



**Policy 1.1.1**

Volume 1, Governance  
Chapter 1, Policies, Regulations, and Guidelines  
Section 1, Interim Policy on Policies  
Approval Authority: Board of Regents  
Responsible Executive: President  
Responsible Office(s): Policy, Compliance, and Governance  
Effective: November 10, 2008 Expires: November 10, 2009  
Last Revised: Next Review Date:

## Interim 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 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, approval, and dissemination of 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, 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
  - 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.
  - support the University's mission, values, initiatives, and strategic goals;
  - align ownership with authority, responsibility, and accountability;
  - comply with federal and state laws and regulations as well as accrediting standards;
  - 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
  - avoid 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. No previous policy concerning the formulation and adoption of policies existed.

## Procedures

Any individual or group may identify the need for a new policy or the revision of an existing policy. Once a need is identified, the policy originator(s) should:

1. Complete a policy Impact Statement (see LINK) and forward to the Office of Policy, Compliance and Governance or to the Associate Provost. When the Faculty Senate is the Policy Originator, an Impact Statement and policy draft may be submitted to the Associate Provost or to the President.
2. The Office of Policy, Compliance and Governance or the Associate Provost will review the Impact Statement and work with the Policy Originator to make revisions as necessary to the Impact Statement. This does not apply for policies originated by Faculty Senate when submitting directly to the President, unless required by the President.
3. The Office of Policy, Compliance and Governance or the Associate Provost will form a Drafting Team. This does not apply when the Faculty Senate is the policy originator unless so designated by the President or unless submitted through the full process.
4. The Drafting Team will create a draft policy in the template format. This does not apply when the Faculty Senate is the policy originator unless so designated by the President or unless submitted through the full process.
5. The Drafting Team will submit the draft policy, as instructed, to the appropriate review group. This does not apply when the Faculty Senate is the policy originator unless so designated by the President or unless submitted through the full process.
6. The Office of Policy, Compliance and Governance or the Provost Office will post the draft policy on the University policy website for a 30-day public comment period. This does not apply when the Faculty Senate is the policy originator unless so designated by the President or unless submitted through the full process.

### University Non-Academic Policies (not originated by Faculty Senate)

7. The Administrative Council reviews University Non-Academic policy drafts and determines if further drafting or stakeholder feedback is necessary, or makes a recommendation to the President. The Administrative Council may reconvene the Drafting Team to incorporate feedback from stakeholders or from the 30-day public comment period.

When Faculty Senate is the Policy Originator of a University Non-Academic Policy proposal, the Impact Statement and Policy Draft may be submitted to the President.

### University Academic Policies

7. (a) The Council on Academic Affairs reviews policy drafts that affect curriculum, academic programs, or academic requirements for students and determines if further drafting or stakeholder feedback is necessary, or makes a recommendation to the Faculty Senate. The CAA may reconvene the Drafting Team to incorporate feedback from stakeholders or from the 30-day public comment period.

and/or

- (b) The Faculty Senate reviews policy drafts that affect academics, including admissions, curriculum, instruction, and criteria for granting degrees; faculty welfare; student affairs in the areas where the proposed policy concerns the students' academic achievement; and other policies as referred to the Senate. The Senate determines if further drafting or stakeholder feedback is necessary, or makes a recommendation to the Provost Council or the President (under Part VII, Section VII, A4a, Faculty Handbook). The Faculty Senate may

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reconvene the Drafting Team to incorporate feedback from stakeholders or from the 30-day public comment period.

and/or

(c) The Provost Council reviews policy drafts that affect Academic Affairs or that are referred to the Council. The Provost Council determines if further drafting or stakeholder feedback is necessary, or makes a recommendation to the President. The Provost Council may reconvene the Drafting Team to incorporate feedback from stakeholders or from the 30-day public comment period.

8. For all policy proposals including those originated by Faculty Senate, the President may:
  - i. submit to Cabinet for advisement and/or to others identified in the policy process for further review, drafting, or stakeholder feedback;
  - ii. approve where BOR approval is not required;
  - iii. recommend approval and submit to the BOR for adoption;
  - iv. not approve and not recommend approval for submission to the BOR;
  - v. take other action as President deems appropriate. Upon adoption, the policy is promulgated to the University Community and posted on the University policy website.

See LINK for a diagram of this policy process.

### ESTABLISHING AN INTERIM POLICY

On occasions when an Interim Policy is necessary, a Drafting Team will be formed and the Interim Policy will be recommended for approval by the President. The chairs of the Faculty Senate, the Staff Council, and the Student Senate will be notified upon adoption.

An interim policy must carry an expiration date and will either be allowed to expire without additional action or will be replaced by a standard University Policy, which must be vetted through the process as stated within this policy.

