Policy #	GU001.5
Policy Type:	University
Responsible Executive:	President
Responsible Office:	Office of the President
Originally Issued:	August 20, 2016
Latest Revision:	December 16, 2019
Effective Date:	December 16, 2019

POLICY ON POLICIES

I.   Policy Statement

The University of Louisiana at Monroe's Policy on Policies governs the process for the development, adoption, and management of University Policies. University Policies adopted in accordance with the Policy Procedures outlined herein will be retained by the University Policy Coordinator and posted on the ULM Policy and Procedures Website: https://webservices.ulm.edu/policies/index.php.

II.   Purpose of Policy

Policies connect the University's mission to individual conduct, institutionalize expectations, support compliance with laws and regulations, mitigate institutional risk, and enhance productivity and efficiency in University operations. The purpose of this Policy is to ensure effective communication of University Policies and support ease of use and identification of approved University Policies.

This Policy is designed to provide a uniform University Policy format, ensure a consistent review, option, amendment and repeal process, and provide for dissemination and management of University Policies.

Individuals engaged in the development and maintenance of University Policy shall follow the Policy Procedures outlined herein for the adoption and approval of new University Policies and the amendment of existing University Policies.

III.   Applicability

This Policy is applicable to all faculty, administrators, staff, students, individuals affiliated with the University by contract (including non-employees, such as vendors and independent contractors), and visitors.

IV.   Definitions

Executive Council: the leadership and advisory team composed of the: University President, Vice President for Academic Affairs, Associate Vice President for Academic Affairs, Vice President for Student Affairs, Vice President for Business Affairs, Vice President for Information Services & Student Success, Legal and Compliance Counsel, Executive Assistant to the President for External Affairs and Community Outreach and Athletic Director.

Functional Area: institutional categories by which University Policies are organized. (See Appendix B).

Interim University Policy: a temporary University Policy adopted upon the signature of the President or the President's designee.

Official University Policy Website: a website designated for the posting of University Policies in the official and current version. The policy documents appearing on the Official University Policy Website are the enforceable versions of University Policies and are controlling authority over other versions of policy published elsewhere.

Policy Number: the number assigned to a University Policy by the Responsible Office. All University Policies shall be identified by a number of the form **DD.XYZ.V**, where:

DD	represents the University's two letter functional area designation. Functional area designations are listed in Appendix B.
XYZ	represents numbers chosen by the Responsible Officer
V	represents a version number that is incremented with each revision, rolling over, such that the version after 9 is 10

Policy Procedures: step-by-step detailed rules or specific actions that provide for orderly implementation of established policies and are more detailed than a policy statement.

Responsible Executive: the Division Head in charge of the Administrative Unit and Responsible Office that creates, implements and is responsible for adoption, revision and management of a University Policy which falls under his or her jurisdiction. Responsible Executive designations and corresponding functional areas are outlined in Appendix B.

Responsible Office: under the direction of the Responsible Executive, the Responsible Office will develop and administer a particular University Policy and will be accountable for the accuracy of its subject matter, its enforcement, management, and timely updating.

Responsible Officer: the individual working under the direction of the Responsible Executive responsible for developing, coordinating, and managing the University Policy, including amending or revising the University Policy if there is a change in law/regulations or business process.

System Policy: the policies enacted by the University of Louisiana System Board of Supervisors as interpretations of the rules and regulations governing the University of Louisiana System including the University of Louisiana at Monroe and which are referred to as "Policy and Procedures Memoranda (PPM)."

Unit Policy: a policy adopted by an academic or administrative unit to address specific subject matters that are limited in scope to a particular unit's operational functions. A unit policy shall not impact campus-wide operations. A Unit Policy must not conflict with University Policy.

University Policy: a policy with broad application throughout the University which enhances the University's mission, promotes operational efficiencies, reduces institutional risk, helps to ensure coordinated compliance with applicable laws and regulations, and is approved in accordance with the Policy Procedures herein. University Policies do not form a part of any employee's contract or appointment with the University.

University Policy Coordinator: the individual in the Office of the President responsible for review of the proposed University Policy to ensure all sections are complete and in accordance with the Policy on Policies.

