicating recommendations to senior management to aid in remediation efforts.
University Policy:	Defined as a policy with broad application throughout the University, which helps ensure coordinated compliance with applicable laws and regulations, promotes operational efficiencies, enhances the University's mission or reduces institutional risk.

Policy/Procedures

General University Policy Standards

All policies that meet the above definition and have been developed and approved in accordance with this Policy should use the Policy Template (see Forms/Instructions), be included on the official policy web site <http://policies.northwestern.edu/>, and are governed by this Policy. See the definitions above for the distinction between a policy and a procedure.

Many other important school or departmental policies and procedures do not meet the above definition. They are not governed by this document. However, these local policies should be clearly written and well communicated. It is suggested that the Policy Template attached in the Forms/Instructions section of this Policy be used as a guide for content.

Every University Policy must fall within the jurisdiction of a Responsible University Official. The Responsible University Official will designate a Responsible University Office within their department. Both the Responsible University Official and the Responsible University Office will be listed at the top of the first page of the policy document. The Responsible University Office will generally be the office that develops and administers the policy and procedures, and will be accountable for the accurate formulation, issuance, and timely updating of the document.

Policies should be drafted so that they are clear and concise. Policies should contain sufficient information on the subject without being excessive in length.

Policy Review

1. A Responsible University Official develops a draft policy or revises a current policy for which he/she proactively seek input from appropriate members of the University community.

2. The Responsible University Official forwards the draft/revised policy along with a statement of how the policy works with, conflicts with, or negates existing policy to the Policy Review Committee (PRC). The PRC ensures the Policy Template has been followed, reviews the content for clarity and understandability, and recommends when the draft/revised policy should be included on the agenda for the University Compliance Committee (UCC) meeting.
3. The UCC forum will provide an opportunity to ensure adequate review of the nature and operational aspects of policies being established or modified because the UCC represents a cross-section of all University operations.
4. The PRC reviews the UCC feedback and updates the draft/revised policy as appropriate.
5. The Responsible University Official secures approval by respective University Officer. (Note - if a policy involves compliance with regulatory issues, the Office of General Counsel must have reviewed the policy.)
6. The PRC assists the Responsible University Official in the coordination of the announcement and distribution of the policy.

Standard Policy Template

To ensure consistency, a standard policy template has been created. Use of the standard policy template facilitates the adoption of clear, concise policies and procedures at all levels of the organization. All policies should be in the standard University Policy Template and all sections must be included. If a section does not contain any information or is not applicable, the drafter should put “N/A” under the section heading. Please refer to the Forms/Instructions section of this Policy for the official University Policy Template.

Interim Policies

Policies may be put into place on an interim basis in situations where a University policy must be established in a time period too short to permit the completion of the process delineated in this policy. An interim policy will remain in force for up to six months from the date of issuance.

Issuing a Policy

The PRC will assist in the coordination of announcements and distribution of newly released policies in order to ensure that the University community is made aware of changes when they occur. Newly released policies will be communicated to the community at large via targeted e-mail messages and/or other means as appropriate.

Origination Date

Every policy should have an origination date so that it is clear when and for how long the policy has been in effect.

Policy Applicability/Who Needs to Know the Policy

A brief statement should be provided indicating who should observe the policy, who may be affected by the policy, and/or who should understand the policy in order to perform his/her job.

Review Period

Every policy shall be reviewed periodically as determined by the Policy Owner. The period of review should be identified on the document when the policy is approved and implemented. Policy end dates should also be listed, where applicable. The Last Amended Date and Next Review Date headings must be included and maintained. These dates are an important management tool, as they will be used to notify the responsible department when it is time to review the policy.

Policy Amendments

The Policy Owner is responsible for updating the policy if there is a change in law/regulations or business process.

When changes are necessary to a University policy, the Responsible University Office should forward the amendment to the PRC which initiates the Policy Review process (see page 4).

The PRC will assist in the coordination of announcements and distribution of policy amendments in order to ensure that the University community is made aware of changes when they occur. Policy amendments will be communicated to the community at large via targeted e-mail messages and/or other means as appropriate.

Forms/Instructions

Official University Policy Template

Appendices

NA

Related Information

NA

History/Revision Dates

Origination Date: August 6, 2009

Last Amended Date: April 13, 2012

Next Review Date: TBD

End Date for Policy (if applicable): NA