### UPDATING OR REVISING A POLICY

1. On an as-needed basis, the Office of Policy, Compliance & Governance will make routine changes (such as position or unit titles, links, etc.). These changes will not substantively affect the policy. The Office of Policy, Compliance & Governance will note the date of such changes (as Updated) on the first page of the policy.
2. Editorial changes that do not substantive affect the policy may be suggested to either the Office of Policy, Governance and Compliance or to the Special Assist to the Provost for Academics. Such changes will be made to the policy and updated on the university policy website.
3. Procedures for substantive revisions to an existing policy are the same as for reviewing and approving a policy (see above).

### 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 Office of Policy, Compliance & Governance 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 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 (in writing) of the question or conflict to the Interpreting Authority designated in that policy.

The Interpreting Authority will review the case 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 deemed no longer relevant or necessary after undergoing the appropriate review process (see Reviewing and Approving, above), then a policy will be repealed

### ARCHIVING A POLICY

If a policy is updated, revised, superseded, or repealed, the Office of Policy, Compliance & Governance will archive the older version of the policy. These archived policies will be made available upon request.

## Definitions

<b>30 Day Public Comment Period</b>	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.
<b>Academic University Policy</b>	University policies that pertain to the academic mission and issues of the University.
<b>Administrative Council</b>	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 University (non-academic) policy drafts and make recommendations to the President.
<b>Approval Authority</b>	The entity holding final authority to approve a particular policy. For University policies, the approval authority is the Board of Regents or the President.

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<b>Board of Regents</b>	The legal and active policy making body of the University.
<b>Chapter</b>	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.
<b>Council on Academic Affairs</b>	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 Council reviews and recommends policies that affect curriculum, academic programs, or academic requirements for students.
<b>Drafting Team</b>	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..
<b>Departmental Policy</b>	A policy that pertains only to the internal procedures of a given department. Departmental policies are not subject to this policy. However, departmental policies must be consistent with University policies.
<b>Effective Date</b>	The date the University policy is approved by the Board of Regents or University President unless otherwise specified.
<b>Faculty Senate</b>	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 policy, the Faculty Senate reviews and recommends policies that affect academics, including admissions, curriculum, instruction, and criteria for granting degrees; faculty welfare; student affairs in the areas where the proposed policy concerns the students' academic achievement; and other policies as referred to the Senate.
<b>Impact Statement</b>	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.
<b>Interim Policy</b>	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 or will be replaced by a standard University Policy.
<b>Interpreting Authority</b>	The authority to interpret the intent of the policy when questions or conflicts arise concerning its application, compliance, or scope.
<b>Non-Academic University Policy</b>	University policies that pertain to matters not considered academic.
<b>Policy Originator</b>	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 member of the campus community.
<b>Policy Vetting and Approval Process</b>	The formal process by which the University develops, recommends, and approves University policies. (See link.)
<b>Policy Website</b>	A University website dedicated to housing University policies and all related information.
<b>President's Cabinet</b>	<p>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.</p> <p>As it pertains to this policy, the Cabinet functions as a senior level policy advisory body to the President.</p>
<b>Provost Council</b>	The Provost's Council is the major advisory body to the Provost for the development and review of policies and procedures in the area of academic affairs.
<b>Guideline</b>	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.

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<b>Regulation</b>	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.
<b>Responsible Executive</b>	The University executive under whose jurisdiction a University policy falls. Depending on the scope, a policy may have more than one responsible executive.
<b>Responsible Office(s)</b>	University office(s) designated with the responsibility of administering a policy, communicating with and training the university community its requirements, and executing its timely review and updating.
<b>Shared Governance</b>	As it relates to this policy, a joint effort of the university community for the development of University policies.
<b>Section</b>	The designation for University policy that provides the name of the individual policy.
<b>Stakeholder</b>	Any individual or group who might be impacted by or might have knowledge related to a particular policy.
<b>Template</b>	The official format for all University policies. See Related Links for a copy of the template.
<b>Volume</b>	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.).
<b>University</b>	Eastern Kentucky University
<b>University Policy</b>	A University policy includes the following characteristics: <ul style="list-style-type: none"><li>• Assists the University in achieving its mission through the promotion of operational efficiency</li><li>• Applies broadly across the University</li><li>• Complies with federal, state, and local laws as well as accrediting bodies</li><li>• Mandates actions or limitations</li><li>• Ensures responsibility and accountability</li><li>• Requires approval by the President and/or the Board of Regents for substantive changes or implementation</li><li>• Reflects University values</li></ul>
<b>University Policy Document</b>	All official policy documents have the following characteristics: <ul style="list-style-type: none"><li>• Are reviewed and approved by the appropriate process</li><li>• Are under the authority of a university executive to execute and interpret</li><li>• Are in a standard format (template)</li><li>• Contain on the first page the university seal</li><li>• Include procedures for compliance</li><li>• Include a review and approval history</li><li>• Are catalogued and numbered in the University Policy Library on the University policy website</li></ul>

## Responsibilities

### Administrative Council

- Review and provide feedback to the Non-Academic University Policy Drafting Team and provide recommendations to President's Cabinet.
- Identify additional stakeholders as needed and seek input.

