

Applies to: All college offices, faculty, staff, and students.

**Responsible Office**

**Office of the President**

### POLICY STATEMENT

Central Ohio Technical College (COTC) establishes **college policies** to identify the institution’s position across a range of matters, align operations, ensure compliance with applicable laws and regulations, and set expectations. College community members are responsible for educating themselves about and following policies. Leaders, managers, and supervisors are responsible for educating those in their departments/units about college policies and for managing their departments/units so that policies are followed. Responsible offices must inform the college community about new and updated college policies and provide resources promoting adherence to college policies.

Individuals and departments/units that develop and maintain college policies must follow this policy and procedure to issue, update, or retire college policies. This college-wide process provides continuity, ease of access and understanding, and transparent guidance to the college community about policies.

Department/unit governing documents that add to the requirements of college policies, or that address content governed by a responsible office not addressed through college policy, may require approval by the responsible office.

### Purpose of the Policy

To provide oversight for college policies using a consistent process and format; to clarify that college community members share responsibility to ensure that policies are understood and followed; and to provide parameters for departmental governing documents.

### Definitions

Term	Definition
College policy (policy)	Provides specific direction for operations, administration, or programs. As a general matter, policies are approved by the president and are issued and apply college-wide. Developed through the college policy process, policies enhance the college’s mission and operational efficiency, mandate action or constraints, and must be consistent with relevant laws, regulations, bylaws, and rules.
Procedure	Refers to the document generally and is also one of the two major sections (policy, procedure) of the policy template.  Procedures are included in the policy template. Procedures lay out the steps or the process to accomplish the policy. In the template, the procedure section includes an outline of the steps, the responsibilities section (which is a restatement of all actions identified in the policy divided by responsible office/individual), resources, contacts, and history.
Interim college policy	Provisional policy that is approved in six month increments when regulatory, accreditation, or other urgent needs require the policy to be in place before the college policy process can be finalized. Has the same force and effect as college policy.
College rule (rule)	Used to provide guidance for uniform operation of the college. Provide a framework regarding the organization, administration, and operation of the college, including rules for the governance and general administration, academics, student life and enrollment management, fiscal, and other matters. Rules are adopted by the <b>Board of Trustees</b> and become part of chapter 3357 of the Ohio Administrative Code.
Resources	Provide tools to guide and improve performance and compliance with the policy. Identified in the resources section of the applicable policy. Examples include checklists, FAQs, forms, guidelines,

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	standards or requirements, workbooks, etc.
Guidelines	Provide advice or recommended best practices. They are not mandatory and allow discretion in interpretation, implementation, or use. Guidelines may apply college wide or to a particular department or departments.
Departmental governing documents/Standard Operating Procedures	Provide specific implementation mechanisms for operations, administration, or programs within a particular department/unit or units. Departmental governing documents are applicable only to the issuing unit(s), and must prominently specify the department(s)/unit(s) to which they apply. Approved by responsible Executive Leadership Team member or department manager.
Policy template	Common format for all college policies. Includes two major sections: policy and procedure.
Executive Leadership Team	Leadership group that approves college policies and endorses policies for approval by the president. Some policies must additionally be approved by the Board of Trustees, as a result of historical practice or as required by state law. The ELT is defined in the pattern of administration contained in the college's organizational guide.
Policy owner	Senior administrative officer over a particular policy area that is responsible for the policy. Policy areas include Academic Affairs, Business & Finance, Development, Gateway/Enrollment Services, Information & Technology Services, Library, Human Resources, and Student Life.
Responsible executive	Member of the Executive Leadership Team who sponsors a policy and under whose jurisdiction falls responsibility for policy development, communication, training, strategies for compliance, and maintenance.
Responsible office	Office charged with developing, updating, administering, communicating, training, ensuring compliance with and providing resources to promote adherence to college policies that it issues.
Edit	Non-substantive change or a correction of an error, not requiring a review and approval process. Common examples are (a) the name, location, phone, email address, etc. of office changes; (b) key words, punctuation, or other editorial mistakes were made in the final stages of editing; or (c) new resources added to the resources section of the policy, which do not require substantive changes in policy or procedure.
Review	Review means the policy was reviewed and confirmed that the content was found to be current.
Revision	Substantive change requiring a review and approval process.
Stakeholder	Individual, group, or office that may have an interest in and will be affected by the policy.

