Eastern Kentucky University
Policy and Regulation Library

Policy on Policies

Policy Statement

Eastern Kentucky University, through the practice of shared governance, formally develops, approves, disseminates, implements, and maintains policies, as defined in this document, through a uniform process. All members of the University community may be involved in developing, updating, recommending, and disseminating University policies and thus must adhere to the precepts set forth in this policy. This document defines a University policy, and also provides a format for the development, revision, approval, and dissemination of such policies. Additionally, it describes the responsibilities of the parties involved in the formulation and adoption of University policies.

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

Eastern Kentucky University will be guided by the following principles:

- Policies will
    - support the University's mission, values, initiatives, and strategic goals;
    - be designed to encourage students' success in achieving their goals while at the same time be intended to maintain the mission of a high quality educational experience;
    - align ownership with authority, responsibility, and accountability;
    - comply with applicable federal and state and local laws and regulations as well as accrediting standards; and
    - be consistent with other university policies; and
- The policy process will
    - be transparent;
    - honor shared governance by seeking participation from stakeholders;
    - have a mechanism for evaluation and improvement in a timely manner; and
    - minimize bureaucratic gridlock.

Entities Affected by the Policy

Entire university community, including all campuses and extended sites

Policy Background

The implementation of a Policy on Policies enables the University to more effectively and efficiently manage its body of policies. While certain practices existed, no previous written policy concerning the formulation and adoption of policies existed.

Proposed Policy April 19, 2010

Procedures

POLICY ORIGINATING, VETTING AND APPROVAL PROCESS

Any recognized University unit or organization, or any individual sponsored by a recognized University unit or organization may identify the need for a new policy or the revision of an existing policy. Once the need for a new policy or the need to revise a current policy is identified, the following steps should be followed*:

1) a. If the proposed issue is academic in nature, complete an Impact Statement and forward to the Office of the Associate Provost for Academic and Faculty Affairs.

   b. If the proposed issue is non-academic in nature, complete an Impact Statement and forward to the Office of Policy, Compliance and Governance.

   If there is uncertainty as to whether the issue is academic or non-academic, forward the Impact Statement to the Office of Policy, Compliance and Governance. A draft of the policy or policy revision may be submitted with the Impact Statement.

2) The Office of Policy, Compliance and Governance or the Office of the Associate Provost for Academic and Faculty Affairs will review the Impact Statement and will work with the Policy Originator to make revisions as necessary to the Impact Statement.

3) The Office of Policy, Compliance and Governance or the Office of the Associate Provost for Academic and Faculty Affairs will form a Drafting Team consisting of those representative stakeholders who may be affected by the policy. When the policy at hand concerns an area that is primarily a faculty right and responsibility (e.g. promotion, tenure, appointment or dismissal of faculty, etc.), the Office of the Provost and the Faculty Senate should work together to form the drafting team, whose membership should consist of a faculty majority, as practical, plus any other necessary stakeholders.

4) The Drafting Team will develop the draft policy in the template format. As part of the policy draft, drafting teams should work to identify the Responsible Office, Responsible Executive and Interpreting Authority.

5) The Drafting Team will submit the draft policy, as instructed, for appropriate review/vetting. The sequence of review, as outlined below, may vary:

   ▪ The Office of Policy, Compliance and Governance or the Office of the Associate Provost for Academic and Faculty Affairs will post the draft policy on the University Policy and Regulation website for a 30-day University comment period.
   ▪ Prior to posting for the 30-day University comment period, the Office of Policy, Compliance and Governance and the Office of the Associate Provost for Academic and Faculty Affairs will notify the Chairs of the Faculty Senate, Staff Council and the Student Government Association President that such policy is to be posted.
   ▪ The Office of the University Counsel will also be notified prior to the 30-day comment period to begin legal review of the proposed policy.
   ▪ An announcement that a policy is posted for 30-day university comment period on the Policy and Regulation Website will be made to the university community through *EKU Today* and *EKU Student Today.*
   ▪ The Drafting Team will review and consider all comments made during this time period. Policies will generally be reviewed using the two tracks below. If appropriate, a policy may be reviewed using both tracks. The Office of Policy, Compliance and Governance and the Office of the Provost are responsible for ensuring policies are reviewed through the appropriate track(s).

