
Alysa Christmas Rollock
Vice President for Ethics and Compliance

Presentation to University Senate
November 18, 2013
Background

• Charge from President Daniels

• Endorsement by the Executive Policy Review Group

• Project Team
  – Jessica Teets, University Policy Office Coordinator
  – Steve Schultz, University Legal Counsel
  – Alysa Christmas Rollock, Vice President for Ethics and Compliance

• Scope: 127 system-wide administrative policies
Policy Hierarchy

- Board of Trustees Code
- System-Wide Policy
  - System-Wide Standard
  - System-Wide Guideline
  - Campus Policy
- Operating Procedure
- Unit-Level Standard
Needs Assessments

• Key Questions

1. Is the policy necessary to promote the university's mission or relationships with stakeholders?

2. Is the policy necessary to advance a university-wide risk management or operational efficiency objective?

3. Is the policy necessary to implement a legal requirement?
Needs Assessments

• Recommendation for Disposition
  1. Retain the policy in its current form.
  2. Retain the policy, but make revisions.
  3. Consolidate the policy with another.
  4. Rescind the policy and manage the issue through other means (e.g., standard, guideline, procedure, training).
  5. Rescind the policy.
## Comprehensive Policy Review Process

<table>
<thead>
<tr>
<th>Responsible Offices (21 total)</th>
<th>Project Team</th>
<th>University Policy Committee</th>
<th>Executive Policy Review Group</th>
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</thead>
<tbody>
<tr>
<td>Completed needs assessments if &lt;=5 policies (May 15)</td>
<td>Reviewed assessments and added comments (completed Aug. 19)</td>
<td>Reviewed assessments and added comments (completed Sep. 18)</td>
<td>Reviewed assessments and approved final disposition (completed Sep. 24)</td>
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<td>Completed needs assessments if 6-10 policies (May 31)</td>
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<td>Completed needs assessments if 11-20 policies (June 14)</td>
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<tr>
<td>Completed needs assessments if &gt;20 policies (June 28)</td>
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University Policy Committee

- APSAC: Robin Cunningham
- CSSAC: Gary Carter
- Faculty, Calumet: David Pick
- Faculty, Fort Wayne: Robert Barrett
- Faculty, North Central: Janusz Duzinkiewicz
- Faculty, West Lafayette: Patricia Hart, University Senate Vice Chair
- Business Services: Sharon Steen
- HR, Calumet: Michelle Clauss
- HR, Fort Wayne: Rose Costello and Carolyn Ladd
- HR, North Central: Sue Miller
- HR, West Lafayette: Trent Klingerman and Sharon Williams
- IT: David Shaw
- Student Affairs: Jeffery Stefancic
- University Policy Office: Jessica Teets
Executive Policy Review Group

• Al Diaz, Executive Vice President for Business and Finance and Treasurer
• Laurel Weldon, Interim Vice Provost for Faculty Affairs (designee for the Provost)
• Thomas Keon, Chancellor
• Vicki Carwein, Chancellor
• James Dworkin, Chancellor
• Luis Lewin, Vice President for Human Resources
• David Williams, University Senate Chair
• Alysa Christmas Rollock, Vice President for Ethics and Compliance (Chair)
Recommendations

- Revise: 55
- Retain As Is: 8
- Rescind: 6
- Consolidate or Recast as Standard, Guideline and/or Procedure*: 58

* Net number of Policies = 10
Results

*Policies to be recast as standards may also have associated guidelines and/or procedures, but are counted only in the standards category.
Questions?