

**IDAHO STATE UNIVERSITY**  
**POLICIES & PROCEDURES (ISUPP)**  
**Policy Development and Administration**  
**ISUPP 1010**

**POLICY INFORMATION**

**Policy Section:** *Governance/Legal*

**Policy Title:** *Policy Development and Administration*

**Responsible Executive:** *General Counsel*

**Sponsoring Organization:** *Office of General Counsel, Compliance, and Risk Management*

**Dates: Effective Date:** *12-5-11*

**Revised:** *September 18, 2017*

**I. INTRODUCTION**

Idaho State University Policy & Procedures (ISUPP) is the official repository of policies and procedures related to academic, administrative, and student activities. This document establishes guidelines to ensure Idaho State University (ISU or University) formally approves, issues, and maintains in a consistent format, all official policies in a central policy library maintained by the Office of General Counsel (OGC). This policy provides direction to individuals engaged in the development and revision of University policies and defines the requirements that must be followed when drafting, approving, and revising official policy.

**II. POLICY STATEMENT**

ISU is governed by state and federal laws, rules, and regulations, Idaho State Board of Education (Board) rules and policies, and University rules and policies. The University must adopt policies and related procedures to direct and guide the operations of the University when such state and federal laws, rules, and regulations or Board rules and policies require, or when they do not provide specific guidance or procedures or directives necessary for the efficient and effective operation of the University.

**III. AUTHORITY AND RESPONSIBILITIES**

- A. The President has ultimate responsibility for policies and procedures at the University.
- B. ISU policies are divided into Policy Sections overseen by a Responsible Executive (RE). Each policy is sponsored by a Sponsoring Organization (SO) under the authority and direction of the RE or his or her designee. The RE and OGC oversee development of the policy through the ISUPP process and assure all action steps are completed.

#### **IV. DEFINITIONS**

- A. “Compliance Committee” – A committee comprised of departments with compliance functions that meets monthly.
- B. “Executive Review Group” (ERG) – comprised of the University vice presidents, Chief Financial Officer (CFO), and General Counsel.
- C. “Policy Sections” are listed on the ISUPP website as:
  - I. Governance/Legal
  - II. Finance
  - III. Human Resources
  - IV. Academic Affairs
  - V. Student Affairs
  - VI. University Advancement
  - VII. Research
  - VIII. Athletics
  - IX. Public Safety
  - X. Information Technology Services
  - XI. Facilities and Operations
- D. “President’s Cabinet” (PC) – The President’s appointed cabinet members.
- E. “Responsible Executive” (RE) – The Executive Vice President and Provost, a Vice President, CFO, Athletic Director, Director of Public Safety, Human Resources Director, Chief Information Officer, Associate Vice President for Facilities, and General Counsel, or the RE’s designee.
- F. “Sponsoring Organization” (SO) – The organization or department, including Faculty Senate and Staff Council, initiating the policy or amendment of a policy and development of a draft policy.
- G. “Technical Working Group” (TWG) – Established by the RE for the purpose of vetting the viability, impact, accuracy and potential consequences of implementing the policy.

#### **V. PROCEDURES TO IMPLEMENT**

- A. Initiation and Proposal of Policies
  - A need for a new or revised policy or elimination of an existing one may be identified by any ISU faculty, staff, or students.
- B. Drafting Policies