University Non-Academic Policies

- The Administrative Council reviews the University Non-Academic policy drafts, and may:

    i. determine if further drafting or stakeholder feedback is necessary;

    ii. make a recommendation to the President;

    iii. recommend that the Office of Policy, Compliance and Governance reconvene the Drafting Team to incorporate feedback from stakeholders or from the 30-day University comment period, and then resubmit the draft for additional review.

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- Once all recommendations are made and a final draft is ready, the Office of Policy, Compliance and Governance will submit the policy draft to the President.

University Academic Policies

- The Council on Academic Affairs (CAA) reviews policy drafts that affect curriculum, academic programs, or academic requirements for students and makes recommendations. Prior to making a recommendation, the CAA may determine that further drafting or stakeholder feedback is necessary. The Special Assistant to the Provost (for Academics) will reconvene the Drafting Team to consider feedback from the CAA.

and/or

- The Faculty Senate reviews policy drafts that affect academics, including admission, curriculum, instruction, and criteria for granting degrees; faculty welfare; faculty rights and responsibilities, including promotion and tenure; student affairs in the areas where the proposed policy concerns the students' academic achievement; and other policies as referred to the Senate. The Faculty Senate makes recommendations. Prior to making a recommendation, the Senate may determine that further drafting or stakeholder feedback is necessary.

and/or

- The Provost Council reviews policy drafts that affect Academic Affairs or that are referred to the Council. The Provost Council makes recommendations. Prior to making a recommendation the Provost Council may determine that further drafting or stakeholder feedback is necessary, The Special Assistant to the Provost (for Academics) will reconvene the drafting team as necessary to consider feedback from the 30-day University comment period or from any stakeholder groups.

and

- The Special Assistant to the Provost (for Academics) will reconvene the Drafting Team as necessary to consider feedback from the 30-day University comment period or from any stakeholder groups.

- Once all recommendations are made and a final draft is ready, the Special Assistant to the Provost (for Academics) will submit the policy draft to the President.

6) For both academic and non-academic policy drafts, the President may:

  i. submit to President's Cabinet for advisement and/or to others identified in the policy process for further review, drafting, or stakeholder feedback;
  ii. approve as a University Regulation where Board of Regents approval is not required (see 1.1.2P Authorization for Regulations);
  iii. recommend approval and submit to the Board of Regents for adoption;
  iv. not approve or not recommend approval for submission to the Board Of Regents;
  v. take other action as the President deems appropriate.

* The only exception to the above process is when the Faculty Senate is the Policy Originator. Pursuant to Part VII Section VII A4a, Faculty Handbook, when the Faculty Senate is the Policy Originator policy Impact Statements and policy drafts may be submitted directly to the President or may be submitted as described above. The President may recommend that policies proposed by the Faculty Senate be vetted through the above process outlined in this policy.

The Board of Regents has authority to approve University Policies (both academic and non-academic). Pursuant to 1.1.2 P Authorization for Regulations, the President has authority to approve University Regulations.

University Regulations will be vetted through this process (except Board of Regent approval is not required) in accordance to 1.1.2P Authorization of Regulations. Depending on the nature of the issue, guidelines that are part of policies or regulations may require vetting through this process.

7) Once a policy or regulation is adopted, it will be posted on the University Policy and Regulation website. Policies and regulations will be codified in a manner that includes Volume, Chapter, and Section.

DEPARTMENT/UNIT POLICIES, GUIDELINES, AND REGULATIONS

Policies, guidelines and regulations that apply only to specific departments or units are not subject to this process.

