

 <p>RHODE ISLAND COLLEGE</p> <p>OFFICIAL POLICY</p>	<p>College Administrative Policies</p>	<p>EFFECTIVE DATE: 2013/04/11</p> <p>REVISION HISTORY: initially adopted 2009/12/11; revised 2013/08/15¹</p>
<p>RESPONSIBLE OFFICE: Office of Institutional Research and Planning</p>	<p>POLICY OWNER: Director, Office of Institutional Research and Planning</p>	<p>LINK TO HOME PAGE OF RESPONSIBLE OFFICE</p>

PART 1. RATIONALE

In order to carry out the mission of Rhode Island College in the most efficient and effective manner, it is necessary to maintain clear and current administrative policies and related procedures. The college also seeks to institute a standardized procedure for adoption, review, and promulgation of such policies. Administrative policies and procedures that are presented in a standard format and are easy to find, read, and understand, and will (1) help provide faculty, staff, and students with clear guidance on policy matters; (2) promote compliance with applicable laws, regulations, policies, and other standards; and (3) maintain accountability.

PART 2. SCOPE

This policy shall govern the administrative policy development process for all divisions, departments, and offices under the jurisdiction of the college president as chief administrative and executive officer of Rhode Island College.

PART 3. DEFINITIONS

Academic Policy	A policy that addresses issues pursuant Article VI of the By-Laws of the Council of Rhode Island College (Committee on Academic Policies and Procedures).
Administrative level	The relationship of college units to one another as defined by reporting level, with the president as the highest level, units reporting directly to the president as the second level, units reporting to the president’s direct reports as the third level, etc. Graphically depicted on an organization chart.
College Administrative Policy	A college administrative policy is any policy, other than an academic or student affairs policy under the purview of the Council of Rhode Island College, governing the operation of the college or subordinate unit thereof, that has broad application beyond a single department or office, and that meets one or both of the following criteria: <ul style="list-style-type: none"> ▪ It helps achieve compliance with applicable laws and regulations, promotes operational efficiencies, enhances the college’s mission, or reduces institutional risks. ▪ It mandates actions or constraints and contains specific procedures for compliance.
Executive Action	See Part 4, section D.1 of this policy entitled “Codified Instruments of College Administrative Governance”
Guideline	See Part 4, section D.3 of this policy entitled “Codified Instruments of College Administrative Governance”

¹ addition of §5.K.1

IR&P	Office of Institutional Research and Planning at RIC
Policy Originator	The proposal's author and initial advocate. Normally, although not always, the Policy Originator will be the Policy Owner
Policy Owner	Normally, the director or chair of the department, office, or unit that requested the policy and is responsible for its oversight.
Practice	See Part 4, section D.5 of this policy entitled "Codified Instruments of College Administrative Governance"
President's Executive Cabinet (P.E.C.)	The President, Vice Presidents, and other senior administrators as designated by the President.
Procedure	See Part 4, section D.2 of this policy entitled "Codified Instruments of College Administrative Governance"
Responsible Office or Official	Administers the policy; develops and maintains procedures and protocols to implement policies; ensures accuracy of information contained in procedures and protocols; recommends revisions to policy as needed; and monitors policies for compliance and effectiveness.
R.I.G.L.	Rhode Island General Laws
Statement	See Part 4, section D.4 of this policy entitled "Codified Instruments of College Administrative Governance"

PART 4. STATEMENT OF POLICY

A. Establishment

Rhode Island College hereby establishes this policy on College Administrative Policies in order to:

1. Prescribe a uniform procedure for the development, approval, implementation, and periodic revision of administrative policies;
2. Ensure that, prior to enactment, (1) all administrative policy proposals are reviewed by appropriate officials and (2) that the college administration shall have an opportunity to receive comments from the college community on such proposals;
3. Provide a consistent and comprehensive format for administrative policies;
4. Establish requirements for the publishing and dissemination of administrative policies;
5. Highlight the prominence of college policies by subjecting them to a higher level of review, thereby distinguishing them from executive actions, procedures, guidelines, statements, and practices;
6. Expedite college business by (1) establishing specific review deadlines, and by (2) providing offices with more flexibility to promulgate and to amend procedures and practices as necessary.