### Associate Provost

- Review Impact Statements and provide feedback to the policy originator(s).
- Determine the appropriate process path (academic or non-academic). Refer to 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

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<b>Board of Regents</b>	<ul style="list-style-type: none"><li>• Review and approve University policies.</li></ul>
<b>Council on Academic Affairs</b>	<ul style="list-style-type: none"><li>• Review policies that affect curriculum, academic programs, or academic requirements for students.</li><li>• Identify additional stakeholders as needed and seek input.</li><li>• Make recommendations to Faculty Senate and/or Provost Council regarding such policies</li><li>• Recommend appropriate Catalog language as necessary</li></ul>
<b>Drafting Team</b>	<ul style="list-style-type: none"><li>• Work with the policy originator to draft a new policy or make revisions to an existing policy.</li><li>• Use the template to create a draft based on the PAC's feedback.</li><li>• Submit policy draft, as instructed, to the appropriate group(s).</li><li>• Edit policy draft based on input from review groups, stakeholders, and the 7-day public comment period.</li></ul>
<b>Faculty Senate</b>	<ul style="list-style-type: none"><li>• Review policies that affect curriculum, academic programs, or academic requirements for students, or faculty welfare.</li><li>• Review other policies referred to or originated by the Senate.</li><li>• Provide input as requested.</li><li>• Identify additional stakeholders as needed and seek input.</li><li>• Make resolutions of support or recommendations to the Provost Council, to the Council on Academic Affairs, or to the President regarding such policies.</li></ul>
<b>Interpreting Authority</b>	<ul style="list-style-type: none"><li>• Make sound judgments on the intent of the policy when questions or conflicts arise concerning its application, compliance, or scope.</li><li>• Review precedents, if any, to ensure consistent interpretation.</li><li>• Render an interpretation when called upon to do so and communicate the decision to the appropriate parties.</li><li>• Document all interpretation decisions.</li></ul>
<b>Office of Policy, Compliance, and Governance—Policy Compliance Analyst</b>	<ul style="list-style-type: none"><li>• Facilitate the development and processing of non-academic policies.</li><li>• Serve on non-academic university Policy Drafting Teams as needed.</li><li>• Ensure that policy is disseminated to the University Community.</li><li>• Ensure that the University community is trained concerning policy development and compliance matters.</li><li>• Maintain website with a listing of all University policies and the tools for the development of policies.</li><li>• Archive policies that have been revised, suspended, or superseded.</li><li>• Identifies need for policy development or revision as needed</li></ul>
<b>Policy, Compliance, and Governance Executive Director</b>	<ul style="list-style-type: none"><li>• Review Impact Statements and provide feedback to the policy originator(s).</li><li>• Determine the appropriate process path (academic or non-academic). Refer to Associate Provost if an academic university policy.</li><li>• Identify stakeholders and provide a list to the appropriate review group(s).</li></ul>
<b>Policy Originators(s)</b>	<ul style="list-style-type: none"><li>• When Faculty Senate is the Policy Originator, draft Impact Statement may be submitted to the Associate Provost or to the President</li><li>• All other Policy Originators, complete the Impact Statement and submit to the Office of Policy Compliance and Governance or to the Associate Provost to begin the policy process.</li><li>• Consult key stakeholders during the development process, and considers all suggestions.</li></ul>
<b>President's Cabinet</b>	<ul style="list-style-type: none"><li>• As it pertains to this policy, recommends or advises President on policy matters.</li></ul>
<b>President</b>	<ul style="list-style-type: none"><li>• Review and approve policies not required to be submitted to the Board of Regents.</li><li>• Review and submit policies to the Board of Regents for approval.</li></ul>
<b>Provost</b>	<ul style="list-style-type: none"><li>• Recommend Academic Affairs policies to the President.</li><li>• Participate in policy recommendations as a member of the President's cabinet.</li></ul>

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### 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 substance of policy documents.
- 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 jurisdiction.

### 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 Team as needed.
- 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.

### Stakeholder

- Assist with drafting and formulation of policies.

## 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 Unit Head for Policy, Compliance & Governance, if so delegated
- Provost and Vice President for Academic Affairs, if so delegated
- Vice President or other Direct Report 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

Process Diagram

## Policy Adoption Review and Approval

Date  
November 10, 2008

President Whitlock

Action  
Adopted interim policy