1. New policies and policy revisions are overseen by the appropriate RE. In all cases, the proposal moves through the policy process until it reaches the President.
2. The analysis of the need for a policy or policy revision involves an assessment of the current adequacies, inadequacies, and history of similar policies at ISU and peer institutions, as well as the current legal, regulatory, and operational needs of the University. This also requires an in-depth understanding of the technical, system, resource and other requirements for developing and implementing a particular policy and the effects it may have on other areas of the University.
3. A Technical Working Group (TWG) consisting of a faculty, staff, and/or students representing those primarily impacted by the proposed policy or policy revision shall review and comment, not only on the content of policy drafts or policy revisions, but also on:
  - Compatibility with the mission of the University and existing policies, processes and systems
  - Accreditation and enrollment
  - Compliance with laws and regulations
  - Enforcement and monitoring of compliance to the policy
  - Research implications
  - Personnel and budget impact
  - Sufficiency of existing expertise
  - Facilities implications
4. Once the policy draft or revision is approved by the TWG, the Word document, or Word document showing the redlined changes if it is a policy revision, shall be emailed to the OGC for further review and revisions prior to submitting for 30-day comment.
5. A proposed policy or substantial policy revision will be issued by the OGC, providing a comment period of no less than thirty (30) calendar days commencing on the date first announced to the University community by email. During the 30-day period, individuals and organizations may submit written comments via e-mail to [policies@isu.edu](mailto:policies@isu.edu) regarding the proposed policy or policy revision. Comments must include the individual's name, organization, and department. Comments which do not provide the required information will not be considered. All properly submitted comments will receive consideration, but the commenter will not necessarily receive a response.
6. Proposed ISUPPs and ISUPP revisions shall be placed on the Faculty Senate and the Staff Council agenda approximately fifteen (15) days after dissemination for the 30day comment period. Members of the SO and OGC shall be invited to discuss the policy or policy revisions with the Faculty Senate and visitors and Staff Council at an

open meeting to provide an additional and focused opportunity for feedback on proposed policies beyond the general call for comments.

7. New policies and revisions will not be accepted for the approval process during the months of May, June, July, August, and December. However, when a new policy or revision to a policy is required or mandated by law during such months, the Compliance Committee determines whether the policy will be adopted as an ISUPP.
8. A 30-day comment period will not be required when the Compliance Committee, Faculty Senate Chairs, and Staff Council President determine, by majority opinion, that 1) a federal or state law or Board policy mandates the policy, or 2) a policy revision is not substantive enough to warrant a 30-day comment period.
9. After the close of the 30-day Comment Period, the SO must review all comments received, and if appropriate, revise the policy with redlined changes prior to submitting it to the OGC, Faculty Senate, and Staff Council for further review and revisions.
10. OGC, Faculty Senate Chairs, and Staff Council President shall determine if an additional 30-day comment period is necessary if a policy undergoes additional substantive changes after the initial 30-day comment period expires and before the policy has been formally approved. Additional comment notices will include the policy changes in redline form.

#### C. Approval and Announcement of Policies

1. The OGC submits the final version of the policy with Appendices C and D to the President's Cabinet (PC) (which includes a recognized voting member of the Faculty Senate and the Staff Council), Executive Review Group (ERG), and President for review and certification within 30 days. (See flowchart in Appendix A.)
2. The OGC is responsible for retention, numbering, and posting of the final policy. The OGC announces the policy and the RE is responsible to implement actions required by the policy, along with conducting any training that may be required.

#### D. On-going Review and/or Revision of Existing Policies

1. It is the responsibility of OGC to ensure the policies and procedures are reviewed sixty (60) days before the annual review date and are updated accordingly, although the SO may initiate a review of existing policy at any time. The OGC will send the policy as a Word document to the SO sixty (60) days prior to the annual review date. Policy changes made at the annual review must be submitted to OGC as a Word redlined document. If no revisions are required, the RE must certify the policy as unchanged.

2. If policy changes are not considered substantive at the discretion of the Compliance Committee, Faculty Senate Chairs, and Staff Council President they will be incorporated in the policy and published to the ISUPP.
3. If policy changes are considered substantive, the policy shall go to the campus for a 30-day comment period as set forth above.

