Utah Tech University Policy

101: Policy Process

I.   Purpose

1.1   Utah Tech University ("the University") creates, approves, issues, revises, and maintains all university wide policies to provide continuity, accessibility, clarity, and transparency to the university community.

1.2   The University provides a comprehensive, timely, consistent, and relevant set of policies that cover key aspects of university life, maintain university core values, and protect as well as support students, staff, faculty, and university resources. Policies are designed to bring the university into compliance with state and federal law and best practices in higher education.

II.   Scope

2.1   University policies address governance and principles. Unless explicitly stated, every policy applies to all faculty, staff, and students, as well as visitors to university facilities and users of university resources.

2.2   The University adheres to the principle that the perspectives of faculty, staff, and students should be appropriately considered in the development of university policies. Representative bodies shall be consulted in the process of creating, revising, and retiring policies.

2.3   The Compliance Office and the Policy Steering Committee (PSC) maintain university policies. University policies supersede other university, department, program, or office guidelines, practices, rules, handbooks, and procedures.

III.   Definitions

3.1   *Approval date*: The approval date is the date a policy proposal is approved

by the University Board of Trustees.

3.2 *Policy Steering Committee (PSC)*: The PSC should be made up of broad university representation from faculty, staff, students, and specialty functions. The committee steers policy writing, development, process and revision, and assists owners in prioritization of policies.

3.3 *Policy Owner*: A Policy Owner must be one of the following: President, Vice President, General Counsel, or Executive Director of Human Resources. A Policy Owner oversees university policies for his or her area(s) of responsibility and appoints Policy Stewards.

3.4 *Policy Steward*: A Policy Steward is an individual who, under the direction of a Policy Owner and in conjunction with the Compliance Office/PSC, facilitates the development and advancement of a policy proposal through the university policy approval processes.

3.5 *Non-substantive revisions*: Non-substantive revisions are changes to an existing policy or policy proposal that correct typographical and grammatical errors, change policy format, and/or update university or reference information.

3.6 *Substantive revisions*: Substantive revisions are changes that alter the intent, scope, meaning, or application of a university policy or policy proposal.

3.7 *University policy*: University policies are maintained by the Compliance Office/PSC on the university policy website. University policies often prescribe standards, requirements, restrictions, rights, or responsibilities and support the mission, values, and operation of the university. In this document, the terms policy and policies refer to university policies. Policies may not exist except at the university level. Divisions, schools, departments, programs, offices, etc. may have guidelines, practices, and standard operating procedures.

IV. Policy

4.1 All Policy ownership lies with the Policy Owner. The Compliance Office/PSC, owners and stewards are responsible for reviewing, updating, and decommissioning policies on a regular basis.

4.2 Policy will be considered, evaluated, or revised according to the following priority and precedence:

4.2.1 Federal and State regulation, and court rulings

4.2.2   Board of Regents policies

4.2.3   University Policies

4.2.4   Division/school rules, regulations, procedures, guidelines, etc.

4.2.5   Department/program and office rules, regulations, procedures, guidelines, etc.

4.3   New or Revised Policy and Associated Addendum/Addenda

4.3.1   Any University employee, stakeholder, subject expert, or student can submit a request form to the Compliance Office/PSC, or gain stewardship through a Policy Owner. Requests to create a new policy, propose a new policy addendum/addenda, revise a current policy, or revise a current policy addendum/addenda shall be sent to the Compliance Office/PSC, including documentation of the reason the alteration is required, suggested revision, and impacted stakeholders.

4.3.2   The Compliance Office/PSC will assign a Policy Owner, if a new policy is proposed. The Compliance Office/PSC works with the Policy Owner and Policy Steward to guide policy revisions through the approval process.

4.4   Approval Process

4.4.1   A policy request and/or best practice draft should be submitted to the Compliance Office/PSC for review, creation, or deletion and given due consideration. The Compliance Office/PSC may work with Faculty Senate, Staff Associations, and Student Associations where needed for review.

4.4.1.1   Submitted policy drafts must include a clean version, as well as a marked-up version (for policy revisions). All drafts must also be formatted into the correct policy template (see Policy Writing Guide and online Policy Template).

