



UNIVERSITY of MARYLAND SCHOOL OF NURSING

Policy on Policies, Procedures, and Guidelines for Faculty, Staff, and Administration

Responsible Administrator: Dean

Sponsoring Unit: Governance Council

Effective Date: 9/25/2009

Last Reviewed: 10/2020

Next Scheduled Review: 07/2024

POLICY STATEMENT

The School of Nursing will use the uniform process described herein to develop, approve, disseminate, implement, maintain, and amend all policies, procedures, and guidelines that relate to faculty, staff, and administration. This policy does not apply to policies, procedures, and guidelines that impact student admission, progression, or graduation.

RATIONALE

A clearly articulated, uniform process for enacting policies promotes efficiency, compliance, the contribution of interested parties, adequate notice, common understanding, and consistency. It ensures the regular review necessary to keep policies, procedures, and guidelines (hereafter referred to as policies) relevant and effective. This policy is intended to provide administrative units and other UMSON entities with the flexibility and discretion to develop policies efficiently, to optimize the achievement of policy goals, and to assign accountability for all aspects of policy formulation and implementation. It also articulates the relationship between the administration, Faculty Council, and Staff Council, which is grounded on the concept of shared governance.

SCOPE

This policy applies to all administrative units and councils as well as to the Faculty Council and Staff Council.

RELATED POLICIES, PROCEDURES, STATUTES, AND REGULATIONS

School of Nursing Policies and Procedure – N/A

USM, UMB, and Other External Policies, Statutes, and Regulations – N/A

CONTACTS

Questions regarding this policy should be addressed to the dean.

DEFINITIONS

Administrative Unit - An office, department, or other organizational entity within the School (e.g., academic department, Office of Development and Alumni Relations).

Effective Date - The month, day, and year on which the policy goes into effect. It may or may not be the date on which the dean approves the policy.

Guideline - A statement that provides direction and assistance on accomplishing tasks through the use of a recommended course of action. It permits discretion in its interpretation or application. The role of a guideline is to make the actions of individuals more predictable and of higher quality.

Last Reviewed - The month and year on which the sponsoring unit most recently reviewed the policy.

Next Scheduled Review - The month and year by which a policy requires another review by the sponsoring unit to determine if changes or revisions are necessary. The review date is three months in advance of the next effective date, which — unless otherwise indicated — is four years from the last review.

Policy - A concise written statement that defines the School's position or strategy regarding a given matter. A policy defines the parameters for decision-making and clarifies compliance issues. The principles expressed in a policy are derived from and shaped by laws and regulations that govern the School, state and federal standards, community expectations, and the values and mission set out in the School's strategic plan. The role of the policy is to:

- translate values into action
- achieve compliance with statutory, professional, and other responsibilities
- guide the achievement of a strategic plan
- set standards
- improve risk management.

Policy Development Process - The procedure used by a sponsoring unit to obtain adoption of a new policy or a substantially revised existing policy.

Policy Review Process - The established procedure through which a sponsoring unit conducts policy review.

Policy Statement - A summary description that explains to whom the policy applies, the circumstances or conditions under which the policy applies, and the terms or requirements of the policy.

Procedure - The actions or steps that must be taken to execute a University or School of Nursing policy. Procedures are developed in conjunction with a policy and apply whenever the policy is implemented. The role of procedure is to:

- provide clear instructions on the way policy will be implemented
- ensure uniformity and compliance across the institution
- enable monitoring of policy implementation.

Rationale - A summary explanation that describes the goal the policy is intended to achieve. The rationale may include the legal, regulatory, operational, and structural challenges and circumstances to which the policy responds.

Responsible Administrator - The individual who oversees a sponsoring unit, or another person designated by the dean or the dean's designee. The responsible administrator recommends, initiates, or authorizes the sponsoring unit to initiate the policy development or substantial revision process.

Sponsoring Unit - The administrative unit or other entity, e.g., Faculty Council, Staff Council, responsible for initiating, implementing, and promoting compliance and revision of a policy. The sponsoring unit takes the lead in advocating for, developing, and implementing new policies or revisions.

Standard - A statement that provides a basis for comparison; a criterion or benchmark that provides a reference point against which other similar actions, behaviors, or decisions can be evaluated.

Substantial Revision - The standard for determining whether proposed changes to an existing policy trigger application of the policy development process. A substantial revision results in changes of a policy's scope, application, or terms that have a significant impact on those who must comply with the policy. Changes to a policy's appendices, forms, online tools, or implementation procedures do not ordinarily constitute substantial revisions unless those changes result in a significant impact.

Questions about whether a proposed revision is subject to the policy development process should be addressed to the dean or the dean's designee prior to commencing revision.