**E. Maintenance of the ISU Policies and Procedures**

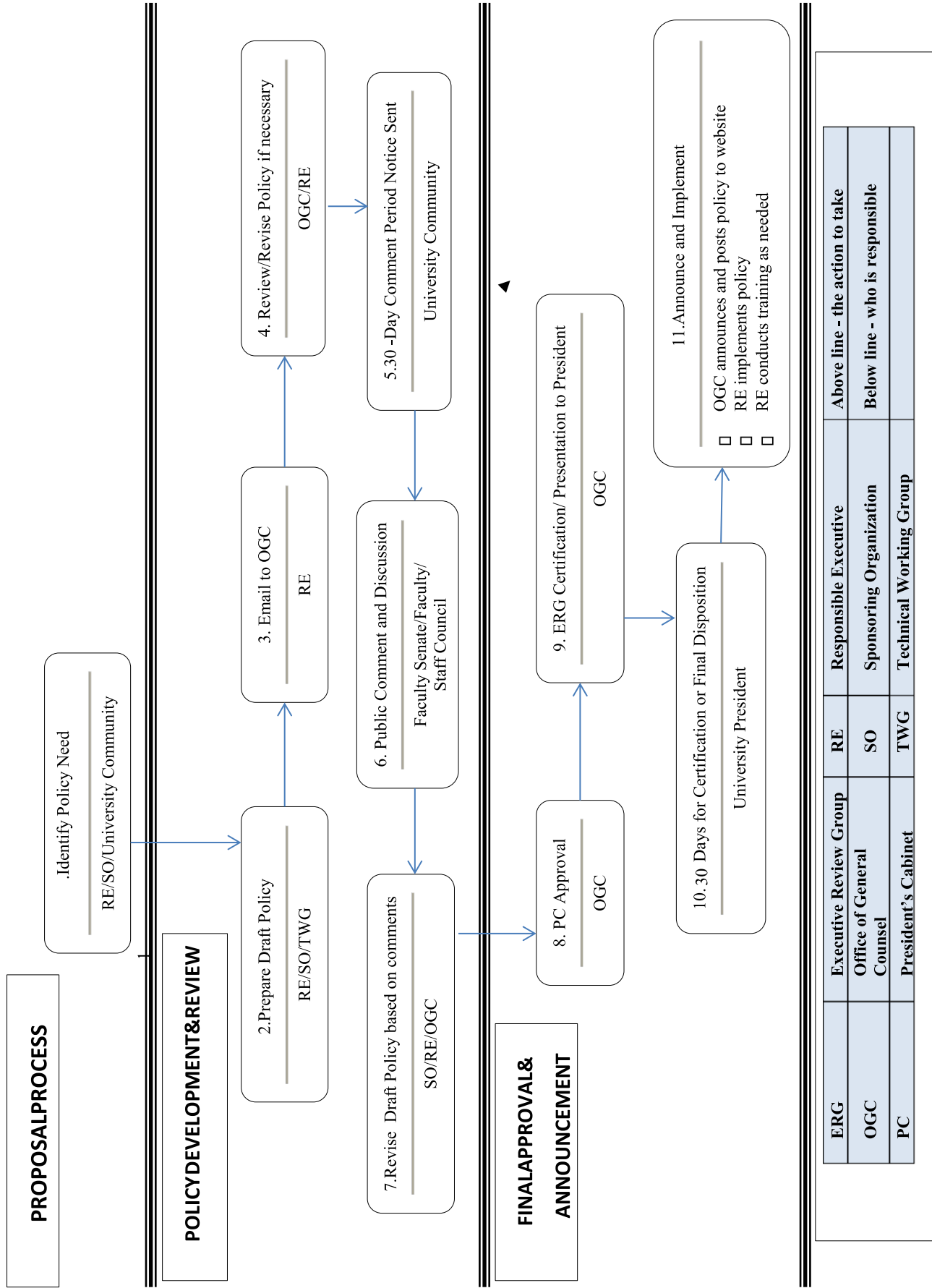
1. The OGC is the gatekeeper for the ISUPPs and is responsible to ensure policies and procedures are properly controlled and maintained. Copies of all finalized policies and certifications are retained by the OGC in accordance with University record keeping policy.
2. The ISUPP is not intended to serve as the repository for all internal procedures and guidelines of the respective division, colleges, schools, and business and academic units of the University. The division and colleges may define “departments” and “affiliated business units” according to their specific circumstances and/or accreditation requirements. For access to division, college, school and department level internal procedures and guidelines, the appropriate unit should be contacted. Any such procedures and guidelines must not conflict with applicable state and federal laws, rules, or regulations, State Board of Education rules or policies, or University rules or policies.
3. University operations are subject to applicable federal and state law and regulations, and State Board of Education policies, regardless of whether the ISUPP policies are amended in a timely manner. While the ISUPP is intended to be as complete as possible, any properly adopted and approved policies and procedures which are inadvertently omitted are nonetheless operational, as if included. All policies and procedures are subject to change at any time as approved by the University.

