

## Policy on Policies

Section: 1

Policy number: 1.3

Responsible Office: Vice President for Health Affairs/Dean

Issued: 11.1.09

Latest Review: 2020-2021

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### POLICY STATEMENT

Policies are important to the efficient and effective operation of the school. Clearly stated and accessible policies provide direction for timely action; enable diverse units of the school to work toward a common purpose and strategic goals; promote consistency and predictability; foster compliance with legal, accreditation and other requirements; and, facilitate quality assurance and improvement.

All policies of the School of Medicine and Health Sciences shall be:

- initiated and developed according to approved procedures
- organized and presented using a common template
- submitted, as appropriate, to UND general counsel for review and feedback
- approved by the appropriately authorized committee/group
- maintained centrally in electronic format
- accessible to administration, faculty, staff and students
- reviewed and, where appropriate, revised annually

School of Medicine and Health Sciences policies may not conflict with ND SBHE or UND policies but may be more restrictive in scope.

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### REASON for POLICY

To ensure that University of North Dakota School of Medicine and Health Sciences policies are established, applied, monitored and reviewed consistently and appropriately across the school.

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### SCOPE of POLICY

This policy applies to:

Deans, Directors, and Department Heads

Managers and supervisors

Students

Faculty

Staff

Others: \_\_\_\_\_

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## WEB SITE REFERENCES

UND SMHS Policy website: <https://med.und.edu/policies/index.html>

Responsible Office: <https://med.und.edu/deans-office/index.html>

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## DEFINITIONS

Administrative	Relating to personnel and human resources, budget, physical plant, compliance, scholarly/research activities, and other operational matters.
Policy	A statement communicating management philosophy and direction used to guide the school in the conduct of its affairs; indicates <i>what to do</i> .
Procedure	A series of specified actions necessary to accomplish a goal, <i>i.e.</i> , an operational process required to implement school-wide or department/program policy; indicates <i>how to do it</i> .
Departmental and educational program policies	Applies to personnel, <i>i.e.</i> , faculty, staff and students, or processes strictly within the specified department or educational program
School-wide policies	Applies to personnel or programs uniformly across the school
FC	Faculty Council
SMHS	School of Medicine and Health Sciences
UMEC	Undergraduate Medical Education Committee
GMEC	Graduate Medical Education Committee

## RELATED INFORMATION

Bylaws of the SMHS	<a href="https://med.und.edu/education-faculty-affairs/files/docs/bylaws.pdf">https://med.und.edu/education-faculty-affairs/files/docs/bylaws.pdf</a>
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## CONTACTS

General questions about this policy can be answered by your department's administrative office. Specific questions should be directed to the following:

Subject	Contact	Telephone/FAX	Office/Dept
Policy clarification	<a href="mailto:jeanette.gratton@und.edu">jeanette.gratton@und.edu</a>	777.2514/777.3527	Dean's office
Policy format	<a href="mailto:jeanette.gratton@und.edu">jeanette.gratton@und.edu</a>	777.2514/777.3527	Dean's office

## PRINCIPLES

1. Faculty Council recommends school-wide policy brought from its standing committees and by its own initiative. The dean approves and authorizes these policies.
2. Departments and educational programs establish and approve their own policies and procedures.
3. The dean or the dean's designee(s) establishes, approves, manages and reviews policies related to the administrative operations of the SMHS.
4. As the chief academic officer of the SMHS, the dean has ultimate authority over all SMHS policies and procedures.
5. It is the responsibility of the dean's office to maintain records of and make available all SMHS policies.

## PROCEDURES

### **A. Procedures for creating and reviewing administrative, school-wide and education program policies**

1. The SMHS policy template is used in the creation and review of administrative, school-wide, and departmental and educational program policies.
2. Each policy is reviewed and approved annually by the responsible committee/group.
3. A completed *Statement of Annual Policy Review and Checklist for Creating and Reviewing Policies*, dated and signed by the responsible committee/group chair, is submitted together with copies of any new and/or revised policies to the dean's chief of staff within 14 days of completion and no later than June 30 each academic year.
4. The dean's office ensures correct titles and numbering of all policies and makes policies accessible digitally online within 6 weeks of receipt.

### **B. Checklist for creating and reviewing administrative, school-wide and education program policies**

#### **The checklist for review of an existing policy must:**

1. Affirm the policy has been reviewed within 12 months of the previous review.
2. Document any action taken on the basis of annual review, i.e., no change, revision, deletion.
3. Be dated and submitted to the office of the dean within 14 days of any action taken.
4. Document the administrative staff within the office of the dean has ensured correct policy format, title, number and dates prior to posting to SMHS website.
5. Affirm the policy is made accessible digitally online within 6 weeks of approval.

