



Eastern Kentucky University
Policy Library

Formulation and Adoption of University Policies (PROPOSED)

Policy 1.1.1

Volume 1, Governance
Chapter 1, Policies, Regulations, and Guidelines
Section 1, Formulation and Adoption of University
Policies

Approval Authority: Board of Regents

Responsible Executive: President

Responsible Office(s): Policy, Compliance, and
Governance

Effective:

Revised:

Expires:

Next Review Date:

Policy Statement

Eastern Kentucky University formally develops, approves, disseminates, implements, and maintains policies, as defined in this document, through a uniform process. Parties responsible for developing, updating, approving, and disseminating University policies must adhere to the precepts set forth in this policy. This document defines a University policy, and also provides a format for the development, approval, and dissemination of policies. Additionally, it describes the responsibilities of the parties involved in the formulation and adoption of University policies.¹

Purpose

This policy enables the University to make policy development and retrieval efficient and consistent. Further, a comprehensive document that outlines the development, approval, dissemination, implementation, and maintenance of University policies allows for more consistent enforcement, greater accessibility, and timelier review. This process will enhance organizational operations, compliance, and accountability.

Entities Affected by the Policy

- Entire university community, including all campuses and extended sites

Who Should Read the Policy

- University administrators
- Anyone considering developing or revising a University policy or assisting in the process

¹The University is endeavoring to take all existing as well as new policies through the process outlined in this policy. However, there are some policies that have not yet been through that process. They remain, nevertheless, official University policies and full compliance of them is expected.

Policy Background

The implementation of a policy on policies enables the University to more effectively and efficiently manage its body of policies. No previous policy concerning the formulation and adoption of policies existed.

Definitions

Approval Authority	The entity holding final authority to approve a particular policy.
Budgetary Impact	The budgetary resources needed to implement and maintain compliance with the policy.
Chapter	The designation for a sub-unit of a University policy volume. This designation indicates the broad category under which individual related policies will be found.
Effective Date	The date the policy is approved by the Board of Regents unless otherwise specified by the Board of Regents
Expedited Review	A process by which a policy may forgo the standard review and approval procedure. The circumstances that may lead to an expedited review are as follows: <ul style="list-style-type: none"> • Practical or operational considerations require rapid development and adoption of a University policy • Adoption of the new policy is mandated by statute or regulations and is not discretionary • The need for adoption of the policy is urgent
Interim Policy	This is a provisional policy issued when a University policy is needed before the standard process can be completed. An interim policy must carry an expiration date and will either be allowed to expire without additional action or will be replaced by a standard University Policy.
Interpreting Authority	The power to interpret the intent of the policy when questions or conflicts arise concerning its application, compliance, or scope.
Key Stakeholder	Any individual or group who might be impacted by or might have knowledge related to a particular policy.
Policy Developer(s)	Any individual or group may identify a need for a policy or policy revision and may then develop a policy.
Policy Statement	A statement on the first page of the University policy document that encapsulates the core requirements of the policy.
Guideline	A statement of desired best practice that recommends procedures, processes, outcomes, and the like that have been endorsed or approved by the University to achieve a particular outcome or goal. Guidelines may or may not be affiliated with policies and operational regulations. Guidelines may or may not apply institution wide.
Operational Regulation	A standard or statement that either 1) articulates procedures or reporting requirements related to implementation or compliance with University policies or 2) addresses matters not specifically addressed in such policies. Does not require Board of Regents approval, but may require presidential approval. Operational regulations may or may not apply institution wide.
Responsible Executive	The University executive under whose jurisdiction a University policy falls. Depending on the scope, a policy may have more than

Policy 1.1.1

Volume 1, Governance and Legal
Chapter 1, Policies, Regulations, and Guidelines
Section 1, Formulation and Adoption of University Policies

	one responsible executive.
Responsible Office(s)	University office(s) designated with the responsibility of administering a policy, communicating with and training the university community its requirements, and executing its timely review and updating.
Section	The designation for University policy that provides the name of the individual policy.
Template	The official format for all University policies. See Related Links for a copy of the template.
Volume	The designation for the broadest unit of University policy. Volumes typically correspond to University units (i.e. Academic Affairs, Financial Affairs, Student Affairs, Facilities, etc.).
University	Eastern Kentucky University
University Policy	A University policy meets the following requirements: <ul style="list-style-type: none">• Assists the University in achieving its mission through the promotion of operational efficiency• Applies broadly across the University• Ensures compliance with applicable federal, state, and local laws as well as accrediting bodies• Mandates actions or limitations• Requires approval by the President and/or the Board of Regents for changes or implementation• Reflects University Values
University Policy Document	All official policy documents have the following characteristics: <ul style="list-style-type: none">• Are reviewed and approved by appropriate channels• Are under the authority of a university executive to execute and interpret• Are in a standard format (template)• Contain on the first page the university seal• Include procedures for compliance• Include a review and approval history• Are catalogued and numbered in the University Policy Library