**VI. ATTACHMENTS**

- A. Appendix A – Policy Development Flowchart
- B. Appendix B – Policy Format
- C. Appendix C – Checklist for Review and Certification of ISU Policies and Procedures
- D. Appendix D – Executive Review Group Certification of ISU Policies and Procedures

<b>PRESIDENTIAL CERTIFICATION</b>	
<b>Approved:</b> _____ <i>Arthur C. Vailas</i> <i>President, Idaho State University</i>	<b>Date:</b> _____

**Appendix A - ISUPP  
Policy Development Flowchart**



**APPENDIX B - Policy Format  
IDAHO STATE UNIVERSITY**

ERG	Executive Review Group	RE	Responsible Executive	Above line - the action to take
OGC	Office of General Counsel	SO	Sponsoring Organization	Below line - who is responsible
PC	President's Cabinet	TWG	Technical Working Group	

# POLICIES AND PROCEDURES (ISUPP)

Insert Policy Title

ISUPP \_\_\_\_\_

## *POLICY INFORMATION*

**Policy Section:** *Insert applicable Policy Section I through XI*

**Policy Title:** *Insert title*

**Responsible Executive (RE):** *Insert – Executive Vice President and Provost, Vice President, CFO, Athletics Director, Public Safety Director, HR Director, CIO, Associate VP for Facilities, or General Counsel*

**Sponsoring Organization (SO):** *Insert SO under the authority of RE*

**Dates: Effective Date:** *Insert original effective date*

**Revised:** *Insert latest revision date*

### **I. INTRODUCTION** (optional)

This paragraph should briefly describe the background and history surrounding the need for developing the policy, such as, governmental regulations or State Board of Education policy.

### **II. POLICY STATEMENT** (required)

This paragraph sets forth the specific policy and should include the purpose and objectives to be accomplished, including clarifications on the subject matter.

### **III. AUTHORITY AND RESPONSIBILITIES** (required)

This paragraph describes the scope of the policy and includes key individuals and departments which have authority and responsibilities to perform various duties set forth in the policy.

### **IV. DEFINITIONS** (optional)

When the subject matter requires a precise understanding of terms, they should be included here. This allows easy reference for terms that may not be commonly known but the term is used frequently throughout the policy. When a term has limited use, it can be defined in the body of the section and Definitions may be omitted.

### **V. PROCEDURES TO IMPLEMENT** (optional)

Procedures describe how the policy is implemented. The action steps included here should clearly and accurately describe the process and responsibilities for accomplishing tasks governed by the policy. Procedures are the required process for the specific situation. The procedures should be organized for ease of use. Some policy sections may require multiple procedure headings for the different tasks addressed. Some policy sections may find it useful to include individual responsibilities as a separate heading rather than within the procedures. While procedures are organized as a chronological series of steps required to accomplish a task, responsibilities are organized as lists of tasks that must be completed by an individual or department.

