



RU Policy No. 10.4

Responsible Division: Office of the President
(General Counsel)

Originally Issued: 10/2018

Last Revised: 10/2018

Revised Effective Date: 10/2018

Outside Counsel Policy and Procedure

Policy Statement

The University's General Counsel is responsible for the provision of legal services to the University. As a general matter, that means that the General Counsel directly provides legal services and counseling to all Divisions of the University for all matters related to the operation of the University. In some instances, however, the General Counsel will determine either that special expertise is necessary or that timing dictates that outside legal counsel be engaged. To that end, this Policy addresses the manner in which the University will engage outside legal counsel.

The University reserves the right to modify or amend this Policy at any time, at its sole discretion. Any change to this Policy will become effective at the time designated above, and the changes will apply to both prospective students and those already enrolled. This Policy does not constitute an express or implied contract between Roosevelt University and any past, present, or prospective student, employee (including administrator, faculty, or staff), contractor, or volunteer. Unless otherwise stated, the following definitions apply to this Policy and Procedure:

- **"Employee"** means all employees (including administrators, faculty, and staff), contractors, and volunteers
- **"Budget Administrator"** means a Vice President or their authorized designee who is responsible for maintaining the budget for the Division or unit.

Policy

All outside legal counsel must be approved by the General Counsel ("GC"), regardless of the source of funds that will pay for the outside legal counsel. An Employee who violates this Policy shall be subject to disciplinary action, up to and including termination.

The following steps should be followed when requesting the use of outside legal counsel:

1. The Budget Administrator must contact GC to communicate: (a) the issues involved, (b) the reason(s) outside legal advice is requested, (c) the

Division/department/unit to be billed for such advice, (d) the University's proposed budget for the advice (do not contact the law firm directly for this one), and (e) the proposed outside counsel, if applicable.

2. The GC will determine whether the matter may be handled more effectively in-house or by other outside counsel.
3. If the GC determines that outside counsel should be retained, the GC will follow the procedure set forth in RU Policy No. 6.3 (Purchasing Policy and Procedure) to select outside counsel.
4. Once outside counsel is selected, GC will solicit an engagement letter from the outside counsel, will review and negotiate the engagement letter and if approved, will sign and return to outside counsel and Budget Administrator.
5. Once the engagement is finalized, it will be communicated to the Budget Administrator so they can begin working with outside counsel. Outside counsel will be expected to provide to the GC regular bills, periodic updates on the status of the matter, and notification when the matter has come to an end.

Entities Affected by this Policy

All Divisions of the University.

Related Documents

RU Policy No. 6.3 (Purchasing Policy and Procedure); RU Policy No. 6.4 (Contract Policy and Procedure).

Revision and Implementation

The President of the University (and/or, as authorized by the President, the General Counsel) shall have the authority to revise this Policy, subject to the approval of the President's Executive Council.

All Vice Presidents shall have the authority to establish any procedures necessary to implement this Policy.