B. Applicability

1. This policy shall apply to all college administrative policies. A college administrative policy is any policy, other than an academic policy, governing the operation of the college or subordinate unit thereof, that has broad application beyond a single department or office, and that meets one or both of the following criteria:
 - a. It helps achieve compliance with applicable laws and regulations, promotes operational efficiencies, enhances the college's mission, or reduces institutional risks.
 - b. It mandates actions or constraints and contains specific procedures for compliance.
2. This policy shall not apply to executive actions, procedures, guidelines, statements, or practices, nor to policies promulgated by any of the following:
 - a. those within the purview of a by-lawed Committee of the Council of Rhode Island College.
 - b. those promulgated by associated or affiliated organizations of the college, such as the Alumni Association, the RIC Foundation, Student Community Government, Inc., or any entities with a reporting relationship to such organizations.
 - c. those contained within collective bargaining agreements.

C. Assignment of Responsibility

The Office of Institutional Research and Planning is assigned the following responsibilities:

1. Develop and publish a process for the establishment of new policies that provides for review by appropriate officials and an opportunity for members of the college community to be heard on such proposals.
2. Develop and publish a process for amendment of existing policies. All material changes shall be subject to the same level of review as provided for new policies.
3. Develop and publish a standard template for all proposals for new or amended policies.
4. Administer the policy process and serve as a resource for policy writers.
5. Maintain a repository of all official college administrative policies, procedures, statements, and practices, including their amendment history.
6. Ensure that all current college administrative policies, procedures, statements, and practices are available online.
7. Complete, no later than June 30, 2013, a full review of all existing administrative policies in consultation with the officer, director, or chair of the division, office, department, or committee to which the policy applies. Identify each document as a policy, process, guideline, statement, or practice. If material changes are proposed, ensure that each is subject to the appropriate approval process.

8. Ensure that every college administrative policy is reviewed whenever necessary and at least once every five years.

D. Codified Instruments of College Administrative Governance

1. **Executive Actions.** Pursuant to R.I.G.L. § 16-59-4, which states the president “shall be the chief administrative and executive officer...” of each public institution of higher education, the president may issue an executive action in order to fulfill the administrative and executive responsibilities of the office. These may be issued under extraordinary circumstances where timely action is required, or at any other time deemed necessary by the president. An executive action remains effective until it is altered or rescinded by a subsequent executive action, or until such date as specified within the executive action itself.
2. **Procedures.** Procedures prescribe a series of steps necessary in order to carry out a policy. Policies are often appended with procedures, although procedural documents can also stand alone. All new procedures or material amendment(s) thereof must be approved at the vice presidential level; however, whenever the procedure or amendment affects more than one college division, review and approval must be obtained at the level of the President’s Executive Cabinet (P.E.C.)
3. **Guidelines.** Guidelines provide recommendations and advice that allow some discretion or leeway in interpretation, implementation, or use. They often reflect best current practices. Guidelines may be appended to policies or procedures, and can also stand alone. Guidelines must be reviewed and approved at one administrative level above their point of origin.
4. **Statements.** Statements are formally adopted or issued declarations from an officer, committee, or other organized group that express an official viewpoint. They do not require review or approval; however, all statements adopted by a committee or organized group should reflect the documented viewpoint of a majority of members.
5. **Practices.** Practices are customary approaches to actions or events that occur on a regular basis. To assist in future planning, practices involving more than one division, office, department, or unit should be appropriately documented. Practices are always subject to change as circumstances warrant, but any change in an established practice must be communicated to all those affected.

PART 5. PROCEDURES

- A. Policy proposals may emanate from any member of the college community. Each proposal shall have an identifiable Policy Originator. The originator shall use the [Standard RIC Policy Template](#) (“the template”), which is available for download from the college website. All policy proposals shall be submitted in electronic form. Prior to submission, the originator shall obtain the approval of the appropriate director, chair, or unit manager, and this shall be indicated on the signature page of the template.
- B. The originator shall submit the completed policy proposal to the Office of Institutional Research and Planning (IR&P), which shall provide assistance, ensure that the proposal is complete and in proper form, and monitor and guide the proposal through the review and recommendation process. In addition, IR&P shall determine whether the proposal is indeed a policy or whether it

would be considered as a different instrument of codified college governance as outlined in Part 4, Section D of this policy. IR&P shall also determine if the proposal may be in conflict with collective bargaining contracts, policies of the governing board, or state or federal law. Should the proposal meet these standards, IR&P shall then forward the proposal to the dean, assistant vice president, or vice president who has oversight authority for the Responsible Office or Official proposed in the policy.