### Policy Details

#### I. Guiding Principles

- A. The policy process is well-defined, understandable, transparent, and easy to navigate.
- B. The process sets out and follows a timeline for each policy.
- C. **Stakeholder** input and feedback are broadly sought, valued, and appropriately used.
- D. Policy ownership lies with responsible office/executive.
- E. Policy owners are responsible to review, update, and retire policies as needed or minimally every four years.
- F. Leaders, supervisors, managers, and individuals are responsible to understand, implement, and enforce college policies, **college rules**, and **departmental governing documents/standard operating procedures**.

#### II. College Policies

- A. Establish the college's position across a range of matters.
- B. Manifest and operationalize the college's mission, vision, and values.
- C. Endure across time and administrations; change infrequently and set the course for the foreseeable future.
- D. Support equity, integrity, and simplicity in practices across the institution.
- E. Apply across the institution.

Applies to: All college offices, employees, and students.

- F. Ensure compliance with applicable laws, regulations, and college rules.
- G. Promote quality and operational efficiency, reduce bureaucracy, and provide guidance for managing the institution.
- H. Manage institutional risk.
- I. Must be consistent with laws, regulations, and college rules.

### III. College Policy Process

- A. The college's policy process is co-managed by the Office of the President and the Office of the Vice President for Institutional Planning & Human Resources. Assistance and guidance with all stages of policy development are available from the executive assistant to the president who serves as the college policy process (CPP) coordinator, or the Vice President for Institutional Planning & Human Resources who serves as the policy process sponsor. The CCP coordinator manages the process across the college; supports responsible offices; ensures the policy process is followed; maintains the official historical and current policy files, including all documents required by the policy process, all historical versions of the policy (revisions, etc.), and current versions of all policies; and archives all superseded and retired policies in accordance with the college's record retention schedule.
- B. College policies are assigned to a **responsible office** and **policy owner** that manages the process for their office's policies and ensures that their office follows the college policy process.
- C. New and revised college policies must go through the policy process.
- D. Changes to policies
  - 1. **Edits**
    - a. Whether an update is an edit is determined jointly by the CPP coordinator and responsible office.
    - b. Edits may be made by the **responsible executive/office** and require no signature or approval process.
  - 2. **Revisions**
    - a. Substantial revisions must go through the entire process and require a signature and approval process.
    - b. Minor revisions or those revisions mandated by federal or state law or regulation may go through an expedited process.
    - c. Whether revisions are substantial, minor, or mandated by law or regulation is determined jointly by the CPP and responsible office.
- E. All policies must adhere to the **policy template**, as determined by the policy sponsor.
- F. Final approval of the policy to be posted on the responsible office and college policy websites is determined by the president.

### IV. Responsible Office and Executive

- G. College policies are assigned to a responsible office and executive, designated with the overall responsibility to determine policy direction and content, and to develop and maintain the policy.
- H. Responsible executives are generally at the vice president level or the president.
- I. The responsible office/executive decides the outcome or the process to be used for resolution of content-related disputes about a policy.
- J. Responsible offices must communicate new and updated policies to the college community.
- K. The responsible office/executive designates a policy owner who is responsible to ensure the continued accuracy of the policies and the college policy process is followed. All policies must be reviewed and updated, as necessary, at least every four years.
- L. Responsible offices host their college policies on their website, adhering to standards set by the policy sponsor.

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### PROCEDURE

#### I. Policy Development

- A. New COTC policies or revisions to policies may be recommended by any COTC employee, student, or employee or student organization. However, each policy must be sponsored by the appropriate policy owner/office.
- B. The responsible office drafts the policy using the policy template.
- C. The responsible office solicits feedback from stakeholders and integrates feedback received into the policy. Any offices or individuals that may have special knowledge regarding the subject should be consulted. Additionally, the ELT member will consult with the college's assigned assistant attorney general, as necessary and appropriate.