4.4.1.2   Any policy addendum/addenda cited or revised must be drafted and submitted at the same time as the policy draft in order for the policy to move forward in the approval process.

4.4.2   The Policy Owner approves the progression of the draft of the new policy. Upon approval, the policy is posted on the policy website for public review for a minimum of 14 days and up to 30 days. Any University employee, entity, or student may make a comment or

suggestion regarding a draft policy under review.

4.4.3   During and after the review period, the Policy Owner and/or Steward will review and consider comments received during the comment period and respond and address appropriately. Any revisions deemed advisable will then be made by the Policy Owner and/or Steward, followed by a legal review. The policy then transitions to appropriate voting councils (see flow chart). Final approval of policy as well as policy deletion rests with the University Board of Trustees.

4.5   Retirement of Policy

4.5.1   Policies that are no longer effective, required, or which have been subsumed by another policy may be recommended for retirement by any university entity or employee. The Policy Owner will direct action prior to the retirement recommendation moving through the voting councils and final action by the Board of Trustees.

4.5.2   If the policy suggested for retirement requires revision to another policy in order to be retired, such revision shall go through the approval process simultaneously or prior to deletion.

4.6   Extraordinary Circumstances

4.6.1   In circumstances calling for urgent action, the President may determine that a policy shall be put into effect without prior presentation to the departments, programs, committees, councils, or governing bodies, and/or without the prior approval by or consultation with entities that would otherwise be required. Any policy put into effect in such a manner may subsequently be presented to the Compliance Office/PSC, Policy Owner, and Policy Steward at the next available opportunity for ratification, disapproval, or recommendations.

4.6.2   If a recommendation or requirement of a regulatory agency, statutory or regulatory change, or judicial or administrative mandate creates the need for a new policy, policy revision, or policy retirement, legal counsel may advise the Compliance Office/PSC to make needed policy changes and present such changes for approval to the Executive Council and Board of Trustees in the most expeditious manner possible, including foregoing other input and approval measures.

4.7   Revision of Policy

4.7.1 The Compliance Office/PSC is empowered to make non-substantive revisions to existing policies.

4.7.2 Under no circumstance may the Compliance Office/PSC create new policies, make substantive revisions to current policies, or delete existing policies without the appropriate approvals, including University Council and the Board of Trustees.

4.7.3 An editorial revision to an existing policy does not constitute the enactment of a new or revised policy and does not change the approval or effective dates of such policies.

4.8 Policy Library and Archive

4.8.1 The University shall maintain a searchable library of current policies accessible through the University's website. Within the Policy Library, the university may provide an archive of revisions and access to previous versions of policies, as well as accurate recording of approval and implementation dates. To the extent possible, policies that interface or cover related content shall be linked.

4.9 Regular Review of Policy

4.9.1 The Compliance Office/PSC may coordinate regular and ongoing review of University policies. Each policy should be reviewed five years after the effective date, and every five years thereafter.

4.9.2 Policy reviews should involve appropriate Policy Owners, Stewards, and stakeholders and focus on the following:

4.9.2.1 Compliance with applicable laws, regulations, and Board of Regents policies.

4.9.2.2 Consistency with other University policies covering related content.

4.9.2.3 Effectiveness of the policy to assist in accomplishing the University's mission.

4.9.2.4 Currency of information and format.

4.10 Compliance with Timelines and Deadlines

4.10.1 The Policy Steering Committee creates and publishes policy review cycle timelines, which include Academic Council, University Council, and Board of Trustees meeting deadlines, allow for a 14-

day or 30-day comment period, and facilitate legal review of drafts before posting for comment and after any changes have been made. The current policy preview cycle timelines can be found on the Policy Library website.

V. References – N/A

VI. Procedures

6.1 [Policy Review & Approval Flow Chart](#)

6.2 [Policy-Writing Style Guide](#)

VII. Addenda

7.1 [Policy Review Approval Timelines](#)

7.2 [Policy Template](#)

Policy Owner: President
Policy Steward: Policy Steering Committee

History:
Approved 9/11/15 (replaced 101 Policy Creation, Revision and Approval Process)
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