#### **The checklist for a new policy must:**

1. Document the office of the dean has been notified a new policy is under consideration.
2. Demonstrate the new policy is written using the designated SMHS policy template.
3. Document the new policy is submitted, as appropriate, to UND general counsel for review and feedback.
4. Be dated and submitted to the office of the dean within 14 days of approval.
5. Document the administrative staff within the office of the dean has ensured correct policy formats, titles, numbers and dates prior to making a policy accessible digitally online.
6. Affirm the policy is made accessible digitally online within 6 weeks of approval.

### **C. Administrative Policies**

The dean or the dean's designee(s) is responsible for establishing, approving, managing and annually reviewing policies related to the administrative operations of the SMHS.

### **D. School of Medicine and Health Sciences (school-wide) policies**

1. The Faculty Council is responsible for managing the establishment and approval of all school-wide policies and procedures and for annually reviewing and, where necessary, recommending updates to all school-wide policies and procedures. FC shall make all school-wide policies available to all SMHS faculty, staff and students. All FC-recommended school-wide policies and procedures shall be approved by the dean in advance of becoming effective.
2. All school-wide policy proposals brought for FC consideration will be made available for a two-week period to provide opportunity for further comment by the SMHS voting faculty. Following the comment period, FC will review the proposed school-wide policy document

and all received comments. Once the FC has made a determination and recommendation regarding a proposed school-wide policy (including possible revision based on comments received from the voting faculty), the proposed school-wide policy and FC's recommendation will be forwarded to the dean, who may approve the school-wide policy, approve it with minor revision(s), reject it, or refer it back to the appropriate committee for further study, deliberation, and action.

3. All approved FC school-wide policies will be made accessible digitally online.
4. An editorial change to a school-wide policy is not considered a policy change requiring revision, a comment period and approval by FC. For example, a title change to an administrative position is an editorial edit and does not change a policy in substance.

**E. Departmental and Educational Program Policies**

1. Biomedical and Health Sciences: The department and educational program faculty are responsible for the establishment and approval of policies and procedures at the departmental and educational program levels. The department and educational program faculty are expected to annually review and, where appropriate, revise and update policies and procedures. All departmental and educational program policies and procedures are to be made available to their faculty, staff and students. As the chief academic officer of the SMHS, the dean has the ultimate authority over departmental and educational program policies and procedures.
2. Undergraduate Medical Education: The UMEC is responsible for establishing, approving, managing and annually reviewing policies and procedures related to the undergraduate medical education program. UMEC establishes the process by which policies for the undergraduate medical education program reach the committee for final approval. UMEC will make undergraduate medical education policies and procedures available to UME faculty, staff and students.
3. Graduate Medical Education: The GMEC is responsible for establishing, approving, managing and annually reviewing GME-wide policies and procedures applicable across all SMHS GME programs. GMEC will make GME-wide policies and procedures available to GME faculty, staff and residents/fellows. Individual residency/fellowship program faculty, in accordance with their faculty governance structures, are responsible for establishing, approving, and managing their own policies and procedures. All individual residency/fellowship program policies and procedures must be consistent with overall GME-wide policies and procedures and made available to their faculty, staff and residents/fellows.
4. All approved departmental and educational program policies will be filed with the dean's chief of staff to be made accessible digitally online.

**RESPONSIBILITIES**

Dean's Chief of Staff	<ul style="list-style-type: none"> <li>• Collates, posts, and notifies stakeholders of all proposed policies</li> <li>• Make the draft of the proposed school-wide policy accessible digitally online, notifies the voting faculty of the availability of the proposed school-wide policy statement and the two-week comment period, collects received comments and forwards all materials to FC for consideration and action</li> </ul>
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	<ul style="list-style-type: none"> <li>Makes approved policies accessible digitally online</li> </ul>
Dean	<ul style="list-style-type: none"> <li>Adjudicates proposed policy by one of the following methods: approves the policy, approves it with minor revision(s), rejects it, or refers it back to the appropriate committee for further study, deliberation, and action</li> </ul>
FC	<ul style="list-style-type: none"> <li>Provides final recommendations to the dean on all school-wide policies</li> </ul>
Department or program committee/group	<ul style="list-style-type: none"> <li>Establishes and approves policies and procedures at the departmental and educational program levels</li> </ul>

## FORMS

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## REVISION RECORD

08.10.20 - FAC approved  
08.10.20 - Dean approved  
05.30.17 - Minor edits