The Wonderful World of Policy

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A Brief History...

1992: Policy Office established
1993: U of M Online Policy Library launched
2006: Policy project - 16 recommendations – includes realignment of the office
2006: Pat Spellacy retires – you get me!
2007: New development, review, and maintenance structure implemented
2008: All HR policies converted to UM Content
2009: Undergraduate education policies converted to administrative policies
2011-12: Graduate education policies converted to administrative policies
Policy on Policy

- Administrative policies to align operations, set behavioral expectation, and communicate roles and responsibilities.
- Policies will either require or prohibit specific actions.
- Administrative policies must:
  - be warranted in order to implement Board of Regents policy; achieve compliance with laws, rules, or regulations; or address a risk to the institution that cannot be adequately addressed elsewhere;
  - apply institution-wide or campus-wide;
  - address a significant risk after factoring in the number of people affected, type of risk and impact; and
  - promote operational efficiency and effectiveness.
The Players in Policy Development

• **Policy Owners**
  – More than 60 owners of the nearly 200 administrative policies
  – Also own procedures (292), appendices (270), FAQ (48), and forms (540)
  – Responsible for identifying need for new policies
  – Keep existing policies current
  – Engage customers in enhancing/revising policies
The Players in Policy Development

• Policy Advisory Committee
  – Seventeen leaders across the key administrative units, including a representative from each campus
  – Reviews all new and significantly revised policies and other documents (e.g., procedures, appendices)
  – Focus is on content, consistency, and clarity
  – Meets monthly
The Players in Policy Development

• President’s Policy Committee
  – Ten senior leaders reporting to the President
  – Chaired by Amy Phenix, Chief of Staff
  – This is the approval body for all administrative policies in the policy library
  – Reviews on all new and significantly revised policies, with a focus on alignment with institutional goals (e.g., risk recalibration, reduction of burden)
  – Meets quarterly
U of M Policy Committees

Administrative President Policy Committee (PPC) and Policy Advisory Committee (PAC)

Steering Committee:
- SVP & Provost, Academic Affairs
- SVP System Admin
- VP Chief Financial Officer
- VP Health Sciences
- General Counsel
- VP Human Resource
- VP Research
- VP Univ Services
- AVP Audits
- Chief of Staff to Pres

Advisory Committee:
- Asst to SVP
- Controller
- Admin Prof, AHC
- Assoc General Counsel
- HR Director
- VP and CFO to Pres
- Asst to VP
- Director, Policy Program

Campus Reps:
- Campus Rep Duluth
- Campus Rep Crookston
- Campus Rep Morris
- Campus Rep Rochester

Other:
- Coord U Senate
- Director, Inst Compliance Office
The Players in Policy Development

• You!
  – During the development phase
    – Consultation with individuals and key committees while creating the draft or proposing changes
    – 30-day open review period
    – Seventeen leaders across the key administrative units, including a representative from each campus
  – While in production
    – Feedback boxes at the bottom of every policy, procedure, etc.
    – Policy@umn.edu
The Policy Process

Identify Issues
Policy owner watches for changes in law, changes to Board Policies, operational needs, etc.

Conduct Analysis
Gathers data. Determines a new or revised policy is needed. Prepares a policy plan for Policy Advisory Committee.

Draft Language
Policy owner creates a draft, with standard templates. Engages key users in drafting stage.

Get Approvals
Presents all policy documents to Policy Advisory Committee. Captures comments and revises as needed.

Distribute/Educate
Policy draft is announced University-wide, posted for open 30-day comment period.

Solicit Evaluate & Review
Final product to President’s Policy Committee for review and approval.

Measurement & Compliance
Policy owners monitors. Results should drive any needed enhancements or training or communications.

Do we have a policy?

Is policy approved?

Policy owners

Revise as needed at end of 30-days. Publish policy. Respond to questions captured through comment box at end of each policy. Tweak as needed (informal) or modify (formal).
Policy Maintenance

- Policy owner updates when needed (contacts, etc.)
- Annual reminder to review policy for accuracy
- Comprehensive review every 4 years
- Requires completion of a form
- Flows through established committee structure
Periodic Reviews

• Alignment of policy specifics to practice
• Alignment of procedures to actual
• Required vs. best practice
• Accuracy of the supplemental information (contacts, links to related information, forms, etc.)
Revising an Existing Policy

• Is it still needed?
• Are the thresholds, approval levels, requirements appropriate for the risk managed? What would be the impact of changing these?
• What have been the weak points in the policy?
• What is the level of compliance?
Free Offers!!!

• Unlimited access to great policies at policy.umn.edu
• Answers - contact us if you have suggestions or questions: policy@umn.edu - the owner or we will respond
• Our quarterly policy newsletter – join our listserv (just send us an email)
• Provide feedback directly to the policy owners – BOTH positive and constructive
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