Policy on the Promulgation of SMHS Academic and Research Policy

Section: 1
Policy number: 1.13
Responsible Office: Vice President for Health Affairs/Dean
Issued: 11.1.09
Latest Review: 4.13.15

POLICY STATEMENT

The Bylaws of the School of Medicine and Health Sciences (SMHS) specify how academic and research policy recommendations are to be developed prior to action by the Dean. They specify that the Dean is the final authority in the promulgation of the SMHS policy, following advice and input from involved stakeholders (typically in the form of the SMHS’s standing faculty committee structure) and the Faculty Academic Council (FAC). The Bylaws also indicate that all academic policy documents are to be collated in a central location.

REASON for POLICY

To provide a clear and concise guide and template as to how policy will be established at the University of North Dakota School of Medicine and Health Sciences.

SCOPE of POLICY

This policy applies to:
√ Deans, Directors, and Department Heads
√ Faculty
√ Managers and supervisors
√ Staff
√ Students
√ Others: ________

WEB SITE REFERENCES

This policy: TBD
Policy Office: http://www.med.und.edu/policies/index.cfm
Vice President for Health Affairs and Dean: http://www.med.und.edu/administration/deans-office/index.cfm
### CONTENTS

- **Policy Statement**: 1
- **Reason for Policy**: 1
- **Scope of Policy**: 1
- **Web Site References**: 1
- **Definitions**: 3
- **Related Information**: 3
- **Contacts**: 3
- **Principles**: 3
- **Overview**: 3
- **Procedures**: 4
- **Responsibilities**: 5
- **Forms**: 5
- **Revision records**: 5
DEFINITIONS

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>SMHS</td>
<td>School of Medicine and Health Sciences</td>
</tr>
<tr>
<td>FAC</td>
<td>Faculty Academic Council</td>
</tr>
<tr>
<td>Policy</td>
<td>A set of principles that is used as an institutional guide for action. Provides the formal guidance needed to coordinate and execute activity through the organization, indicates what to do.</td>
</tr>
<tr>
<td>Procedure</td>
<td>A series of specified actions needed to accomplish a particular goal. Provides the operational process required to implement institutional policy. Indicates how to do it.</td>
</tr>
<tr>
<td>Academic</td>
<td>Relates to the educational and scholarly missions of the SMHS, and includes faculty development activities.</td>
</tr>
<tr>
<td>Research</td>
<td>Relates to that form of scholarship involved in the discovery and analysis of new knowledge.</td>
</tr>
<tr>
<td>Administrative</td>
<td>Relates to SMHS matters not considered academic or research in nature. Typically relates to personnel and human resource issues, budget issues, physical plant issues, compliance issues, non-educational student issues, and other operational matters not closely tied to educational, scholarly, or research activities.</td>
</tr>
</tbody>
</table>

RELATED INFORMATION

- Bylaws of the SMHS: [http://www.med.und.edu/administration/academic-affairs/forms-guidelines.cfm](http://www.med.und.edu/administration/academic-affairs/forms-guidelines.cfm)
- SMHS Policy Page: [http://www.med.und.edu/internal-resources/policies.cfm](http://www.med.und.edu/internal-resources/policies.cfm)

CONTACTS

Specific questions should be directed to the following:

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Telephone/FAX</th>
<th>Office/Dept</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy clarification</td>
<td>Dean’s Office</td>
<td>777.2514/777.3527</td>
<td><a href="mailto:judy.solberg@med.und.edu">judy.solberg@med.und.edu</a></td>
</tr>
<tr>
<td>Policy format</td>
<td>Dean’s Office</td>
<td>777.2514/777.3527</td>
<td><a href="mailto:judy.solberg@med.und.edu">judy.solberg@med.und.edu</a></td>
</tr>
</tbody>
</table>

PRINCIPLES

OVERVIEW—The Bylaws of the SMHS specify how academic and research policy recommendations are to be developed prior to action by the Dean. They specify that the Dean is the final authority in the promulgation of the SMHS policy, following advice and input from involved stakeholders (typically in the form of the SMHS’s standing faculty committee structure) and the Faculty Academic Council (FAC). The Bylaws also indicate that all academic policy documents are to be collated in a central location.
The recent Performance Audit of the SMHS performed by the Office of the State Auditor challenged the SMHS to develop “...a formal, internal review process [involving] all key partners...” and one that was “...faculty-driven...”

It shall be the policy of the SMHS to develop subsequent policy determinations through a defined process that includes the opportunity for review and comment from involved stakeholders prior to the promulgation of said policy (except in exceptional and urgent situations as approved by the Dean or the Dean’s designee). As specified in the current Bylaws, academic policy recommendations are routed through the FAC for final recommendations prior to being forwarded to the Dean. It shall be the policy of the SMHS and its Dean to promulgate policy only when both of the steps have been accomplished.

Similarly, all non-urgent research policy recommendations also will be subjected to a two week period of comment by the SMHS community.

An editorial change to a policy is not considered an amendment. For example, a title change to an administrative position is an editorial edit and not a policy change.

It is important to emphasize that the above steps are required only for policy decisions, and not for procedural or administrative ones. Most of the decisions made in the course of the day are procedural in nature, and require neither the concurrence of FAC nor a broad level of comment and feedback (although it is also expected that all proposed procedural determinations would be properly vetted with all appropriate stakeholders).

PROCEDURES

All academic policy proposals, whether emanating from standing or ad hoc committees of FAC, or through the initiative of an assistant or associate dean, will be made available for a two week period to provide the opportunity for further comment by the SMHS community. Following said two week period, the proposed policy document and all comments that have been received will be routed through FAC for consideration and analysis. Once the FAC has made a determination and recommendation regarding a proposed policy (including possible revision based on the comments), the proposed policy shall be forwarded to the Dean, who may approve the proposed policy, accept it with minor revision(s), reject it, or refer it back to the appropriate committee for further study, deliberation, and action.

Protocol—All academic and research policy proposals shall be filed with the Chief of Staff to the Dean. The Chief of Staff will place a draft of the proposed policy on the SMHS’s website, and a notification of the availability of the proposed policy statement will be provided to all stakeholders. At the conclusion of a two week comment period, the draft policy and all related comments shall be forwarded to FAC for consideration and appropriate action.

All approved policies will be posted on the policy website.
RESPONSIBILITIES

<table>
<thead>
<tr>
<th>FAC</th>
<th>● Provide final recommendations to the Dean on all Academic and Research Policies.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chief of Staff</td>
<td>● Collate, post, and notice stakeholders of all proposed policies.</td>
</tr>
<tr>
<td></td>
<td>● Post final policies.</td>
</tr>
<tr>
<td>Assistant and Associate Deans, and Standing Committees of FAC</td>
<td>● Put forth academic or research proposals via the Chief of Staff to the FAC.</td>
</tr>
<tr>
<td>Dean</td>
<td>● Adjudicate the proposed policy by one of the following methods: accept it with minor revision(s), reject it, or refer it back to the appropriate committee for further study, deliberation, and action.</td>
</tr>
</tbody>
</table>

FORMS

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>There are no forms identified for policy.</td>
</tr>
</tbody>
</table>

REVISION RECORD

11.01.09—FAC approved
11.01.09—Dean Joshua Wynne approved
4.13.15—FAC Amended
4.13.15—Dean Joshua Wynne approved