Responsibilities

Interpreting Authority	<ul style="list-style-type: none">• Make sound judgments on the intent of the policy when questions or conflicts arise concerning its application, compliance, or scope.• Review precedents, if any, to ensure consistent interpretation.• Render an interpretation when called upon to do so and communicate the decision to the appropriate parties.• Document all interpretation decisions.
Office of Policy, Compliance, and Governance	<ul style="list-style-type: none">• Coordinate and support policy development efforts in collaboration with all university departments and divisions.• Respond to and develop proactive approaches to compliance issues that arise out of federal, state, and local laws or out of accrediting body regulations and policies.• Ensure that the policy is disseminated to the university community.• Train the university community concerning policy development and compliance matters.• Maintain website with a listing of all University policies and the tools for the development of policies.• Archive policies that have been revised, suspended, or

	superseded.
Policy Developer(s)	<ul style="list-style-type: none"> Consult key stakeholders during the development process, though developers are not obligated to incorporate all suggestions. Ensure proposed policy is in the correct template and conforms to the precepts set forth in this policy.
Responsible Executive	<ul style="list-style-type: none"> Be accountable for substance of policy documents. Approve final drafts of all documents before review of the Approval Authority. Conduct timely reviews of existing policies under his or her jurisdiction. Assist, as needed, in the development, updating, or revision of policy within his or her jurisdiction.
Responsible Office(s)	<ul style="list-style-type: none"> Lead in the establishment of support systems needed to achieve compliance of policies. Inform and train the university community concerning new and substantially revised policies. Consult with the Responsible Executive(s) to update existing policies. Inform the university community of updates to policies.

Procedures

Developing a Policy	<p>Any individual or group may identify the need for a new policy or the revision of an existing policy. Once a need is identified, the policy developers should consult with the key stakeholders in order to refine the draft policy. During this process, the proposed policy should be placed in the <u>University policy template</u>.</p>
Reviewing and Approving a Policy	<p>Once developed, policies should be reviewed for recommendation or approval based on the appropriate process:</p> <ul style="list-style-type: none"> Governance (Volume 1) External Relations (Volume 2)Administrative (Volume 3) <u>Academic Affairs (Volume 4)</u> Student Affairs (Volume 5) Financial Affairs (Volume 6) Physical Resource Management (Volume 7) Human Resources (Volume 8) Safety, Security and Environment (Volume 9) Athletics (Volume 10) Information Management (Volume 11)
Expediting a Policy (when appropriate)	<p>When it is necessary to expedite a policy, the process will be as follows:</p> <ul style="list-style-type: none"> Governance (Volume 1) External Relations (Volume 2) Administrative (Volume 3) <u>Academic Affairs (Volume 4)</u> Student Affairs (Volume 5) Financial Affairs (Volume 6) Physical Resource Management (Volume 7) Human Resources (Volume 8) Safety, Security and Environment (Volume 9) Athletics (Volume 10)Information Management (Volume 11)
Establishing an Interim Policy (when appropriate)	<p>When it is necessary to establish an interim policy, the process will be as follows:</p> <ul style="list-style-type: none"> Governance (Volume 1)

Policy 1.1.1

Volume 1, Governance and Legal
Chapter 1, Policies, Regulations, and Guidelines
Section 1, Formulation and Adoption of University Policies

	<ul style="list-style-type: none">• External Relations (Volume 2)• Administrative (Volume 3)• <u>Academic Affairs (Volume 4)</u>• Student Affairs (Volume 5)• Financial Affairs (Volume 6)• Physical Resource Management (Volume 7)• Human Resources (Volume 8)• Safety, Security and Environment (Volume 9)• Athletics (Volume 10) Information Management (Volume 11)
Updating a Policy	On an as-needed basis, the Office of Policy, Compliance & Governance will make routine changes (such as position or unit titles, links, etc.). These changes should not substantively affect the policy. The Office of Policy, Compliance & Governance will note the date of such changes (as Updated) on the first page of the policy.
Revising a Policy	Procedures for revising an existing policy are the same as for reviewing and approving a policy (see above)
Implementing, Disseminating, and Training	Unless otherwise stated in the policy, a policy is in effect immediately after it is approved by the Board of Regents. Once approved, the Office of Policy, Compliance & Governance will ensure that the policy is disseminated to the university community by either communicating this information directly or will charge the Responsible Executive with the dissemination. The Responsible Office(s) will assist the Responsible Executive in establishing any support systems to train the community to ensure ongoing compliance.
Interpreting a Policy	When questions or conflicts arise concerning the application, compliance, or scope of a policy, the affected parties will provide the details (in writing) of the question or conflict to the Interpreting Authority designated in that policy. The Interpreting Authority will review the case as well as any precedents to ensure consistent interpretation. Face-to-face meetings may be arranged, as necessary. Once an interpretation has been determined, the Interpreting Authority will communicate the decision in writing to the appropriate parties. The Interpreting Authority will ensure that proper records are kept of interpretation decisions.
Periodic Review of Policies	University policies should be reviewed on a periodic basis (a five-year cycle is recommended) to ensure the currency and accuracy of the policies. The Responsible Executive will devise a mechanism that ensures policies under his/her jurisdiction are so reviewed. Policies will be reviewed for the following: <ul style="list-style-type: none">• Continued relevance to the University mission and values• Consistency with other University policies• Reflection of changes in laws, regulations, accreditation standards, educational goals/practices, university practices, etc.• Errors in fact or in language• Other potential problems
Repealing a Policy	If a changes in the policy are deemed necessary, the appropriate process (revising, updating, or repealing) should be initiated. If a policy is deemed no longer relevant or necessary after undergoing the appropriate review process (see Reviewing and Approving, above), then a policy will be repealed
Archiving a Policy	If a policy is updated, revised, superseded, or repealed, the Office of Policy, Compliance & Governance will archive the older version of the policy. These archived policies will be made available upon request.

Violations of the Policy

Violations of this policy may result in the delay of the approval process or in the official University recognition of the policy's effect.

Interpreting Authority

- President
- Chief of Staff and Unit Head for Policy, Compliance & Governance, if so delegated
- Provost and Vice President for Academic Affairs, if so delegated
- Vice President or other Direct Report to the President, if so delegated

In the event there is a conflict between interpreting authorities, the President will make the final interpretation decision.

Relevant Links

Policy template

Policy Adoption Review and Approval
