Colgate University
Information Technology Services, Office of the CIO

Policy Process Document
Audience: Campus

Contents:

1. Preface
2. Policy
3. Audit and Compliance

Section 1. Preface

A. Name

The formal name of this policy is the Policy Process Document.

B. Status of This Policy

1. Draft. In Review by CIO and Leadership Team
2. Public Review and Comment Period.
3. Redraft.
5. Accepted.

C. Scope and Purpose.

This document outlines the draft, review and acceptance processes for policies covering the planning, delivery, use and management of ITS—provided services and equipment, as well as for related information technology resources provided by ITS partners in the Library, University Communications and elsewhere. This document also serves as a template for other policy documents.

D. Spirit and Intent

The underlying intent if this document is to provide a flexible framework for policy development. This framework aims to maintain:
Section 2. Policy.

A. Forming a Policy Development Working Group

• The CIO of the University in consultation with the University President’s Cabinet will appoint a working group comprised of approximately eight members including at least two from ITS, one from the Library, one from the Web/Communications office, a representative from the Faculty and a representative from Student Council. Two to four others from the Community at large may be appointed as well.

• The CIO may, from time to time, request the participation of others as content or subject experts for individual policies.

• The CIO may chair the Working Group or serve as ex-officio and appoint a member as chair.

• Members of the group serve for an indeterminate period and at the pleasure of the CIO.

B. Charging the Policy Development Working Group

The CIO of the University in consultation with his direct reports, the members of the Working Group, and others as appropriate, will charge the Working Group periodically with a set of issues to address with new policy and a set of existing policy to review.

The charge to the working group will include a regular meeting schedule, which by default will be a one-hour meeting every three weeks unless otherwise specified by the CIO. Sub-groups of the working group may meet separately no less frequently than the Working Group meets.

C. Process for Policy Development

As a standard practice, the following steps will be followed in the development of new policy:

--- Maximum transparency to those impacted by these policies
--- A spirit of collaboration, public review, comment and input toward the final product
--- A process by which policies are built expediently, implemented in a timely manner and periodically reviewed.

Internal ITS policy may be exempt from this policy at the discretion of the CIO.
For example, internal ITS training policy.
1. **Initial Considerations.** Through discussion and deliberation the Working Group will establish
   
i. Specific issues to be addressed under the policy topic
   
   ii. The scope and intended audience of the policy
   
   iii. The spirit/intent of the policy
   
   iv. Terms that will need to be clarified or defined in the policy and included in the Policy Glossary
   
   v. The policy itself, including guidelines for implementation if necessary
   
   vi. Methods for routine or spontaneous audit, if necessary
   
   vii. Causes for and methods of enforcement of the policy
   
   viii. Risks to the Community if the policy is disregarded
   
   ix. Internal and external consequences for individuals or groups in violation of the policy

2. **Initial Draft.**

   i. Based on the information collected in Section 3.C., a text draft roughly following the format of this document shall be prepared by an individual or small team comprised of members of the Working Group. This individual or small team will be considered the Author of the Policy. ii. The completed draft will be reviewed by the members of the Working Group, edited and approved by consensus. iii. No more than two members of the Working Group may be asked to or voluntarily choose to stand outside of consensus for the policy to move forward for public review and comment. iv. No policy may move forward with the CIO (or, in his or her absence, the Chair of the Working Group) standing outside of consensus.

**Public Review and Comment Period**

i. All policies except the Policy Process Document are subject to Public Review and Comment. The Policy Process Document is approved by the Senior Staff of the University as the foundation for policy development.

   ii. The draft will be published in PDF format in the Policy and Planning section of the ITS website.

   iii. The CIO (or, in his or her absence, the Chair of the Working Group) will notify the community that the draft has been posted for a two-week review and comment period with
instructions for making written comments to the Working Group.

4. Working Group Review, Redraft and Approval
   i. The members of the Working Group will review and consider each written comment and vote to accept or decline the comment.
   ii. The original author of the draft as defined in section 3.C. is charged with integrating the accepted comments into a redraft of the policy.
   iii. The redraft will be reviewed by the members of the Working Group, edited as necessary and approved by consensus.
   iv. No more than two members of the Working Group may be asked to or voluntarily choose to stand outside of consensus for the policy to move forward as Approved.
   v. No policy may move forward with the CIO (or, in his or her absence, the Chair of the Working Group) standing outside of consensus.
   vi. The names of the Working Group members standing in consensus will be added to the approved policy.
   vii. Terms identified for definition or further clarification will be defined and added to the Policy Glossary.

5. Posting and Community Notification
   i. The approved policy will be published in PDF format in the Policy and Planning section of the ITS website.
   ii. The CIO (or, in his or her absence, the Chair of the Working Group) will notify the community that the policy has been approved.

D. Process for Review of Existing Policy
   1. Review Cycle
      i. Existing policies should be reviewed after no more than three years from the date of initial acceptance or last review.
      ii. The CIO may accelerate the review period for policies and include more recent policies in the charge to the working group.

   2. Review Process and Modifications for Existing Policies
      i. Existing policies remain in effect while they are under review unless suspended by the CIO as necessary to carry out the mission of ITS or the University.
ii. Prior to modifications, the Working Group will seek to measure the negative and positive impacts and effectiveness of the policy in question.

iii. Existing policies will follow the same process for revision that new policies follow for development as defined in Section 3.C., using the results of the measures in Section 2.D.2.ii as additional input for Step 1.

iv. If, following steps outlined in Section 3.C, the revised policy is substantially identical to the original policy in spirit and effect, and requires only minor edits, the Working Group may by consensus decide to waive the public review and comment period. Otherwise the policy continues through the process as normal.

v. No more than two members of the Working Group may be asked to or voluntarily choose to stand outside of consensus to waive the public review and comment period.

vi. No policy may move forward with the CIO (or, in his or her absence, the Chair of the Working Group) standing outside of consensus.

vii. Policies having been reviewed will be re-dated and the names of the then-current Working Group members standing in consensus will be added to the reviewed policy.

Section 3. Audit and Compliance (this section is included for policy template purposes and is left intentionally generic)

A. Audit. This section outlines any routine processes followed to check for compliance with the policy.

B. Enforcement. This section outlines who is responsible for audit, the responsibility of others who become aware of policy violations and warnings when non-compliance is identified.

C. Risk of Non Compliance. This section outlines the risks to individuals, the community as a whole and the institution that come with non-compliance.

D. Penalties for Non Compliance. This section outlines the potential legal or disciplinary liabilities for individuals or groups standing in non-compliance.