#### II. Policy Approval

##### A. Approval of new policies.

1. New policies must be reviewed and endorsed by the Executive Leadership Team, and approved by the President.
  - a. The policy owner should contact the executive assistant to the president/CPP coordinator for placement of the policy for review on the Executive Leadership Team's agenda.
  - b. The policy owner must email the draft policy to each of the ELT members two weeks before the policy is discussed at the ELT meeting.
  - c. The policy owner or responsible executive presents the policy to the ELT and should bring the Policy Approval Cover Sheet to the meeting for signature by the ELT members upon approval.
  - d. The ELT members, representing the whole college, will review the policy recommendations for consistency, coordination, etc. and are expected to independently review the policy before moving the policy forward.
  - e. The policy owner should consider the ELT feedback and revise the policy draft as appropriate.
  - f. After incorporating any feedback, the final policy and the Policy Approval Cover Sheet is forwarded to the president for approval.
  - g. The CPP coordinator will notify the responsible office/executive of the president's approval.
  - h. The policy owner is responsible for publishing the policy online, communicating the new policy or policy revisions to the college community, and providing any training necessary to achieve ongoing compliance.
2. Certain policies must also be approved by the Board of Trustees as the last step in the process, based on historical practice or as required by state law. Consult with the policy sponsor for further information.

##### B. Approval of revised policies.

1. Minor policy edits, corrections of an error, and edits mandated by law or regulation, as determined by the responsible office and policy sponsor, are approved through an expedited process including review by the assistant attorney general, if necessary, and approval by the policy sponsor and responsible executive (vice president or president).
2. Substantive policy revisions, as determined by the responsible office and policy sponsor, must additionally be endorsed by the Executive Leadership Team and approved by the president as outlined in the approval process outlined above.
3. Certain policy revisions must also be approved by the Board of Trustees, based upon historical practice or as required by law. Consult with the policy sponsor for further information.

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### C. Approval of **interim policy**

1. When a policy is needed in a timeframe that does not allow for the entire policy process, it can be proposed as an interim policy, as jointly agreed upon by the responsible office and policy sponsor.
2. While policies are taken through the policy process, new interim policies can be approved by the Executive Leadership Team for six months. The policy sponsor may approve up to an additional twelve-months.
3. Revised policies may be revised as interim, pending completion of the college policy process. In these cases, the interim policy must be reviewed by the assistant attorney general, if appropriate, and approved by the policy sponsor and responsible executive.
4. The interim policy should complete the college policy process within 18 months of its issuance.

### D. Retiring a policy

1. The responsible executive/office may propose that a policy be retired when it is no longer needed, is more effectively combined with another policy or college document, or is covered by a different type of governing document.
2. Necessary steps in this process include a review and signature process including the responsible executive, the ELT and the president. In cases when the current policy was approved by the Board of Trustees, additional steps may be required. Consult with the policy sponsor for further information.
3. When a policy is retired, the policy is removed from the responsible office's website.
4. The CPP coordinator maintains an historical record and archives the policy in accordance with the college's record retention policy.
5. The responsible executive/office communicates the change in status to stakeholders as necessary.

## III. Policy Implementation and Compliance

### A. The responsible executive/office is responsible for implementation which includes:

1. Communication about new, updated, and retired policies;
2. Training;
3. Operational processes and controls to ensure compliance; and
4. Collecting feedback on the policy over time.

### B. The responsible executive/office is required to:

1. Ensure the policy is made available on the college's website; and
2. Ensure that the policy is reviewed and confirmed current or updated as necessary at least every four years and more frequently if needed.

### C. The responsible executive/office supports policy compliance by:

1. Establishing consistent business practices based on college policies;
2. Providing policy-related tools, resources, and processes to support policy implementation and adherence;
3. Providing ongoing communication and training relative to college policies; and
4. Collecting feedback to identify areas in need of support or improvement.

### D. College leaders, supervisors, and managers are responsible to ensure compliance with college policies and unit governing documents in their departments and units.

### E. College employees and all members of the college community are responsible to understand and follow college policies and other departmental governing documents.

