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[1]

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

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[1] For additional definitions and roles and responsibilities, see University's Policy on Policies.

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 need for and purpose of the proposed policy action using the Policy Action Form ("the Form"), which will be submitted by the Drafter or the Liaison identified by the Responsible Executive. The 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).

b. Upon review of the Form, the Policy Administrator may consult with the Drafter or Liaison to confirm that the policy action is warranted or 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](#), or as suggested by the Policy Administrator. Responsible Administrators drafting new policies should consult the [University 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.[2] 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 summary of proposed changes,
- 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 subject matter of the policy and the requested policy action;
- the major issues for decision by the Council; and
- how the policy relates to the University mission and priorities.

c. The Policy Administrator will place the matter on the agenda for the next Chancellor's Council meeting for discussion. The Policy Administrator, and/or the Drafter or Responsible Administrator may 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. The Policy Administrator will work with the Policy Owners to address comments and incorporate revisions.

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 the Chancellor's direction, either re-submit the revised draft policy to the Chancellor's Council or present the revised draft policy to the Chancellor.

e. After the Chancellor approves, it may be submitted for further approval if the Board of Trustees or UNC System President or Board of Governors must review or approve. The Policy Administrator will facilitate any further reviews and maintain a record of all approvals with the policy documents.

3.1.4 Distribution and Publication of New University Policies
a. Once the new or revised University Policy has been approved, the Policy

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[2] A representative from the Office of Institutional Integrity and General Counsel must always be included in PAG for consultation on legal implications of draft policies.

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 be notified via email or another standard form of campus-wide communication that a new policy has taken effect; and
- Send the link for the approved policy to the policy liaisons and 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 comply with the formal review schedule established by the Office of Institutional Integrity and General Counsel to ensure that University Policies for which they are responsible are reviewed 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 three actions: (1) formal acknowledgement that no revision is necessary; (2) revision of the policy; or (3) 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. <u>Substantive Revisions</u>. 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. <u>Non-substantive Revisions</u>. 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 Recission

Requests to rescind a University Policy should be submitted by the Responsible Administrator to the Policy Administrator using the [Proposed 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. Expedited Policy Review Process

When a University Policy is issued under the Expedited Review Process, the Responsible Administrator should initiate the steps described above for review and approval of the 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](#)
- [Proposed University Policy Action Form](#)

6.2 Contacts for Additional Information and Reporting

- **Responsible Administrator:** Deputy General Counsel, Office of Institutional Integrity and General Counsel, policy@uncg.edu, 336.334.3067
- **Responsible Executive:** Vice Chancellor for Institutional Integrity and General Counsel, 336.334.3067