- C. At each level of review, the reviewing officer(s) shall approve, disapprove, or approve with amendments. Any disapproval or approval with amendments shall include a brief statement indicating the reasons therefor. Margin comments, such as those that can be added under the “review” tab of a software program such as Microsoft Office, or similar, are sufficient for this purpose. Once any reviewing officer(s) completes the review and recommendation process, the proposal, with all comments and recommendations thereon, shall be returned to the Office of Institutional Research and Planning, which shall log in said proposal and transmit it forthwith to the next level of review and recommendation.
- D. If the reviewing official referenced in section B is a dean or assistant vice president, the proposal shall then be referred to the appropriate vice president for review and recommendation. Once a proposal has been reviewed and recommended by the appropriate vice president, that vice president shall present the proposal to the President’s Executive Cabinet (P.E.C.) for initial review. The P.E.C. shall recommend to the President either approval, disapproval, or approval with amendments.
- E. The proposal shall then be vetted by the Executive Committee of the Council of Rhode Island College, which may offer its comments and suggestions.
- F. Following this review by the Executive Committee of Council, P.E.C., at its discretion, may seek to circulate the proposal electronically to faculty and staff for comment. The period of comment shall be two calendar weeks (fourteen days). IR&P shall be responsible for circulation of the document, recording of public comments, and developing recommendations based on any such comments.
- G. IR&P shall then forward the proposal, with attachments, public comments, and recommendations included, for a second P.E.C. review. Following this review, the President may direct changes to the proposal, if any, and then indicate final approval or disapproval.
- H. The President’s approval shall be necessary for adoption of any college administrative policy.
- I. Notice, endorsement, and/or approval:
 - 1. Those policies for which endorsement is sought from the Council of Rhode Island College shall be submitted to Council in a manner consistent with the Charter and By-Laws of Council.
 - 2. Those policies requiring notice to the governing board of the college shall be submitted by the President for such action.
 - 3. All policies approved in final form shall be reported to Council as part of the President’s Report.

- J. Approved policies shall be forwarded to the Office of Institutional Research and Planning for proper numbering, formatting, and posting on the college website. IR&P shall also disseminate and publish the policy as indicated by Part 14 of the policy.
- K. Future amendments of a substantive nature to existing policy are subject to the same review process as at the time of initial approval. Editorial corrections, changes of grammar, style, or formatting, or the need to change titles or offices shall not constitute substantive changes and consequently are exempt from this process. IR&P shall be responsible for such “housekeeping” tasks.
 - 1. Policies that are reviewed per Part 4, §C.8, and for which no material changes are recommended, require approval only through Part 5, step D. The purpose of P.E.C. approval is to acknowledge that the required regular review process has been completed.

L. **Standard Template**

There shall be a standard template for all administrative policies. The standard template shall consist of the following parts, although not all policies will require inclusion of every part.

- 1. **Rationale:** A brief introduction that sets the context for the policy proposal. It should describe the issue or problem the policy seeks to resolve. It should also provide reference to any statutory, legal, or regulatory basis for the policy, if applicable.
- 2. **Scope:** Indicates to whom the policy shall apply. In some cases, a policy may apply only to a limited number of departments or offices, or to a subset of the college community (e.g., students, faculty, staff), while others will be of college-wide applicability.
- 3. **Definitions:** Defines, in alphabetical order, any terms that are not readily apparent or that are specific to the policy or related procedures.
- 4. **Statement of Policy:** This part is the actual policy text itself. The statement of policy is generally brief and addresses the goal that is sought through adoption of the policy. Procedures are no longer included within this section. Revisions to an existing policy shall include the text of the existing policy (or section of policy, if the existing policy is lengthy). Proposed new language shall be indicated by underscore; language to be deleted shall be indicated by strikethrough. If all language is new, the entire text shall be indicated by underscore.
- 5. **Procedures:** Prescribes a series of steps necessary in order to carry out a policy. Procedures may not be included within the statement of policy (Part 4). In writing procedures, use the outline standard of organization specified in Part 4. Not all policies will incorporate procedures.
- 6. **Guidelines:** Provides recommendations and advice that allow some discretion or leeway in interpretation, implementation, or use. They often reflect best current practices. Guidelines may not be included within the statement of policy (Part 4). In writing guidelines, use the outline standard of organization specified in Part 4. Not all policies will incorporate guidelines.