## VI. ATTACHMENTS (optional)

- A. Appendix A -
- B. Appendix B -

The outline structure and sequence for ISU Policies and Procedures must include the “*POLICY STATEMENT*” and “*AUTHORITY/RESPONSIBILITIES*” sections. The “*INTRODUCTION*,” “*DEFINITIONS*,” “*PROCEDURES TO IMPLEMENT*”, and “*ATTACHMENTS*” sections should be included when necessary. Roman numerals may be deleted when optional or added when addressing additional topics germane to the policy. The outline structure should include subsets as shown below:

- A. Subheading – (Insert appropriate data.)
  - 1. Subheading – (Insert appropriate data.)
    - a. Subheading – (Insert appropriate data.)
      - i. Subheading – (Insert appropriate data.)
        - 01-09. Subheading – (Insert appropriate data.)
          - a. Subheading – (Insert appropriate data.)

Policies and procedures may also contain the following information as necessary:

- Background information
- Related information and/or documents
- Forms
- Contacts

The last section of the policy must include the President’s certification section as shown below. If the policy is certified by the President, the Office of General Counsel will publish the final policy on the ISUPP.

<p><b>PRESIDENTIAL CERTIFICATION</b></p> <p>_____ Date: _____</p> <p>Approved by Kevin Satterlee President, Idaho State University</p>
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# Idaho State University Policies & Procedures

## Checklist for Review and Certification of ISUPP Policies and Procedures

This checklist and certification document is an integral part of the ISUPP process at ISU. It is designed to assure the ISUPP process functions in a controlled environment and represents the official policy positions of the University. The completed and initialed checklist, along with the University President's signature at the bottom, are required and represents the only method by which a ISUPP may be developed, published, and implemented.

No.	Checklist Item	Yes or No (If no, explain in an attachment)		Initials of RE and OGC
1.	Did the SO and RE develop a policy draft in accordance with the ISUPP 1010 - Policy Development and Administration and Appendices AC?	Y	N	_____ (RE/OGC)
2.	Has the Responsible Executive reviewed the policy draft with the Technical Working Group, if selected?	Y	N	_____ (RE/OGC)
3.	If required by OGC, has the policy draft gone to the University for a 30-day comment period?	Y	N	_____ (RE/OGC)
4.	Has the OGC and RE reviewed and revised the policy for compliance with legal and other issues?	Y	N	_____ (RE/OGC)
5.	Has the President's Cabinet reviewed and concurred with the policy?	Y	N	_____ (RE/OGC)
6.	Has the Executive Review Group reviewed and certified the policy?	Y	N	_____ (RE/OGC)
7.	Has the RE reviewed the final policy and OGC presented the policy to the University President for certification/final disposition?	Y	N	_____ (RE/OGC)

**CERTIFICATION**

**ISUPP No.:** \_\_\_\_\_

**ISUPP Title:** \_\_\_\_\_

Date: \_\_\_\_\_, 20\_\_\_\_

*I have reviewed this ISUPP and by my signature certify it \_\_\_\_\_*

**Kevin Satterlee, President** for publication and dissemination.

Date: \_\_\_\_\_

# Idaho State University Policy & Procedures

## Executive Review Group (ERG) Certification of ISU Policies and Procedures

This certification is a subset of the *Checklist for Review and Certification of ISUPP Policies and Procedures*. Its purpose is to document that the Executive Review Group has reviewed and approved of the subject ISUPP, as noted by their signature on this document. This document will be maintained as part of the documentation related to the subject ISUPP.

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<b>ISUPP Title:</b> _____
<b>ISUPP No.:</b> _____
<b>Date:</b> _____

<i>Executive Review Group Member Position</i>	<i>Signature of ERG Member</i>
Executive Vice President and Provost	_____
Chief Financial Officer	_____
Vice President for University Advancement	_____
Vice President for Research	_____
Vice President for Student Affairs	_____
Vice President for Health Sciences	_____
General Counsel	_____