1.1.1
Volume 1, Governance
Chapter 1, Policies, Regulations, and Guidelines
Section 1, Policy on Policies
Approval Authority: Board of Regents
Responsible Executive: President
Responsible Offices: Office of the Provost
Effective: April 23, 2019
Issued: April 19, 2010
Last Revised: December 2, 2020
Next Review Date: Spring 2021

**Eastern Kentucky University
Policy and Regulation Library**

Policy on Policies

Statement

Pursuant to Kentucky Revised Statutes 164.350(2), it is the duty of the Board of Regents to adopt bylaws, rules, and regulations for the governance of the University. At Eastern Kentucky University, the Board of Regents has declared that the University shall be governed by Board-adopted policies. By way of this Policy, the Board of Regents hereby establishes the policy-making process. The Board retains full policy-making authority both at the Board level and by way of approval of internally developed policies.

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 all University 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 approval 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 authority with 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

Entire university community, including all campuses and extended sites.

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 must be followed:

1) Complete an Impact Statement describing the justification for the new policy or revision to an existing policy; the alignment with the University's mission or with external obligations; and its potential impact on the campus community. Academic Policy Impact Statements shall be submitted to the Provost's policy designee ("Policy Designee"). Administrative Policy Impact Statements shall be submitted to the University Counsel's policy designee ("Policy Designee"). A draft of the policy or policy revision may be submitted with the Impact Statement but is not required.

2) The applicable Policy Designee will review the Impact Statement and will work with the Policy Originator to make revisions as necessary to the Impact Statement.

3) The Policy Designee will form a Drafting Team consisting of those representative stakeholders most directly affected by the policy, including, when appropriate, student representatives. When an Academic Policy is being drafted or revised, the Policy Designee will ensure that the Drafting Team membership will consist of a faculty majority plus any other necessary stakeholders.

4) The Drafting Team will develop the draft policy in the approved format. As part of the policy draft, drafting teams will identify the Responsible Office, Responsible Executive and Interpreting Authority. The Drafting Team must also identify appropriate stakeholders who should review the draft policy.

5) All policies which appropriate University resources (i.e. dollars, equipment, personnel), shall include a Fiscal Impact Statement which details the use of University resources and identifies the office(s) which oversees the use of those and implementation of those resources. Prior to submitting the draft policy to the appropriate offices for Stakeholder Review and Policy Vetting, the Fiscal Impact Statement shall be reviewed and approved by the Executive Director, Budgeting, Financial Planning and Fiscal Effectiveness and the Senior Vice President, Finance and Administration.

6) Stakeholder Review
The Drafting Team will submit the draft policy to the applicable Policy Designee, who will ensure review and vetting by the stakeholders appropriate for the specific policy.

7) Policy Vetting
The Provost Council shall vet Academic Policies before being forwarded to the President's Council. The President's Council shall vet all policies before being forwarded to the President. Either council may forward the draft policy to additional stakeholders for review and recommendations, but not approval. Following vetting, the policy draft shall be posted on the policy website for a 14-day University comment period. The comment period will be extended if deemed necessary by the President or his or her designee.

The Drafting Team may be reconvened to incorporate stakeholder input received during vetting or the 14-Day comment period. If the Drafting Team does not incorporate input provided during the 14-Day comment period, the stakeholder(s) should be informed of the reason.

8) After the completion of vetting, the Policy Designee will submit the policy and an executive summary to the President. The executive summary shall include a brief description of the policy as well as all of the actions taken during the vetting process.

9) Upon receiving a policy draft, the President may:
    a. recommend approval and submit to the Board of Regents for adoption;
    b. not approve or not recommend approval for submission to the Board of Regents;
    c. take other action as the President deems appropriate.

10) The President will submit policies to the Board of Regents, which has authority to approve University Policies.

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

Pursuant to Part VII Section VII A4a, Faculty Handbook, when the Faculty Senate is the Policy Originator, upon completion of the Fiscal Impact Statement, 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.