7. **Responsibilities:** Summarizes the responsibilities of all parties and offices named in the policy. Any official identified should be indicated by title, not name.
8. **Contacts:** Includes the office or position (not individual name) to contact for clarification or other information about the specific policy. May include additional individuals if appropriate.
9. **Policy Enforcement:** This Part or portions thereof may not be applicable to all policy proposals. There are three components:
 - a. Violation(s): This describes what constitutes a violation of the policy.
 - b. Potential consequences: This may describe an outright sanction (e.g., loss of privileges, imposition of fines, restrictions on participation in certain activities) or it may indicate more general consequences (e.g., a desired outcome may not be achieved in a timely manner).
 - c. Where to report: Normally, this will be the Responsible Office or Policy Owner as defined in Part 9 of this policy.
10. **Forms/Templates/Reference Documents:** Any forms or templates associated with this policy. Also, a list of any related documents, including Rhode Island College policy documents and any external legal or regulatory documents that provide additional information about the policy and that should be published along with the policy. Provide live web links (hyperlinks) to documents where possible.
11. **Fiscal Considerations:** Indicates an estimate of costs, savings, or revenue generation, if any, that would result from implementation of the policy. Estimates should be made for the period of initial implementation as well as for ongoing periods. The cost center responsible for any policy requiring funding should also be identified.
12. **Approvals/Endorsement/Notice Required:** Indicates the level of approval, the individual's title, a space for a signature, and the date on which the signature was given. If approval is not required at any specific level or levels, N/A should be indicated in the appropriate box. If only endorsement or notice is required, it should be indicated in the "Action Step" column.
13. **Effective Date:** The date on which the policy is to become effective. If the policy is to become effective in stages, it should be indicated here. If there is a sunset provision, that should also be indicated here.
14. **Dissemination:** All approved policies will be posted on the college web. This Part should indicate if there are any additional notices required. IR&P will prepare the final approved version of the policy and submit it to the Office of College Web Communications for publishing. Those Parts of the policy document that are relevant only in the policy development process (Parts 11-16) will not be published as part of the policy but will remain on file and available at IR&P.
15. **Review Cycle:** Pursuant to this policy, all college administrative policies are to be reviewed within not more than five years following the date of enactment or previous

review. If a specific earlier date of review is necessary, it should be so indicated. Stated review dates do not preclude earlier review should circumstances warrant.

16. **Attachment(s):** Any additional document(s), such as sources consulted, that are germane to the policy approval process, but not to the published policy itself.

PART 6. GUIDELINES

- A. Normally, no level of review shall exceed fourteen days, subject to the availability of the individual or group specified for review, comment, and/or approval.

PART 7. RESPONSIBILITIES

Responsible Party	List of Responsibilities
(see Parts 4 and 5 for detail)	

PART 8. CONTACT(S)

Subject	Office or Position	Telephone Number	E-mail
Policy Clarification	Office of Institutional Research and Planning	(401) 456-8998	irpo@ric.edu

PART 9. POLICY ENFORCEMENT

Violation(s)	It shall be a violation of this policy to promulgate any applicable policy in contravention of the requirements outlined herein.
Potential consequences	Any policy subject to the terms of the Policy on College Administrative Policies not developed through the proper procedures outlined herein shall not be considered official Rhode Island College policy.
Where to report	The Responsible Office/Policy Owner is responsible for monitoring policy compliance and effectiveness.

PART 10. FORMS/TEMPLATES/REFERENCE DOCUMENTS

By-lawed Council Committees with policy-making authority: Article VI: Committee on Academic Policies and Procedures, By-Laws of the Council of Rhode Island College Article XXI: Student Conduct Board, By-Laws of the Council of Rhode Island College Article XXII: Committee on Student Life, By-Laws of the Council of Rhode Island College
R.I.G.L. § 16-59-4
Standard Template for College Administrative Policies
Template for Stand-Alone or Amended Guidelines
Template for Stand-Alone or Amended Practices
Template for Stand-Alone or Amended Procedures
Template for Stand-Alone Statements