RESPONSIBILITIES

Dean, School of Nursing

- Upon notice of policy initiation or substantial revision by a responsible administrator, authorizes or prohibits action by the sponsoring unit.
- Designates a responsible administrator, if necessary.
- Consults with the Governance Council and other parties internal and external to the School, as needed or desired, on the need for and benefits and disadvantages of the proposed policy.
- Participates in policy approval deliberations.
- As chief executive, is ultimately accountable for the functioning of the School of Nursing and therefore is vested with the final authority for the approval of policies. This authority rests within a shared governance structure and is exercised judiciously and mindfully to assure the integrity of the governance structure.

Governance Council

- Reviews all proposed policies or policy revisions subject to the policy, as requested by the dean or responsible administrator, and provides guidance to the sponsoring unit on modifications, as needed.
- Consults with Faculty Council on policies that may have consequences for matters within the purview of the Faculty Organization.
- Consults with Staff Council on policies that may have consequences for matters within the purview of the Staff Council.
- Votes to adopt or reject policies brought before the council.

Special Assistant to the Dean

Oversees retention and maintenance of the Policy Summary Table.

Office of the Dean

- Indexes and posts policies and policy revisions to the Policy Summary Table.
- Ensures faculty and staff access to electronic policy documents.
- Maintains a calendar of scheduled review dates and notifies the sponsoring unit of upcoming deadlines to ensure timely review.

Office of Communications

- Edits the policy document in accordance with the [Editorial Review Policy](https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-Editorial-Review.pdf)¹.

¹ <https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-Editorial-Review.pdf>

- Communicates the new or revised policy to the School community.

Faculty Council

- Consults with the Governance Council regarding policies developed by the Faculty Organization that have financial or administrative consequences.
- Consults with the Governance Council regarding policies developed by the Governance Council that have implications for matters under Faculty Organization authority.

Legal Counsel – Within the School of Nursing

- Advises the sponsoring unit regarding the need for a new policy or for substantial revisions to an existing policy.
- Advises the sponsoring unit in the drafting and finalization of policies developed or reviewed under this policy, in particular, with respect to legal considerations.
- Ensures that a proposed policy is in accordance with other School; University of Maryland, Baltimore (UMB); and University System of Maryland (USM) policies.

Responsible Administrator

- Identifies the need for a new policy or for revisions to an existing policy.
- Approves or denies requests for policy development or substantial revision, following consultation with the dean and Governance Council.
- Participates in and oversees policy development or revision by the sponsoring unit.
- Notifies the Governance Council of policy initiation or revision.
- Serves as liaison between the Governance Council and sponsoring unit throughout the policy development process.
- Oversees sponsoring unit compliance with this policy.
- Responds to questions about the policy from affected units or individuals.
- Monitors implementation and compliance with the policy.

Sponsoring Unit

- Identifies the need for a new policy or for revisions to an existing policy.
- Develops, implements, enforces, revises, and deactivates, as appropriate, policies within its authority.
- Advocates for adoption of its proposed policies or policy revisions throughout the policy development process.
- Consults with other offices, administrators, stakeholder groups (e.g., faculty, staff), and legal counsel regarding policy development or revision as needed or required by this policy.
- Drafts new and revised policy documents in accordance with the official [template](https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-UMSON-Policy-Template-2-3-2017.docx)².

² <https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-UMSON-Policy-Template-2-3-2017.docx>

- Organizes and conducts orientation or implementation training, as needed, for new or substantially revised policies.
- Conducts regular policy reviews as required by this policy.

Staff Council

- Consults with the Governance Council regarding policies proposed by Staff Council that have financial or administrative consequences.
- Consults with the Governance Council regarding policies developed by the Governance Council that have implications for matters within Staff Council's purview.

PROCEDURES

A. Policy Development and Substantial Revision Process

The same process is used for both policy development and substantial revision of an existing policy. The process begins with the sponsoring unit. Any person or entity at the School may ask an administrative unit or the dean and Governance Council, in writing, to develop a new policy or substantially revise an existing policy. The administrative unit, in consultation with the responsible administrator and dean, as appropriate, must respond to the request, but is not required to take action if it is determined that no action is warranted.

Where substantial revision is indicated, the Governance Council may determine that the existing policy should be deactivated pending enactment of a new version. In such case, follow the procedure in B. Policy Review Process, I. Conducting the Review, Step 5 (b). The sponsoring unit must consult with other potentially affected administrative units and UMB administrators, as necessary, during the development process.

The sponsoring unit must consult with legal counsel during formulation and finalization of the policy. When the policy reaches the approval stage, the Governance Council must consult with Faculty Council or Staff Council on policies that have implications for matters within Faculty Council's or Staff Council's jurisdiction. Faculty Council and Staff Council, through their representative on the Governance Council, have a reciprocal responsibility in the development of its own policies.

1. Development Phase

Step 1: A sponsoring unit, responsible administrator, or legal counsel identifies the need for a new policy or for substantial revisions of an existing policy.

Step 2: The responsible administrator consults with and seeks the approval of the dean and Governance Council regarding the need for or denial of new policy development or substantial revision of an existing policy.

