

SUNY
SCHENECTADY
COUNTY COMMUNITY COLLEGE
Mission, Goals, & Board Operations

Board of Trustees Policy

SUBJECT: Policies & Procedures Guide	NUMBER: 1.3.1
	DATE: February 22, 2016
	SUPERSEDES:

Purpose

The Policies & Procedures Guide will support College employees in the process of revising and/or developing new policies for SUNY Schenectady. The guide defines the difference between a policy verse procedures and emphasizes the importance of maintaining up-to-date policies and procedures.

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POLICY AND PROCEDURES GUIDELINES

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Definitions

POLICY

At SUNY Schenectady, a policy is defined as a concise, official and required statement which influences and determines all major decisions and actions, and all activities taken place within the boundaries set by the policy. The policy should serve as a basis for decision-making and a means by which the college reduces institutional risk. Policies support the college's mission and goals; thus, a policy should change infrequently. A policy has final approval by the Board of Trustees.

PROCEDURES

Requires steps needed to enforce and comply with a policy and meet its overall purpose. Procedures specify who does what and when. They may be reviewed and revised more frequently than policies.

POLICY OWNER

The policy owner should be an administrative position or department responsible for the development, oversight and review of policy. This will typically be a Vice President or Executive member of the President's Cabinet.

SCOPE

The scope of a policy includes:

- All areas of the College.
- Where relevant, the type of course or program to which the policy applies.
- The members of the College community to whom a policy applies.
- A mechanism for due process (as applicable)

RESPONSIBLE PARTY

- The Administrative areas responsible for implementation of the policy and procedures in their work area (i.e. Vice President of Academic Affairs, Vice President of Student Affairs, Vice President Administration, Chief Information Officer, Deans; Faculty; divisional directors and/or managers).
- The Administrative areas responsible for monitoring implementation of and compliance with the policy and its associated procedures. (i.e. Executive Directors, Assistant/Associate Vice Presidents).

KEY STAKEHOLDERS

The key stakeholders are those directly affected by a policy, including those responsible for implementation and compliance monitoring, and must be consulted during development or revision of the policy and its associated procedures. Key stakeholders may include students and/or members of the external community as well as faculty, staff and administrators.

ENDORSEMENT BODY

The Endorsement Body: (Academic Senate), or body (President's Cabinet) with responsibility for endorsing a policy and approving procedures, and submitting policy to the ultimate body for approval.

ULTIMATE BODY

The Approval Body: The area responsible for the approval of policy, and notification of the policy owner. The approval body for Schenectady County Community College policies are the College's Board of Trustees.

Development of new policies and procedures

Analyze and determine need for new policy and/or procedures

The need for new policy and/or procedures may be acknowledged by:

- an ultimate (approval) body;
- an endorsement body; or
- a key stakeholder.

The triggers for a new policy and/or procedures may include:

- changes caused by external ;
- changes to government policy or law;
- review of the strategic directions of the College;
- new initiatives within or across academic or management areas;

Review of Existing Policy and Procedures

Policies and procedures of the College must be reviewed on a regular basis. The review cycle may vary depending on the policy type and its scope, but five years would be typical, and there must be no more than five years between policy reviews. Procedures are likely to be reviewed more frequently. Review dates should be set to allow adequate time for revision and approvals processes.

Minor editorial updates that do not affect the title or substance of the policy (purpose, scope, policy statement) do not need to go through the formal approvals process. These include correction of typographical errors or changes to:

- stakeholders
- policy owner
- contact person/maintainer
- key words and definitions

These changes should be provided to the policy maintainer via the Board of Trustee Policy Change Request form.

Notify policy preserver when review is due

The *policy preserver* is the person who maintains all policies and its accompanying procedures and is also the contact person for queries about the policy (Chief of Staff, President's Office).

Processes Common to Policy and Procedures Development and Review

Identify scope and stakeholders

The *policy owner* identifies the scope and key stakeholders.

Research and Analysis

New policy and/or procedures

The research process for a new policy and/or procedures is initiated by the *policy owner* and may include environmental scanning and benchmarking of relevant internal and external organizations, as well as investigation and analysis of:

- relevant government policy and legislation, and federal codes;
- Community College legislation;
- peer institutions' policies;
- research of best practices; and/or
- existing policies.
 - gaps
 - need to revise or rescind
 - consistency
- possible constraints on implementing the policy at lower organizational levels;
- previous records of relevant bodies;
- other relevant data.

Review of policy and/or procedures

The research process for review is also initiated by the *policy owner* and includes investigating:

- whether the policy and/or procedures is still consistent with best practice, strategic directions of the College, and changes in federal codes or government policy and legislation;
- whether the policy meets stakeholders' needs;
- constraints on implementing the policy at lower organizational levels;
- the level of compliance with the existing policy and/or procedures;
- whether any related policies need to be revised or rescinded.

Draft policy and/or procedures

Based on research and analysis, a draft of the new, amended or revised policy and procedures is prepared by the *policy owner*. If consequential revision is required to related policies or procedures, these drafts must also be prepared.

Amend or revise

After the consultation process, with Academic Senate, further amendments or revisions may be required. If further revision is recommended, a revised draft is prepared and a new round of consultation is initiated by the *policy owner*. This cycle is repeated until no further amendments/revisions are recommended.

Consider for policy endorsement and procedure approval

When the *key stakeholders* are satisfied with the draft/s, the policy owner submits the draft/s to the *endorsing body* for approval of procedures, together with any recommendations for rescission of existing policy.

When the *endorsing body* is satisfied, the draft/s and any recommendation to rescind an existing policy to the *ultimate body* (Board of Trustees) for approval.

In the case of policies and procedures under review, if the *policy owner* considers that no revision is required, a recommendation is made to the *endorsing body* that the existing policy and procedures stand and be next reviewed according to the review schedule. A recommendation to this effect is submitted to the *ultimate body*.

Notify policy owner

For both new policies and procedures and those under review, the *endorsing body* advises the *policy owner* if further amendments and/or revisions are required. The *policy owner* then re-initiates the process of revision and consultation with the *key stakeholders*.

When no further amendments and/or revisions are recommended to procedures, the *endorsing body* advises the *policy owner*.

Consider for policy approval

If the *ultimate body* is satisfied with the endorsed draft/s, the draft is approved as policy.

For policies under review, any recommendation from the *endorsing body* that no revision is required must be approved by the *ultimate body*. For existing policies, any recommendation to rescind must also be approved by the *ultimate body*.

Notify policy owner

If the *ultimate body* considers that further amendment and/or revision is required, the policy is referred back to both the *endorsing body* and the *policy owner*.

The *policy owner* then re-initiates the process of revision and consultation with the *key stakeholders*.

If no further amendments and/or revisions are recommended, the *ultimate body* advises the policy owner.

Submit policy and procedures

The *policy owner* or designated position submits the policy and procedures, along with a draft resolution, to the *policy preserver* via the paper submission templates. The Policy form will not be published unless:

- all defined fields are complete;
- the Procedures form has also been completed and submitted.

If a policy is being rescinded, the policy owner or designated position also submits this information via the template. A policy and resolution template has been developed for use.

Policy Location Updates

Once the *ultimate body* approves the policy, the *policy preserver* will update the Board of Trustee manual and the College's internal Portal.