

System-wide Policy: GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

POLICY GOVERNING ISSUANCE OF SYSTEM-WIDE ADMINISTRATIVE POLICIES

SECTION 1. PURPOSE

This policy describes the process for development, approval, communication, and maintenance of system-wide administrative policies for the purpose of promoting consistency, efficiency, transparency, and compliance. This policy formalizes and augments the existing process.

SECTION 2. SCOPE AND APPLICATION

A. SUBJECT MATTER AREAS

This policy applies to the following system-wide administrative policies: Fiscal Policies, General Policies, Human Resources Policies, Information Technology Policies, Research Policies, and Safety Policies. Existing administrative policies in these areas shall remain valid and effective after adoption of this policy. The next revision of existing policies, other than an update or technical revision as described in Section 5.A., shall comply with the requirements of this policy.

From time to time as necessary for efficient operation of the University or for compliance with applicable laws, regulations, or other University policies, the President may determine that system-wide administrative policies in other subject matter areas are necessary, and such administrative policies shall be promulgated in accordance with the requirements of this policy.

B. REQUIRED SYSTEM-WIDE PROCEDURES¹

A system-wide administrative policy may include required procedures for implementation of the policy. If, however, any required procedures will be developed and issued separately from the system-wide administrative policy, the procedures shall be developed, approved, communicated, and maintained in accordance with the requirements of this policy.

¹ As used in this policy, the term “procedures” means the written description of actions to implement a policy.

System-wide Policy:	
GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

C. RELATED CAMPUS² POLICIES AND PROCEDURES

(1) Campus policies developed or revised after the effective date of this policy on any subject governed by a system-wide administrative policy must be consistent with, but may be more restrictive than, the system-wide policy, and a copy must be submitted to the Responsible Official identified in Section 3 for review and comment to ensure consistency with the system-wide policy. Review and comment by the Responsible Official must be completed within thirty (30) days. In the event of an inconsistency between a system-wide administrative policy and a campus policy (other than a more restrictive campus policy), the system-wide policy shall supersede the campus policy.

(2) Campus-specific procedures developed or revised after the effective date of this policy to implement a system-wide administrative policy must be submitted to the Responsible Official identified in Section 3 for review and comment to ensure consistency with the system-wide policy and procedures. Review and comment by the Responsible Official must be completed within twenty-one (21) days. In the event of an inconsistency between a system-wide administrative policy or procedure and a campus-specific procedure (other than a more restrictive campus-specific procedure), the system-wide policy or procedure shall supersede the campus-specific procedure.

D. RELATED UNIT-LEVEL POLICIES AND PROCEDURES

Policies and procedures of colleges, departments, and other units on any subject governed by a system-wide administrative policy or procedure must be consistent with the system-wide policy or procedure but may be more restrictive. In the event of an inconsistency between a system-wide administrative policy or procedure and a unit-level policy or procedure (other than a more restrictive unit-level policy or procedure), the system-wide policy or procedure shall supersede the unit-level policy or procedure.

SECTION 3. RESPONSIBLE OFFICIAL

There shall be a Responsible Official for each system-wide administrative policy. The Responsible Official shall be responsible for ensuring compliance with this policy with respect to system-wide administrative policies within his or her area of responsibility. The Responsible Official may carry out the responsibilities of this policy through one or

² As used in this policy, the term “campus” means The University of Tennessee at Chattanooga, The University of Tennessee Health Science Center, The University of Tennessee, Knoxville, The University of Tennessee at Martin, the Institute of Agriculture, the Institute for Public Service, and the Space Institute.

System-wide Policy:	
GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

more designees. As used throughout this policy, the term “Responsible Official” shall include designees. The Responsible Official may also choose to designate a Policy Owner for each policy within the Responsible Official’s area of responsibility.

The Responsible Officials for existing system-wide administrative policies shall be the following:

Fiscal Policies: Treasurer

General Policies: Executive Vice President

Human Resources Policies: Vice President for Human Resources

Information Technology Policies: System Chief Information Officer

Research Policies: Vice President for Research, Outreach, and Economic Development

Safety Policies: System Safety Officer

If the President determines that a system-wide administrative policy in another area is needed in accordance with the criteria described in Section 2, the President shall designate the Responsible Official.

SECTION 4. PROCESS FOR DEVELOPMENT, APPROVAL, AND COMMUNICATION

System-wide administrative policies must be developed, approved, and, communicated in accordance with the process outlined in this section, with the exception of interim policies as described Section 6.

A. DEVELOPMENT

(1) STATEMENT OF NEED AND IMPACT

When a Responsible Official determines that a new system-wide administrative policy in his or her area of responsibility is needed, the Responsible Official shall prepare a statement describing the need for the policy, any expected fiscal impact, any risks associated with adopting or not adopting the policy, and the expected impact of the policy on affected stakeholders. This provision does not apply to revisions of existing policies.