ESTABLISHING AN INTERIM POLICY

On occasions when an Interim Policy is necessary, a Drafting Team will draft and recommend the Interim Policy for approval by the President. The chairs of the Faculty Senate, the Staff Council, and the Student Government Association President along with the Office of University Counsel will be notified upon formation of the drafting team for the drafting of interim policies and when the President adopts such interim policies.

An interim policy must carry an expiration date and will either be allowed to expire without additional action, be extended one time for a specific period upon special permission from the President, or will be replaced by a standard University Policy or Regulation, which is vetted through the process as stated within this policy.

UPDATING OR REVISING A POLICY

On an as-needed basis, the Office of Policy, Compliance and Governance and/or the Office of the Provost will make routine changes (such as position or unit titles, links, etc.) to University policies and regulations. These changes are not changes that substantively affect the policy. The Office of Policy, Compliance and Governance and/or the Office of the Provost will note the date of such changes as updated on the first page of the policy.

Editorial changes that do not substantively affect the policy may be suggested to either the Office of Policy, Governance and Compliance or to the Special Assistant to the Provost for Academics. Such changes will be made to the policy and updated on the University Policy and Regulation website. Procedures for substantive revisions to an existing policy are the same as the policy originating/vetting/ approval process as stated within this policy.

IMPLEMENTING, DISSEMINATING, AND TRAINING

Unless otherwise stated in the policy, a policy or regulation is in effect immediately after it is adopted by the Board of Regents or President. Once adopted, the Office of Policy, Compliance and Governance Office or the Provost 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 implementation and 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 of the question or conflict in writing to the Interpreting Authority designated in that policy.

The Interpreting Authority will review the questions or conflicts, as well as any precedents to ensure consistent interpretation. 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 includes representatives from key stakeholders and that ensures policies under his/her jurisdiction are so reviewed.
 Policies will be reviewed for the following:
- 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

If changes in the policy are deemed necessary, the appropriate process (revising, updating, or repealing) should be initiated.

REPEALING A POLICY

If a policy is identified as no longer relevant or necessary, the same process as stated in the Policy Originating, Vetting and Approval Process within this policy will be followed to repeal the policy.

ARCHIVING A POLICY

If a policy is updated, revised, superseded, or repealed, the Office of Policy, Compliance and Governance Office of the Associate Provost for Academic and Faculty Affairs will archive the older version of the policy. These archived policies will be made available upon request.

Definitions

30 Day University Comment Period	As part of the policy development process, a period of 30 days (including weekends and holidays) will be allotted to allow the University community comment on proposed policies. The President may extend this period if deemed necessary.
Administrative Council	The Administrative Council is made up of direct reports to the President and others as appointed by the President. As it pertains to this policy, the Administrative Council will review Non-Academic University Policy drafts and make recommendations to the President.
Board of Regents (BOR)	The legal and active policy making body of the University.
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.

