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# PROCEDURES FOR UNIVERSITY POLICY DEVELOPMENT AND MANAGEMENT

The University of North Carolina at Greensboro

Approved, May, 2019

*Supporting Document for University Policy, Policy on Policies*



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## 1. Purpose

The purpose of this Procedure on University Policy Development and Management is to provide specific steps for Policy Owners to create, review, revise, publish, and rescind University Policies and Supplemental Documents.

## 2. Definitions<sup>1</sup>

- 2.1 Substantive Revision:** A Substantive Revision is any change that modifies the substantive meaning of the policy. Examples include changes in definitions, changes in persons covered, and significant changes in how the policy is to be implemented or administered.
- 2.2 Non-substantive Revision:** A Non-substantive revision is any change in a policy that does not modify the substantive meaning of the policy. Examples include updates to titles or names of responsible persons/offices, updates in the names/locations of offices, and grammar/typo/formatting corrections.

## 3. Procedures

### 3.1 Development of New University Policies

University Policies must be developed, reviewed, and maintained following the steps outlined below. Academic and Unit Policies should follow a similar process, adapted to the specific content and nature of the policy and as determined and approved by the appropriate Vice Chancellor, Provost, and/or administrative officer that oversees the unit in which the Unit Policy is established.

#### 3.1.1 Policy Proposals

- a. In order to initiate the development of a new University Policy or a Substantive Revision of an existing policy, a Responsible Executive must first approve of the

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<sup>1</sup>For additional definitions and roles and responsibilities, see University Policy, Policy on Policies available at [https://beta-policy.uncg.edu/university\\_policies/policy-on-policies/](https://beta-policy.uncg.edu/university_policies/policy-on-policies/)

- need for and purpose of the proposed policy action. Following approval, the [Proposed Policy Action Form](#) must be submitted to the Policy Administrator.
- b. The [Proposed Policy Action Form](#) includes the following elements:
- A brief explanation of the reasons for the proposed policy action (indicating how it works with, conflicts with, or negates existing local, state, system, and/or federal policy, as applicable);
  - A summary of the content (course of action and/or governing principles) to be included in the proposed policy;
  - A list of potential stakeholders who will be consulted during the development process;
  - An indication of any costs or resources required to implement the policy; and
  - Identification of the Policy Owners (as designated by position or title as opposed to name).
- c. The Policy Administrator and the Policy Advisory Group (PAG) will review the proposal. If the information provided is sufficient to indicate that the policy action is warranted, the Policy Administrator will indicate that policy development can proceed. The Policy Administrator may seek additional information to inform the determination. The Policy Administrator and PAG may also advise that the need expressed in the Proposed Policy Action Form can be better addressed through another mechanism (e.g., a Unit or an Academic policy, additional training, or revision of an existing policy).

### **3.1.2 Policy Structure and Preparation**

University Policies should be drafted using the [University Policy Template](#), which establishes the standard for the content University Policies are expected to contain. Throughout the drafting process, the Responsible Administrator is expected to proactively seek input and document feedback from the stakeholders identified in the Proposed Policy Action Form. Responsible Administrators drafting new policies should consult the [Policy Development and Review Guidelines](#) for additional information.

### **3.1.3 Vetting and Approval of Policies**

- a. Prior to submitting a policy to PAG for review, the Policy Administrator may work with the Responsible Administrator to draft a new or revised policy. The Policy Administrator may also work with the Responsible Administrator to ensure that potential stakeholders are consulted. The Policy Administrator, either on their own behalf or the behalf of the PAG, may request additional information or revisions to the policy during the review process. When the PAG receives a draft policy, it will make recommendations as to form, format, clarity, substance, and legal and

operational implications.<sup>2</sup>The Policy Administrator and Responsible Administrator will ensure that the Responsible Executive who oversees the Responsible Administrator approves the final draft before it is submitted to the Chancellor's Council for review.

- b. When the Policy Administrator and PAG consider the new or revised policy to be in good form and it has been approved by the Responsible Executive, the Policy Administrator emails to the Chancellor's Council:
  - A redlined copy of the revised policy indicating proposed revisions, or a clean copy of the new policy or entirely rewritten old policy;
  - A brief explanation of the requested policy action; and
  - A deadline for submitting comments or requests for additional information or revisions regarding the proposed policy action prior to discussion in an upcoming Council meeting. The Policy Administrator will collect all comments and recommendations made by the Chancellor's Council, and if substantive revisions are requested, the Policy Administrator will work with the Responsible Administrator to determine whether and how to make the revisions.
- c. After initial comments and revisions have been addressed, the Policy Administrator will place the matter on the agenda for the next Chancellor's Council meeting for discussion. The Policy Administrator may request that the Responsible Administrator attend the Council meeting to present the policy and answer any questions asked during the meeting about the policy. The Chancellor's Council members may then indicate their formal recommendation that the policy be approved or may request additional revisions or information. In the event consensus cannot be reached, the Policy Administrator will work with the Policy Owners following the process described in item 3.1.3.b. above.
- d. The Chancellor may also request additional information or revisions prior to deciding whether to approve the policy. If that occurs, the Policy Administrator will work with the appropriate parties to determine whether and how to make revisions, and re-submit the revised draft policy to the Chancellor's Council at its next meeting following finalization of the revised draft or present the revised draft policy to the Chancellor without a Chancellor's Council meeting if requested by the Chancellor. The process will repeat until the policy revisions are approved or until the Chancellor decides not to further pursue a new or revised policy, as the case may be.

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<sup>2</sup> A representative from the Office of General Counsel must always be included in PAG for consultation on legal implications of draft policies.