The University Policy Coordinator is responsible for the maintenance of an online repository of all official University Policies – the University of Louisiana Monroe (ULM) Policy and Procedures website. The ULM Policy and Procedures website can be accessed at the following link: https://webservices.ulm.edu/policies/index.php

V.   Policy Procedure

University Policy shall be adopted, maintained and amended according to the following procedures:

1. **Analysis, Approval to Proceed, and Drafting of University Policies**

    a. The Responsible Officer for implementing and administering the proposed University Policy shall be responsible for analyzing the issues and drafting the initial proposed University Policy using the Policy Template, which is attached as Appendix A. The Policy Development Procedures, attached as Appendix C, and the Policy Development Checklist, attached as Appendix D are also tools for the Responsible Officer to use when developing a University Policy.

    b. To ensure consistency, a Policy Template has been created. Use of the Policy Template facilitates the adoption of clear, concise policies and procedures at all levels of the University. All University Policies should be in the standard Policy Template and all sections shall be included. If a section does not contain any information or is not applicable, the drafter should put "N/A" under the section heading. Policy numbers will be assigned by the Responsible Officer. Please refer to Appendix A for the official Policy Template.

    Note: Some existing University Policies predate this Policy and therefore are not in the Policy Template format. In time, these University Policies should be reviewed and converted to the Policy Template format.

2. **Development and Review for Submission of University Policies**

    a. The Responsible Officer shall route the proposed University Policy through the Responsible Office/s and relevant Functional Areas encouraging feedback from stakeholders, decision-makers, and constituencies involved in the University Policy issue. The Responsible Officer will consult with the SACSCOC (Southern Association of College and Schools Commission on Colleges) Liaison to determine if there are any needed accreditation references or required actions.

    b. After considering opinions from the constituencies and making any revisions, the Responsible Officer will route the proposed University Policy to the University Policy Coordinator for review and preparation for submission to the Responsible Executive.

    c. Upon receipt of the proposed policy from the University Policy Coordinator, the Responsible Officer shall route the proposed University Policy and any supporting policy analysis, to the Responsible Executive, who considers one of the two following actions regarding the proposed University Policy:

        i.   Notify the Responsible Officer and the University Policy Coordinator that the proposed University Policy is approved for submission and does not require further editing; or

        ii. Route the proposed University Policy back to the Responsible Officer for further analysis and/or redrafting.

d. Once the proposed University Policy draft has been approved by the Responsible Executive, he/she shall consult with the President to determine if the proposed policy requires Executive Council review or if only review and approval by the President is required.

3. **Submission for Final Approval of University Policies**

a. The President reviews and approves the policy or directs the Responsible Executive to send the policy to the Executive Council for review and recommendation for approval.

b. If required, the members of the Executive Council will review the proposed policy indicating suggested revisions and whether the member recommends the policy for approval by the President.

c. Should the Proposed Policy require any revision, the Responsible Executive will ensure the required changes are completed.

d. The Responsible Executive will forward the recommended policy to the University President for approval.

e. A proposed University Policy will become an adopted University Policy when it is approved by the University President and signed both by the University President and the recommending Responsible Executive.

4. **Posting of University Policy and Informing the University community**

a. The Responsible Executive will provide a signed copy of the University Policy to the University Policy Coordinator for posting on the Official University Policy Website. The Responsible Executive will keep a copy of the University Policy and shall be responsible for maintenance and periodic review of the University Policy.

b. The Responsible Executive sends an email to the University community informing them of the new policy. The email is to include relevant information about the policy: the policy it is replacing, or if it is a new policy, the date it becomes effective and to whom the policy applies, as well as the link to the policy on the ULM Policy Website.

5. **Adoption of Interim University Policies**

a. When conditions and time constraints do not allow for the procedures described herein, the President or his designee may implement an Interim University Policy by signing a policy document and submitting one copy of the Interim University Policy to the University Policy Coordinator for posting to the Official University Policy Website. The Responsible Executive shall be responsible for implementation and maintenance of the Interim University Policy.

b. Interim University Policies should in general remain in force no longer than 18 months.

6. **Revision/Amendment of University Policies**

a. Recommendations for revisions/amendments to existing University Policies should be made to the Responsible Office for the existing University Policy.

Substantive revisions/amendments should be approved using the same process for adoption of new University Policies described above. The following minor "editorial" corrections may be made by the Responsible Office without further approval: corrections to reflect the new name of a department or new name or title of an individual; changes to e-mail or website addresses; clarifications of grammar or syntax; and typographical errors.