Council on Academic Affairs (CAA)	The Council on Academic Affairs is a University body that is charged with oversight of the curriculum and academic programs of the University. As it regards this policy, the CAA reviews and makes recommendations regarding policies that affect curriculum, academic programs, or academic requirements for students.
Drafting Team	A drafting team is a small workgroup formed for the purpose of writing and editing a policy draft and in placing that draft in a University policy template. For NonAcademic Policies, drafting teams will consist of representative from Staff Council, Faculty Senate and Student Government Association and other stakeholders.
Department /Unit Policy	A policy that pertains only to the internal procedures of a given department or unit. Department/unit policies are not subject to this policy. However, department/unit policies must be consistent with University policies.
Effective Date	The date the University policy is approved by the Board of Regents or President unless otherwise specified.
Faculty Senate	The Faculty Senate is the delegate assembly of the University faculty through which the faculty normally exercises its responsibilities as a group. As it pertains to this policy, the Faculty Senate reviews and makes recommendations regarding policies that affect academics, including admission, curriculum, instruction, and criteria for granting degrees; faculty welfare; faculty rights and responsibilities, including promotion and tenure; student affairs in the areas where the proposed policy concerns the students' academic achievement; and other policies as referred to the Faculty Senate.
Guidelines	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 regulations. Guidelines may or may not apply institution wide.
Impact Statement	Document to be completed by the Policy Originator describing the justification for developing a new policy or revising a current policy and the impact of such on the University.
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, be extended one more time for a specified period upon special permission from the President or be replaced by a standard University policy.
Interpreting Authority	The office or individual designated to interpret the intent of the policy when questions or conflicts arise concerning its application, compliance, or scope.
Policy Originator	An individual or group identifying a need for a policy or policy revision and assisting in the development of that policy. An originator may be a representative from an administrative or academic unit; a committee, senate, association, or council; or an individual sponsored by a recognized university unit or organization of the university community.
Policy Originating, Vetting, and Approval Process	The formal process by which the University develops, recommends, and approves University policies. (See link.)
President's Cabinet	The President's Cabinet consists of the Provost and Vice President for Academic Affairs, the Associate Provost and Vice President for Student Affairs, the Executive Vice President for Administration, the Vice President for Financial Affairs, the Vice President for Institutional Advancement, and the Chief of Staff and Executive Director of Policy, Compliance and Governance. As it pertains to this policy, the Cabinet functions as a senior level policy advisory body to the President.
Provost Council	The Provost's Council is the major advisory body to the Provost and Vice President for Academic Affairs for the review of policies and procedures in the area of academic affairs.

Recognized University Unit or Organization	Examples include: University Departments; RSO's; Student Government Association; etc
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. 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 one responsible executive.
Responsible Office(s)	University office(s) designated with the responsibility of administering a policy, communicating with and training the university community regarding the policy requirements, and executing its timely review and updating.
Section	The designation for University policy or regulation that provides the name of the individual policy or regulation.
Shared Governance	As it relates to this policy, a joint effort of the university community for the development of University policies and regulations.
Stakeholder	Any individual or group who might be impacted by or might have knowledge related to a particular policy.
University	Eastern Kentucky University
University Academic Policy	University policies that pertain to the academic mission and issues of the University.
University Non-Academic Policy	University policies that pertain to matters not considered academic.
University Policy (both Academic and Non-Academic)	A University policy includes the following characteristics: • Assists the University in achieving its mission through the promotion of operational efficiency • Applies broadly across the University • Complies with federal, state, and local laws as well as regulations and guidelines of accrediting bodies • Mandates actions or limitations • Ensures responsibility and accountability • Requires approval by the President and/or the Board of Regents for implementation or substantive changes • Reflects University values
University Policy and Regulation Website	A University website dedicated to housing University policies, regulations, guidelines, and all related information.
University Policy Document	All official policy documents have the following characteristics: • Are reviewed and approved by the policy vetting and approval process • Are under the authority of a responsible 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 and Regulation Library on the University policy and regulation website
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.