- e. After the Chancellor decides that the policy should be approved, the policy will be submitted for final approval based on which office has final decision-making authority:
- If the Chancellor is authorized to approve the policy, the Policy Administrator produces a Policy Approval Form for the Chancellor's signature, along with a final draft of the policy. Once the Chancellor signs the approval form, the approval process is complete. The Chancellor will return a copy of the signed approval form to the Policy Administrator.
  - If the Board of Trustees is authorized to approve the policy, the Responsible Executive will work with the Policy Administrator and Assistant Secretary to the Board of Trustees to: (i) present the matter to the Board of Trustees and request review and approval; and (ii) if the policy is adopted, return a copy of the signed resolution or meeting minutes to Policy Administrator.
  - If a policy that is approved by the Chancellor or the Board of Trustees requires further review and/or approval by the President of the University of North Carolina System, the Chancellor or their designee will coordinate requesting such review and/or approval.

### **3.1.4 Distribution and Publication of New University Policies**

- a. Once the new or revised University Policy has been approved, the Policy Administrator will ensure that the policy is published on the [University Policy Manual website](#). Organizational units that wish to reference University Policies on their own websites should link directly to the policy's URL on the University Policy website. Organizational units should not maintain copies or versions of University Policies on their own websites. After a new policy is published, the Policy Administrator will:
- Provide the Responsible Administrator with the URL for the policy on the [University Policy Manual website](#);
  - Ensure that the University community is notified via email or another standard form of campus-wide communication that a new policy has taken effect; and
  - Send the approved policy to the Chancellor's Council, and request that the Council members distribute it within the relevant areas of their units.
  - The Policy Administrator will maintain an archive of digital copies of old, expired versions of revised policies.

## **3.2 Review and Revision of University Policies**

### **3.2.1 Review of Newly Implemented Policies**

At the end of the first year of implementation of a new policy, the Policy Administrator will request feedback from the Responsible Administrator and other key stakeholders involved in the policy's creation regarding the policy's effectiveness during its inaugural period. If the feedback indicates that revisions are needed to the policy, the Policy Administrator will work with the Policy Owners to revise the policy. The Policy Administrator either on their own behalf or the behalf of the Policy Owners, may initiate a similar process at the end of the first year of implementation of significantly revised existing policies.

### 3.2.2 Monitoring and Review of Existing Policies

- a. **The Policy Owners are expected to monitor the ongoing implementation of any policy over which they have authority.** So that University Policies remain in compliance with related external policies, laws, and regulations, the Responsible Administrator should stay abreast of any changes in related internal or external policies, laws, or regulations that may necessitate change to a University Policy. They should monitor the ease of implementation of each policy and be responsive to revisions that may be needed to ensure a policy's clarity and effectiveness.
- b. In addition to ongoing monitoring, Policy Owners must initiate a formal review process of University Policies for which they are responsible every five years *at a minimum*. It is highly recommended that policies based on external policies, laws, or regulations that change frequently be reviewed more often. The review process may result in two actions: (1) revision of the policy; or (2) rescission and archiving of the policy.

### 3.2.3 Revising Policies

Revision of existing policies may result from a scheduled, formal review or from changes in the environment or existing policies, laws, or regulations that necessitate realignment.

#### a. Substantive Revisions

The process for making Substantive Revisions follows the same general process as outlined for the development of new policies. All changes should be clearly indicated when the revised policy draft is submitted to the Policy Administrator. University Policies that undergo substantive revisions must be vetted and approved by the PAG, the Chancellor's Council, and the Chancellor and/or Board of Trustees.

#### b. Non-substantive Revisions

Policy Owners can request that Non-substantive Revisions be made to existing University Policies by providing an updated copy of the policy with the indicated changes to the Policy Administrator for approval and dissemination. Should the Policy Administrator determine that the requested revisions are actually substantive in nature, the process outlined for substantive revisions will apply.

### **3.3 Policy Rescission**

Requests to rescind a University Policy should be submitted by the Responsible Administrator to the Policy Administrator using the [Policy Action Form](#). The Policy Administrator may consult with stakeholders and will enlist the PAG and Chancellor's Council to determine the potential consequences of rescinding the policy prior to forwarding the request to the Chancellor. The Policy Administrator will notify the Responsible Executive, Responsible Administrator, and all stakeholders of the Chancellor's decision to grant or deny a request to rescind a policy; maintain an archive of rescinded policies for reference and record-keeping purposes; and ensure that rescinded policies are no longer accessible on the University Policy Manual website.

## **4. Unit and Academic Policies**

To minimize potential conflicts with University Policies, Policy Owners and/or other stakeholders may consult with the Policy Administrator to request a courtesy review of draft Academic and Unit policies.

## **5. Interim Policies**

Under exceptional circumstances, the Chancellor may issue an Interim University Policy without the review process set forth above. Interim University Policies will generally remain in effect for no more than six months from the effective date of their issuance; therefore, when an Interim University Policy is issued, the Responsible Administrator should initiate the steps described above for review and approval of a final University Policy promptly.

## **6. Additional Information**

### **6.1 Resources**

- [University Policy Manual Website](#)
- [Policy on Policies](#)
- [University Policy Development and Review Guidelines](#)
- [University Policy Template](#)
- [Policy Action Form](#)

### **6.2 Contacts for Additional Information and Reporting**

- **Responsible Administrator:** University Compliance Director, Office of the Chancellor, [policy@uncg.edu](mailto:policy@uncg.edu), 336.334. 2467

- **Responsible Executive:** Associate Vice Chancellor for Policy and Strategy,  
336.334.5266