Step 3: Upon approval, the sponsoring unit proceeds with policy development or revision and produces an initial draft to facilitate the consultative process.

Step 4: The sponsoring unit and responsible administrator consult with the relevant administrative units and stakeholders (e.g., faculty, staff) that may be affected by the policy. The sponsoring unit also consults with legal counsel to identify and resolve issues related to implementation or compliance with the policy and consistency with existing UMB and USM policies. This is an iterative, collaborative process that may require repeated consultations and revisions to arrive at a final product reflecting the input of all relevant parties.

Step 5: The sponsoring unit produces a formal policy document in the standard [template](#)³ format and submits it to the dean for inclusion on the Governance Council agenda.

2. Approval Phase

Step 6: The Governance Council reviews the proposed policy. It consults with Faculty Council or Staff Council if the policy has implications for matters within the Faculty Council's or Staff Council's purview, and may consult with any other party as needed or desired. The Governance Council may recommend modifications to the responsible administrator; if this is the case, the responsible administrator will act as liaison with the sponsoring unit to ensure that the concerns of the Governance Council are addressed. The policy may have to be amended one or more times before arriving at a product that meets the approval of the Governance Council.

Step 7: The final policy document is submitted to the Governance Council for a vote.

Step 8: The approved policy is edited and formatted by the Office of Communications, in accordance with the [Editorial Review Policy](#)⁴, and according to the School's policy [template](#)⁵.

Step 9: The edited policy is sent to the dean for final action. The dean may approve or veto the policy. If the policy is approved, the dean signs and dates the document and indicates the effective date.

³ <https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-UMSON-Policy-Template-2-3-2017.docx>

⁴ <https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-Editorial-Review.pdf>

⁵ <https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-UMSON-Policy-Template-2-3-2017.docx>

Step 10: The Office of Communications finalizes the document and has it posted to the intranet Policy Guide.

Step 11: The Office of Communications alerts faculty and staff through The Elm to the adoption of a new or substantially revised policy, including information on where the document is located.

Step 12: The sponsoring unit conducts an orientation or training on the new policy, if needed, and retains all background files on policy development, based on that unit's document retention policy.

B. Policy Review Process

The sponsoring unit conducts scheduled reviews and maintains the policies it originates. Each policy must be reviewed by the next scheduled review date indicated on the first page of the policy document. At a minimum, a policy must be reviewed within four years of the last reviewed date, and in no event shall the next scheduled review date exceed four years from the last review. Any person or entity within the School may request, in writing to an administrative unit or to the dean and Governance Council, that the revision or deactivation of an existing policy be considered. It is the responsibility of the responsible administrator to monitor statutory and other factors that may create the need for review prior to the established deadline and initiate the review process.

1. Conducting the Review

Step 1: Within 90 days of initiating the review process, the sponsoring unit must review the policy and follow the procedure described in this subsection. The requirements of this subsection apply whether the review process is initiated on the next scheduled review date or at an earlier time if the sponsoring unit determines that an earlier review is necessary.

Step 2: If the sponsoring unit, after consultation with all affected parties and legal counsel and in conjunction with the responsible administrator, determines that a policy requires substantial revision, the substantial revision process described in Section A applies.

Step 3: If a policy requires changes that do not rise to the level of substantial revision, the sponsoring unit, under the direction of the responsible administrator, amends the policy and advises the Governance Council accordingly. The Governance Council considers the revision and approves, disapproves, or proposes different modifications that would permit it to approve the revision.

Step 4: If the policy requires no revision, the sponsoring unit, through the responsible administrator, notifies the dean's office as such in writing. The dean's office makes the requisite

change of last review and next scheduled review date on the policy document and the Policy Summary Table.

Step 5: If the sponsoring unit, after consultation with all affected parties and legal counsel, determines that a policy should be deactivated, it must submit a written recommendation for deactivation to the Governance Council, through the responsible administrator. The recommendation must include the rationale for such action and the date upon which the policy will no longer be effective.

- a. The Governance Council and the dean takes the recommendation under consideration and may approve or reject the recommendation, or refer the matter back to the sponsoring unit for policy revision. The Governance Council and the dean may determine that a policy should be deactivated pending substantial revision. If policy revision is indicated, the procedure for substantial revision or ordinary revision is invoked depending on the extent to which the policy will be modified.
- b. If the Governance Council and the dean approve deactivation of the policy, whether pending revision or otherwise, the Office of Communications communicates this to the School community via The Elm.

2. Notification of Scheduled Review

The Office of the Dean will notify the responsible administrator and sponsoring unit 90 days before the next scheduled review date.

FORMAT

To ensure completeness and consistency, all policies subject to this policy will be formatted according to the [policy template](#)⁶.

DATE AND SIGNATURE

Date: October 7, 2020

Approved by the Dean:



⁶ <https://www.nursing.umaryland.edu/intranet/media/son/intranet/policies-procedures/Policy-UMSON-Policy-Template-2-3-2017.docx>