DEPARTMENT/UNIT POLICIES, PROTOCOLS AND PROCEDURES

Policies, protocols, and procedures that apply only to specific departments or units are not subject to this process. However, departments, colleges, and units must ensure that all policies and protocols are consistent with University policies and protocols, are developed and approved consistent with the principles of shared governance, and are published.

ESTABLISHING AN INTERIM POLICY

When compliance with the law or with an accrediting or governing body will not allow time for the normal policy process to proceed, an interim policy may be established. When an Interim Policy is necessary, a Drafting Team will draft the Interim Policy. The Policy Designee will submit the draft policy and executive summary to the President for approval on an interim basis. The President's Council, the Provost Council, the Executive Committee of Faculty Senate, and Staff Council 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 be replaced by a standard University Policy, which is vetted through the process as stated within this policy.

UPDATING OR REVISING A POLICY

On an as-needed basis, the Policy Designee may make non-substantive or editorial changes (such as position or unit titles, links, etc.) to University policies. The Policy Designee will note the date of such changes on the policy and notify the President's Council, the Provost Council, the Executive Committee of Faculty Senate, and Staff Council.

Procedures for substantive revisions to an existing policy are the same as the policy originating, vetting, and approval process as stated within this policy.

When compliance with the law or any accrediting body mandates revision of a policy, the Policy Designee will make such revisions and submit to University Counsel for review and approval. Once approved, the Office of the Policy Designee will notify the President's Council, Provost Council, Executive Committee of Faculty Senate, and Staff Council.

IMPLEMENTING, DISSEMINATING, AND TRAINING

Unless otherwise stated in the policy, a policy is in effect immediately after it is adopted by the Board of Regents or President. Once adopted, the Policy Designee 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 in light of legal or accreditation requirements as well as any University precedents to ensure consistent interpretation. Once an interpretation has been determined, the Interpreting Authority will communicate the decision in writing to the appropriate parties.

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 ensure 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 issues

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 vetting process as was used in its origination shall be followed to repeal the policy. As the governing authority, the Board of Regents, through the majority vote of a quorum of its members at an open meeting, may repeal any policy.

ARCHIVING A POLICY

If a policy is updated, revised, superseded, or repealed, the older version of the policy will be archived in University Archives. These archived policies will be made available upon request.

Definitions

- **14 Day University Comment Period:** As part of the policy development process, a period of 14 days (including weekends but excluding other days the University is closed) will be allotted to allow the University community comment on proposed policies.

- **Academic Policy:** A Policy which solely addresses the academic matters of the University and issues of faculty rights and responsibilities,

- **Administrative Policy:** A Policy which addresses administrative affairs of the University, including policies which have broader implications beyond academic or faculty issues, even if academic or faculty members are affected.

- **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. Drafting teams will consist of representative stakeholders.

- **Effective Date:** The date the University policy is approved by the Board of Regents or interim policy as approved by the President unless otherwise specified.

- **Fiscal Impact Statement:** Document to be completed by the Drafting Team which describes the University resources appropriated by the policy and identifies the controls to prevent resource with misuse.

- **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.

- **Policy 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.

- **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.

- **Recognized University Unit or Organization:** Examples include University Departments, RSO's, Student Government Association, etc.

- **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.

- **Shared Governance:** As it relates to this policy, a joint effort of the university community for the development of University policies.

- **Stakeholder:** Any individual or group who might be impacted by or might have knowledge related to a particular policy.

Responsibilities

- Board of Regents

  - Review and approve all University policies; ultimate policy-making authority of the University.

- Council on Academic Affairs

  - Review policies that affect curriculum, academic programs, or academic requirements for students.

  - Identify additional stakeholders as needed and seek input.

- 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.

  - Identify key stakeholders.

  - Edit policy draft based on input from review groups, stakeholders, and the 14-day university comment period.