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### Responsibilities

Position or Office	Responsibilities
Individual	Educate self to understand and follow policies, rules, and departmental governing documents.
Leader, supervisor, manager	<ol style="list-style-type: none"> <li>Educate self to understand and follow policies, rules, and departmental governing documents.</li> <li>Educate about college policies those for whom you are responsible.</li> <li>Manage your departments/areas so that policies are followed.</li> </ol>
Assistant Attorney General	<ol style="list-style-type: none"> <li>Identify the attorney to serve as the contact and reviewer of specific policies.</li> <li>Review and provide feedback on draft policies.</li> <li>Review interim and final policies, as appropriate.</li> </ol>
College Policy Process (CPP) Coordinator/Executive Assistant to the President	<ol style="list-style-type: none"> <li>Manage the college policy process, support responsible offices, and ensure the process is followed.</li> <li>Ensure that policies adhere to the policy template.</li> <li>Provide editorial review of all policies throughout the process.</li> <li>Schedule policies to be reviewed before the Executive Leadership Team</li> <li>Maintains records of new, revised, edited and retired policies.</li> <li>Notifies policy owner of policies to be posted to the responsible office website.</li> </ol>
College Policy Process (CPP) Sponsor/Vice President for Institutional Planning & Human Resources	<ol style="list-style-type: none"> <li>Consult with responsible offices to determine whether (a) an update is an edit or a revision, (b) a policy needs to be implemented as interim; and (c) an issue should be addressed through policy, rule or other governing document.</li> <li>Approve extensions for interim policies for up to 18 months of total interim status.</li> </ol>
Executive Leadership Team (ELT)	<ol style="list-style-type: none"> <li>Each member independently reviews each policy submitted for approval.</li> <li>Provide feedback and recommendations to the policy sponsor.</li> <li>Review and determine whether to endorse new and substantive revisions of policies to president for approval.</li> <li>Approve new Interim policies for six months.</li> </ol>
President	<ol style="list-style-type: none"> <li>Approve all college policies.</li> </ol>
Responsible executive	<ol style="list-style-type: none"> <li>Serves as or designates a policy owner to be responsible to ensure the college policy process is followed.</li> <li>Approve new and revised policies.</li> <li>Submit to CPP coordinator for review and scheduling with ELT.</li> <li>Present final policies to ELT for endorsement and to president for approval and obtain signatures as required; subsequently submit final policies to the BOT when required by historical practice or law.</li> </ol>
Responsible office policy owner	<ol style="list-style-type: none"> <li>Manage the college policy process in their department/area and ensure it is followed, including for policies approved by the Board of Trustees.</li> <li>Ensure that all policy process responsibilities of the responsible office/executive are executed.</li> <li>Ensure all new and updated policies adhere to the policy template.</li> <li>Obtain all required approvals before posting a policy to the responsible office website.</li> </ol>
Responsible office; led by the responsible office policy owner	<ol style="list-style-type: none"> <li>Follow this policy and procedure to issue, revise, edit, or retire college policies. Take policies through the college policy process as required.</li> <li>Consult with CPP sponsor to determine whether; (a) an update is an edit or a revision; (b) a policy needs to be implemented as interim; and (c) an issue should be addressed through policy or rule or some other document.</li> <li>Review and update or retire policies as needed or minimally every four years.</li> <li>Consult with the CPP sponsor to determine the need for an interim policy.</li> <li>Complete the interim policy process within 18 months.</li> <li>Determine policy direction and content.</li> <li>Determine the outcome or process to be used for resolution of content-related disputes about a policy.</li> <li>Determine if unit governing documents, standards/requirements, and/or guidelines must be reviewed and/or approved as appropriate.</li> <li>Develop and implement communication, training, operational processes and controls to ensure compliance, and collect feedback on policies.</li> <li>Support policy compliance by establishing consistent business practices; providing tools, processes, ongoing communication, and training; and collecting feedback on policies.</li> <li>Maintain policy files, including all documents required by the college policy process and historical and current policy versions.</li> </ol>

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Position or Office	Responsibilities
	12. Make edits as needed to policies. 13. Draft policies using the policy template. 14. Consider feedback and integrate it into policies and policy resources throughout the process. 15. Archive superseded and retired policies. 16. Host college policies on departmental/office website, adhering to established standards. 17. Remove retired policies from the website.

### Resources

College Policy Web Site, <http://www.cotc.edu/Discover/Pages/College-Policies.aspx>

Policy Template,

Instructions for Completing the Policy Template,

Policy Approval Coversheet,

Policy Writing Guide,

### Contacts

Subject	Office	Telephone	E-mail/URL
College policies	Office of the President (CPP	740.364.9510	<a href="mailto:jtomlins@cotc.edu">jtomlins@cotc.edu</a>
Unit governing documents	coordinator)		
College policy process	Office of Institutional Planning & Human Resources (CPP sponsor)	740.366.9407	<a href="mailto:Parill.9@osu.edu">Parill.9@osu.edu</a>

### History

Issued: 09/2011

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