The Responsible Office may revise documents located in the Appendices, References, and Related Materials Section of a University Policy without further approval if such revisions are non-substantive and they do not modify the intent, meaning or focus of the policy.

b. Policies often contain links to online resources. Sometimes the links can become unusable due to website address changes and other factors. The Responsible Office should review the links periodically to ensure that they are functioning. When modifications to policies are limited to updating links, the policy is not required to be routed through the formal policy approval process.

c. The date of the most recent revision should be noted at the top of the University Policy, underneath the University Policy's original approval date. All substantive revisions and "clerical" revisions as described in Section 5(a) above should be annotated in the Revision History section at the end of the University Policy. These annotations should include the dates the substantive revisions were approved, or clerical revisions made, as well as a brief summary of the changes within the Policy.

7. **Review of University Policies**

Every University Policy shall be reviewed a minimum of every five years. Each Responsible Executive shall ensure that their University Policies are reviewed no less than every five years and sooner if there is a change in the law or other circumstances that necessitate review or potential revision.

8. **Posting of University Policies**

a. All departmental or unit web pages shall include a link to the Official University Policy Website instead of posting their own versions of approved University Policies.

b. Printed versions of University Policies may be included in the student handbook, faculty handbook, staff handbooks, announcements and other publications, but such versions must include a disclaimer that the Official University Policy Website should be consulted for the official University Policy.

9. **Unit Policy and Procedure**
A unit policy is developed by an academic or administrative unit to address specific subject matter limited in scope to the unit's operational functions. A unit policy shall not impact campus-wide operations.

a. Individual academic or administrative units may choose to use the Policy Template for consistency and completeness in drafting, revising and withdrawing Unit Policy.

b. Units are to consult the Policy Coordinator to determine if a policy is a Unit Policy or University Policy.

c. In the event of any conflict between a University Policy and a Unit Policy, the University Policy will supersede the Unit Policy.

VI.   Enforcement

N/A

VII.   Policy Management

Upon adoption, the University President shall be the Responsible Executive for the management of this Policy. The University Policy Coordinator shall be the Responsible Officer in charge of maintaining this original Policy document in an official repository, disseminating this Policy, and posting this Policy on the Official University Policy Website.

VIII.   Exclusions

University Policies adopted prior to the effective date of this Policy shall remain official University Policies and will continue to have full force and effect until they are revised as per the note in V.1.

IX.   Effective Date

This Policy shall apply to University Policies proposed, developed, revised, adopted and issued after the effective date of this Policy. The effective date of this Policy is the date it is adopted and signed by the President.

X.   Adoption

This policy is hereby adopted on December 16, 2019.

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Dr. Nick J. Bruno, President

XI.   Appendices, References and Related Materials

Policy Template - https://webservices.ulm.edu/policies/download-policy/499
Policy Functional Area and Responsible Executive List –
https://webservices.ulm.edu/policies/download-policy/503
Policy Development Procedures - https://webservices.ulm.edu/policies/download-policy/497
Policy Development Checklist - https://webservices.ulm.edu/policies/download-policy/501
Policy Review and Approval Routing Form - https://webservices.ulm.edu/policies/download-policy/765

XII. Revision History

Original adoption date: August 30, 2016.

Revised February 13, 2017: Revisions include increasing the functional fields from 13 to 16 and changing the name of Appendix B to add Functional Field in the title of the document.

Revised August 22, 2017: Revisions include: revising the definition of Executive Council to include additional members, increasing the functional fields from 16 to 21, reordering the processes for the development and review for submission of policies and adding a section that outlines how the University community will be notified of the policy.

Revised February 26, 2019: Revision includes: corrections to the membership of the Executive Council, revising the functional area definition, changing the length of time an interim policy can remain in effect, revising the policy approval process to allow the President to determine which policies would be required to go to the Executive Council for review and recommendation for approval. Revisions also included changes to the Unit Policy section allowing units the option of using the Policy Template when developing Unit Policy.

Revised December 16, 2019: Revisions include updating the definition of Executive Council to include all the current member titles and revising the policy approval process to include both the signatures of the University President and the recommending Responsible Executive.