- Executive Director, Budgeting, Financial Planning and Fiscal Effectiveness

  - Review Fiscal Impact Statements to ensure that all policies which appropriate University resources properly identifies the resources impacted, defines the responsibilities of the offices implicated by the policy, and specifies controls to prevent resource misuse.

- Faculty Senate

  - Review policies that affect faculty, 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.

- o Identify additional stakeholders as needed and seek input.
- Interpreting Authority
  - o Make sound judgments on the intent of the when questions or conflicts arise concerning its application, compliance, or scope.
  - o Review precedents, if any, to ensure consistent interpretation.
  - o Render an interpretation when called upon to do so and communicate the decision to the appropriate parties.
  - o Document all interpretation decisions.
- Policy Originators(s)
  - o Complete the Impact Statement and submit to the Policy Designee to begin the policy process.
  - o Consult key stakeholders during the development process and considers all suggestions.
- Policy Designee
  - o Review Impact Statements and provide feedback to the policy originator(s).
  - o Identifies need for policy development or revision as needed.
  - o Facilitate the development and processing of administrative university policies.
  - o Serve on drafting teams as appropriate
  - o Ensure that the University community is trained concerning policy development and compliance matters.
  - o Assist with the maintenance of the University Policy website, as it pertains to administrative policies.
  - o Assist with the archiving of policies that have been revised, suspended, or superseded.
- President
  - o Review and approve policies not required to be submitted to the Board of Regents.
  - o Review and recommend policies to the Board of Regents for approval.
- President's Council
  - o Review all policies before they are sent to the President.
  - o Identify additional stakeholders as needed and seek input.
  - o Approve all Administrative Policies.
- Provost Council
  - o Review all Academic policies before they are sent to the President's Council

- o Identify additional stakeholders as needed and seek input.
- o Approve Academic policies.
- Responsible Executive
  - o Be accountable for implementation of and compliance with policy
  - o Review final draft of the policy document before submission to the approval authority.
  - o Conduct timely reviews of existing policies under his or her jurisdiction.
  - o Assist, as needed, in the development, updating, or revision of policy within his or her area of responsibility.
- Responsible Office(s)
  - o Lead in the establishment of support systems needed to achieve compliance of policies.
  - o Inform and train the university community concerning new and substantially revised policies.
  - o Consult with the Responsible Executive(s) to update existing policies.
- Senior Vice President, Finance and Administration
  - o Review Fiscal Impact Statements to ensure that all policies which appropriate University resources properly identifies the resources impacted, defines the responsibilities of the offices implicated by the policy, and specifies controls to prevent resource misuse.
- Staff Council
  - o Review policies that affect University staff.
  - o Identify additional stakeholders as needed and seek input.
  - o Provide input as requested.
  - o Approve policies.
- University Counsel
  - o Assist Drafting Teams, as needed, with issues that require a legal interpretation.
  - o Review of all policies before approval.
  - o Review all University policies for compliance with applicable federal, state and local laws and regulations as well as for consistency with other University policies.
  - o Make revisions, as necessary, to Academic or Administrative Policy due to changes in law.

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
Senior Vice President for Academics and Provost, if so delegated
University Counsel, if so delegated
Vice Presidents 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

Policy Adoption Review and Approval

Policy Revised

Date	Entity	Action
December 2, 2020	Director of Policy Development	Editorial Revision
April 23, 2019	Board of Regents	Adopted
January 25, 2016	Board of Regents	Adopted
December 9, 2015	President Benson	Approved
November 4, 2015	Provost Council	Approved
October 5, 2015	Faculty Senate	Approved with amendment
August 31, 2015	Staff Council	Approved

Policy Issued

Date	Entity	Action
April 19, 2010	Board of Regents	Adopted
April 19, 2010	President Whitlock	Approved
April 16, 2010	Administrative Council	Approved

April 7, 2010	Provost Council	Approved
March 1, 2010	Faculty Senate	Approved
February 18, 2010	Council on Academic Affairs	Approved

Policy Issued

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