Responsibilities

Administrative Council	• Review and provide feedback to the non-academic university policy drafting teams and provide recommendations to the President's Cabinet. • Identify additional stakeholders as needed and seek input.
Associate Provost and Vice President for Academic and Faculty Affairs	• Review Impact Statements and provide feedback to the policy originator(s). • Determine the appropriate process path (academic or non-academic). Refer to the Office Policy, Compliance, and Governance Executive Director if a non-academic policy. • Identify stakeholders and provide a list to the appropriate review group(s). • Identifies need for policy development or revision as needed
Board of Regents	• Review and approve University policies.
Council on Academic Affairs	• Review policies that affect curriculum, academic programs, or academic requirements for students. • Identify additional stakeholders as needed and seek input. • Make recommendations to Faculty Senate and/or Provost Council regarding such policies • Recommend appropriate language for the Catalog(s) as necessary
Drafting Team	• Work with the policy originator to draft a new policy or make revisions to an existing policy. • Use the template to create a draft based on the PAC's feedback. • Submit policy draft, as instructed, to the appropriate group(s). • Edit policy draft based on input from review groups, stakeholders, and the 30-day university comment period.
Faculty Senate	• Review policies that affect curriculum, academic programs, or academic requirements for students, or faculty welfare or faculty rights and responsibilities such as promotion and tenure. • Review other policies referred to or originated by the Faculty Senate. • Provide input as requested. • Identify additional stakeholders as needed and seek input. • Make resolutions of support or recommendations to the Provost Council, to the Council on Academic Affairs, or to the President regarding such policies.
Interpreting Authority	• Make sound judgments on the intent of the 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—Policy Compliance Analyst	• Facilitate the development and processing of non-academic policies. • Facilitate non-academic university policy drafting teams as needed. • Ensure that policy is disseminated to the University Community. • Ensure that the University community is trained 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. • Identifies need for policy development or revision as needed
Policy, Compliance, and Governance Executive Director	• Review Impact Statements and provide feedback to the Policy Originator(s). • Determine the appropriate process path (academic or non-academic). Refer to Associate Provost if an academic university policy. • Identify stakeholders and provide a list to the appropriate review group(s).

Policy Originators(s)	• Complete the Impact Statement and submit to the Office of Policy Compliance and Governance or to the Office of the Associate Provost and Vice President for Academic and Faculty Affairs to begin the policy process. • Consult key stakeholders during the development process and considers all suggestions.
President	• Review and approve policies not required to be submitted to the Board of Regents. • Review and recommend policies to the Board of Regents for approval.
President's Cabinet	• As it pertains to this policy, makes recommendations to the President on policy matters.
Provost and Vice President for Academic Affairs	• Recommends Academic Affairs policies to the President. • Participate in policy recommendations as a member of the President's Cabinet. • Identifies need for policy development or revision as needed
Provost Council	• Review policies that affect Academic Affairs. • Provide input on other policies as requested. • Identify additional stakeholders as needed and seek input. • Make resolutions of support or recommendations to the Provost.
Responsible Executive	• Be accountable for implementation of and compliance with policy • Review final draft of the policy document before submission to 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 area of responsibility.
Responsible Office(s)	• 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.
Special Assistant to the Provost for Academics	• Facilitate the development and processing of academic university policies. • Serve on drafting teams as appropriate • Ensure that the University community is trained concerning policy development and compliance matters. • Assist with the maintenance of the University Policy website, particular as it regards academic policies. • Assist with the archiving of policies that have been revised, suspended, or superseded, particularly as it regards academic policies. • Identify need for policy development or revision as needed and make recommendations to the Provost and Vice President for Academic Affairs.
Stakeholder	• Assist with drafting, reviewing, and formulation of policies.
University Counsel	• Review of all policies before approval. • Assist in determining whether a policy goes to the Board of Regents for approval or is approved as a Regulation by the President. • Review all University policies, regulations and guidelines for compliance with applicable federal, state and local laws and regulations as well as for consistency with other University policies, regulations and guidelines.

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 Executive Director for Policy, Compliance & Governance, if so delegated
- Provost and Vice President for Academic Affairs, if so delegated
- Vice President or other direct reports 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
Impact Statement
Policy Diagram
Authorization for Regulations (1.1.2P)

Policy Adoption Review and Approval

Policy Issued

Date	Entity	Action
April 19, 2010	Board of Regents	Approved
April 19, 2010	President Whitlock	Recommended
April 16, 2010	Administrative Council	Recommended
April 7, 2010	Provost Council	Recommended
March 1, 2010	Faculty Senate	Recommended
February 18, 2010	Council on Academic Affairs	Recommended

Interim Policy

Date	Entity	Action
November 3, 2009	President Whitlock	Extended effective date through May 1, 2010
November 10, 2008	President Whitlock	Adopted Interim Policy