UNIVERSITY of FLORIDA
College of Dentistry

Policy Number: UFCD, OP, 6.03
Effective Date: September 2015
Last Revised Date: September 2019
Next Review Date: September 2020
Policy/Guideline Custodian: Director, HR
Category: Operations

Title
Policy Development and Maintenance

Policy

Policy Statement
Formal policies must be established and maintained according to the standards below. Written policies and procedures:

- Provide daily guidance to employees in the performance of routine activities
- Make decisions more transparent to employees and constituents
- Are more defensible than unwritten policies when challenges arise
- Exist to ensure that everyone follows the same guidelines. Every effort is made to ensure that policies are consistent throughout the college. Departments may establish policy which is more, but not less restrictive than college-wide policy.
- Provide a foundation for sound management and supervision
- Allow supervisors to establish objective performance standards for employees
- Provide a basis for auditor justification

Development and Approval
Policies should be proposed and developed by faculty or staff members who are closely related to the subject area. The expected process starts with the development of a draft policy. Once a draft exists, it should be circulated as widely as possible for comment and revision among those who it will most likely impact. Input will be solicited by the dean or designee from the Faculty Advisory Board, Faculty Assembly and its appropriate standing committees. The dean has final approval authority on all college policies.

Format
Policies should be clearly written, state a rationale for the policy, and identify who to contact for clarification or further information.

Ownership
Each policy is "owned" by a faculty or staff member. The owner should be the individual who developed the policy and/or is most familiar with the content. The owner of a policy is responsible for its maintenance.

Storage and Access
Policy documents are stored as word documents at V:\Dean's Office\Policies. PDF versions can be accessed via the college's website at: http://dental.ufl.edu/about/administration/deans-office/policies-procedures/

Regular review
All policies should be reviewed annually, at a minimum, for accuracy. If there are substantive changes required, the policy must proceed through the appropriate approval process. If changes are immaterial (e.g. a change in phone number or contact person), the reviewer should include the review date and forward the updated word version to aphelps@dental.ufl.edu for inclusion on the college's website. A copy of the latest word version will also be placed in V:\Dean's Office\Policies. Prior versions should be stored on the shared drive, and archived by the individual responsible for the policy for historical purposes.

Higher Authorities
Many of the processes that occur at the College of Dentistry are determined by federal statute, state statute or existing University of Florida policies. The college cannot develop policies that contradict any of these higher authorities and should not develop its own policies when an appropriate policy already exists.

Further, individuals who are developing policies are encouraged to link to existing policies whenever possible instead of attempting to re-write those policies or store those policies in a different format. An effort should be made to link to the original document whenever possible to ensure that the most current version is always referenced.

Sunsetting of policies
Policies which are redundant with University policy or have exceeded their useful lifespan should be eliminated. They will be removed from the policies and procedures pages on the college intranet after review and approval by the dean.

Coordination
Policies will be coordinated through the dean's office. The director of human resources will maintain the standards for policy and procedure layouts, language and formatting. The College of Dentistry, Office of Human Resources will also maintain the college's electronic versions. Approved policies are forwarded to the director of human resources for posting on the college website and for inclusion on the shared drive.

Failure to Follow Established Policies
It is expected that faculty and staff will adhere to established policies. The consequences of failing to abide by college and university policy is most often defined by the policy in question and/or will follow general disciplinary guidelines.

Departmental or Programmatic Policies
Individual departments or programs may develop their own local policies and procedures. As stated earlier, these policies may be more restrictive than college-wide policy where such a policy exists, but not less restrictive. The following characteristics distinguish a "local" policy:
- **Local policies are not addressed by any other higher authority policy, and**
- **They supplement but are not contrary to other higher authority policy.**

Exceptions
In some cases, exceptions may be granted by the dean for special circumstances (usually for a limited time). It is important to recognize that such exceptions apply only to the special cases cited in the exception and do not establish new policy.

Definitions

Policy versus procedure:

A policy is defined as a high-level overall plan embracing general goals and acceptable procedures. Characteristics of policies include:
- Expand upon and explain rules
- State what will be done
- Must be formally approved by the dean
- Must be readily available to the public as well as employees
- May mandate or constrain certain actions, and may contain specific requirements for compliance

Procedures are defined as a particular way of accomplishing a given task and include a series of steps or protocol followed in a regular definite order. Characteristics of procedures include:
- Explain how policies will be carried out
- Include the instructions needed to evaluate whether performance standards have been met
- Do not require the dean's approval unless they are a component of a proposed policy
- Are easier to change than policies

References

An appeal mechanism is outlined in the college's Constitution and Bylaws available at:
https://dental.ufl.edu/about/administration/shared-governance/

Contact Information

Policy Contacts:

Amanda Phelps, Director of Human Resources
aphelps@dental.ufl.edu

Important Dates

- Original Effective Date: September 2015, Approver: Dr. Boyd Robinson, Interim Dean
- Revised: September 2019 , Approver: Dr. A. Isabel Garcia, Dean