

## Creating and Updating RF Procedures and Guidelines

**Effective Date:** August 6, 2020  
**Function:** The Office of Compliance Services  
**Contact:** [RFCompliance@rfsuny.org](mailto:RFCompliance@rfsuny.org)

### Basis for Procedure

This procedure implements the Research Foundation’s (RF) [Establishing Policies and Procedures Policy](#).

### Procedure Summary

This procedure outlines the steps to create, revise, review, and publish a new or updated Procedure or Guideline, or to obsolete a Procedure or Guideline.

### Procedure Steps

| Step  | Role or Responsibility   | References or Tips  |
|---|--------------------------|---|
| Seek stakeholder input prior to drafting, revising, or obsoleting the Procedure or Guideline.   | Policy Owner or Designee | Stakeholders include campus focus group(s): e.g., Human Resource Officers, Operations Managers, Technology Transfer Officers, Finance Advisory Group.<br><br>Best practice is to include the Office of General Counsel in the drafting or revising process.   |
| Draft a new Procedure or Guideline within the approved template.<br><br><a href="#">Procedure Template</a><br><a href="#">Guideline Template</a><br><br>Any updates to existing Procedures or Guidelines must be recorded on the current document using the “Track Changes” function in Microsoft Word or an equivalent feature or function in a word processing program that ‘redlines’ changes. | Policy Owner or Designee | Seek team and stakeholder input, where necessary. Policy Owner must review all linked Procedures, Guidelines and forms, and must consider any other related Procedures, Guidelines and forms that are not linked and should be, or that should be created. This also includes any internal controls related to the underlying Policy. |

|   |                                      |  |
|---|--------------------------------------|--|
| Develop a communication and training plan.  | Policy Owner or Designee             | Consult with External Relations, Training Unit or Office of Compliance Services.   |
| Obtain approval from Policy Owner on New or Updated Procedure or Guideline form.  | Policy Owner                         |  |
| Submit to the Office of Compliance Services:<br>(1) Draft Procedure or Guideline or proposed revisions*; and<br>(2) Completed <a href="#">New or Updated Procedure or Guideline form</a> .<br><br>* For a request to obsolete, include the current Procedure or Guideline document. | Policy Owner or Designee             | Send to the Office of Compliance Services (OCS) via <a href="mailto:RFCompliance@rfsuny.org">RFCompliance@rfsuny.org</a> . |
| Approve Procedure or Guideline draft or request to obsolete.  | Chief Compliance Officer or Designee |  |
| Post Procedure or Guideline on RF website (or remove if obsoleted) and notify the Policy Owner or Designee once posted (or removed).  | Office of Compliance Services        | OCS updates Policy Administration Checklist.   |
| Notify stakeholders of the posted (or obsoleted) Procedure or Guideline. Communicate as necessary according to communication plan.  | Policy Owner or Designee             | It is important to keep stakeholders informed of any new information or changes to existing Procedures or Guidelines.      |
| Maintain:<br>(1) Word version of approved Procedure or Guideline;<br>(2) Completed New or Updated Procedure/Guideline form; and<br>(3) Completed Policy Administration Checklist.   | Office of Compliance Services        | The OCS is the office of record for final drafts of Procedures and Guidelines and the corresponding forms.                 |

## Definitions

*Policy:* Governing rule or principle that requires or prohibits conduct.

*Policy Owner:* The Vice President responsible for the operational administration of functions subject to his or her routine oversight.

*Procedure:* Required steps to implement or comply with a related Policy.

*Guideline:* Optional steps outlining suggested ways to perform a function or adhere to a Policy or Procedure.

## Related Information

[Establishing Policies and Procedures Policy](#)

Procedure for [Creating and Updating RF Policies](#)

## Forms

[New or Updated Procedure or Guideline](#)

[Procedure Template](#)

[Guideline Template](#)

## Change History

| Date           | Summary of Change  |
|----------------|--|
| August 6, 2020 | Revised Procedure steps to more accurately reflect the process and reduced wording for ease of use. Added approval step from Policy Owner. |
| 08/25/15       | Rearranged the procedure to make document more efficient and easy to follow.   |
| 11/6/12        | New Document   |

## Feedback

Was this document clear and easy to follow? Please send your feedback to [webfeedback@rfsuny.org](mailto:webfeedback@rfsuny.org).

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