System-wide Policy: GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

(2) TEMPLATE

System-wide administrative policies shall be prepared in accordance with a template developed by the Responsible Officials in consultation with the Office of the General Counsel.

(3) DRAFTING

The Responsible Official may assign responsibility for drafting the policy to one or more subject matter experts. If the policy is necessary to comply with laws or regulations, the Responsible Official and the Office of the General Counsel shall determine which of their respective offices will be responsible for preparing the initial policy draft. If the Office of the General Counsel does not prepare the initial draft of a policy necessary to comply with laws or regulations, the Responsible Official shall submit the policy draft to the Office of the General Counsel for review and comment simultaneously with submission to a standing policy advisory group as described below. The Office of the General Counsel shall submit comments to the Responsible Official within twenty-one (21) days, but the Responsible Official may grant an extension of the comment period for good cause.

(4) REVIEW BY A POLICY ADVISORY GROUP

The Responsible Official shall submit the policy draft and the Statement of Need and Impact, to a standing policy advisory group for review and comment. The policy advisory group shall submit comments to the Responsible Official within twenty-one (21) days, but the Responsible Official may grant an extension of the comment period for good cause.

The policy advisory group shall be appointed by the Responsible Official and shall include, but not be limited to, system and campus administrators with subject matter expertise in the functional area addressed by the proposed policy. Annually, the Chair of the University Faculty Council shall submit to each Responsible Official the nomination of three faculty members (each from a different campus/institute) to serve on the policy advisory group. The Responsible Official shall appoint one of the nominated faculty members to the policy advisory group.

The policy advisory group may seek the assistance and advice of other subject matter experts, including but not limited to those who participated in drafting the policy.

System-wide Policy: GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

Campus administrators serving on the policy advisory group shall present the proposed policy to the Chancellor (or his or her designee) for review and comment.

The Responsible Official shall consider comments by the policy advisory group and, in consultation with the Office of the General Counsel, determine whether revisions to the policy draft are needed. In his or her discretion, the Responsible Official may submit a revised draft to the policy advisory group for review and comment.

B. REVIEW AND APPROVAL BY THE SENIOR POLICY REVIEW GROUP

The Responsible Official shall submit the final policy draft to the Senior Policy Review Group, which shall be composed of the following officials:

Executive Vice President

Chief Financial Officer

General Counsel

Executive Director of Audit and Compliance (non-voting)

When submitting the policy draft to the Senior Policy Review Group, the Responsible Official shall include the following: (a) the Statement of Need and Impact; (b) an executive summary of input by various reviewing groups; (c) the plan for communicating the policy to affected employees and students, in coordination with appropriate campus offices, and to any audiences targeted for special communication; and (d) the plan for accomplishing any necessary training.

The Senior Policy Review Group must complete an initial review of the policy draft and provide comments to the Responsible Official within twenty-one (21) days.

The Responsible Official, in consultation with the Office of the General Counsel, shall prepare a final version of the policy, incorporating any necessary revisions based on comments by the Senior Policy Review Group. The Responsible Official shall submit the final version of the policy to the Senior Policy Review Group for approval. The Responsible Official shall obtain documentation of approval by the Senior Policy Review Group, which shall include the date of approval, and shall maintain the documentation as a permanent record. The approval and documentation may be accomplished and maintained electronically.

System-wide Policy: GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

C. COMMUNICATION AND TRAINING

(1) COMMUNICATION TO AFFECTED EMPLOYEES AND STUDENTS

After obtaining approval of a system-wide administrative policy, the Responsible Official shall act with reasonable promptness to have the policy posted on the system-wide policy website. If the communication plan approved by the Senior Policy Review Group includes direct communication to affected University employees and students, the Responsible Official shall act with reasonable promptness, in coordination with appropriate campus offices, to carry out the communication plan. Direct communication may be accomplished by e-mail, by mailing to home addresses, or by social media. Regardless of the method used, the communication shall emphasize its relative importance and summarize key provisions of the policy, including key revisions to a previous version of the policy.

If the Responsible Official knows that a previous version of the policy exists in a printed publication, the Responsible Official shall notify the appropriate office of the need to update the publication and to inform the Responsible Official when the update has been accomplished.

(2) TARGETED COMMUNICATIONS

In coordination with appropriate campus offices, the Responsible Official shall determine whether certain groups should be targeted for a special communication about the policy and, if so, implement a plan to accomplish the special communication.

(3) TRAINING

In coordination with appropriate campus offices, the Responsible Official shall determine whether all or certain groups of employees need training on the policy and, if so, shall implement a plan to accomplish the training.

SECTION 5. MAINTENANCE

A. UPDATES AND TECHNICAL REVISIONS

The Responsible Official is authorized to make updates and technical revisions to a system-wide administrative policy in his or her area of responsibility without following the process outlined in Section 4. Updates include the following and similar types of revisions: (1) revised threshold amount for competitive bidding; (2) revised travel

System-wide Policy: GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

reimbursement rates; and (3) revised threshold amounts for approval of entertainment expenses and use of the University's procurement card. Technical revisions include changes in position titles, contact information, website addresses, spelling and grammatical corrections, and similar revisions. When the revised policy is posted on the system-wide Policy website, the history of the policy (see Section D. below) shall be included. Updates (but not technical revisions) shall be subject to the communication provisions of Section 4.C.

B. ALL OTHER REVISIONS

Any revision to a system-wide administrative policy other than an update or technical revision as described in Section 5.A. shall be made in accordance with the process outlined in Section 4, except that a Statement of Need and Impact is not required for existing policies. Proposed revisions shall be shown with changes tracked unless the changes are so substantial as to make tracking impractical, in which event the existing policy shall accompany the revised policy draft through the review and approval process.

For good cause, the President may exempt a particular policy revision from the process outlined in Section 4, except that the revised policy shall still be subject to the approval and communication and training provisions of Section 4.

C. PERIODIC REVIEW

If an existing system-wide administrative policy has not been reviewed within the five (5) years immediately preceding the effective date of this policy, the Responsible Office shall conduct a review of that system-wide administrative policy no later than three (3) years after the effective date of this policy. If an existing system-wide administrative policy has been reviewed within the five (5) years immediately preceding the effective date of this policy, the Responsible Official shall conduct a review of that system-wide administrative policy no later than five (5) years after the effective date of this policy.

For all system-wide administrative policies developed or revised after the effective date of this policy, the Responsible Official shall conduct a review of those policies no later than every five (5) years from the initial effective date or the date of the last revision.

The last review date and the next regularly scheduled review date for all system-wide administrative policies shall be indicated on the policy when posted on the system-wide Policy website.

System-wide Policy: GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

D. MAINTAINING PREVIOUS VERSIONS

Beginning with the next revision of an existing policy, the Responsible Official shall maintain an electronic file of all prior versions of a system-wide administrative policy. The template required under Section 4.A.(2) shall include a History section showing the effective date of the original policy, the effective date of all revisions to the policy, and a brief description of revisions.

E. REPEAL

If the Responsible Official determines that a system-wide administrative policy should be repealed, the Responsible Official shall present a statement of reasons to the policy advisory group for comment. If the Responsible Official decides to pursue repeal after considering any comments by the group, the Responsible Official shall submit a request for repeal to the Senior Policy Review Group, including a statement of reasons and a summary of comments by the policy advisory group. If repeal is approved, the Responsible Official shall act with reasonable promptness to have the policy removed from the system-wide policy website and shall ensure that the last version of the policy and documentation of its repeal is maintained as a permanent record, electronically or otherwise.

The provisions of this section shall not apply if the General Counsel determines that repeal of a policy is required by law or regulation. In that event, the Responsible Official shall act with reasonable promptness to have the policy removed from the system-wide policy website and shall ensure that the last version of the policy and documentation of its repeal is maintained as a permanent record, electronically or otherwise.

SECTION 6. INTERIM POLICIES

If circumstances (such as the need to comply with a change in federal or state law or regulations or the existence of a major institutional risk) require that a system-wide administrative policy be effective within a time period that does not allow completion of the process outlined in Section 4, the Responsible Official is authorized to submit an interim policy draft to the Office of the General Counsel and then to the Senior Policy Review Group. After review by the Senior Policy Review Group, the Responsible Official, in consultation with the Office of the General Counsel, shall prepare a final version of the interim policy, incorporating any necessary revisions based on comments by the Senior Policy Review Group. The Responsible Official shall submit the final version of the interim policy to the Senior Policy Review Group for approval. The

System-wide Policy: GE0001 - Policy Governing Issuance of System-wide Administrative Policies	
Version: 1	Effective Date: 01/16/2018

Responsible Official shall obtain documentation of approval by the Senior Policy Review Group, which shall include the date of approval, and shall maintain the documentation as a permanent record. The approval and documentation may be accomplished and maintained electronically.

Interim policies shall be effective for a maximum of 12 months, during which the process outlined in Section 4 must be completed for the interim policy or a revised version of the interim policy. The Senior Policy Review Group may extend the effectiveness of an interim policy in one or more six-month increments.

SECTION 7. UNIVERSITY WEBSITES AND PRINTED PUBLICATIONS

To ensure publication of the most current version of system-wide administrative policies, University websites and electronic or printed publications should provide a link to the system-wide Policy website.

SECTION 8. REVISION OF THIS POLICY

The Senior Policy Review Group shall approve all revisions of this policy.

SECTION 9. EFFECTIVE DATE OF THIS POLICY

This policy shall be effective upon the date of its issuance by the President.