POLICY INFORMATION

Policy Sponsor: Celina Ramirez
Vice President for University Initiatives

Responsible Unit: Compliance Office

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PURPOSE AND SUMMARY

1. The purpose of this Policy is to ensure that University Policies are thoroughly reviewed, formally approved, implemented, maintained, publicized, and made broadly available to the University Community via the University Policies Portal.

2. A standardized process for University Policy development promotes shared governance, transparency, institutional efficiency and effectiveness, mitigates risk, and enhances compliance and accountability.

SCOPE

This Policy applies to all members of the University Community.

DEFINITIONS

Academic Policy is a Policy that applies to courses, grading, instruction, curriculum, academic program requirements, minors, majors, certificates, degrees, academic credit, transfer credits, credit equivalencies, general education, and academic progress. Academic Policies should follow the Academic Policies Approval Process. The University Policy-Making Policy does not apply to or govern Academic Policies.
Policy is defined as a statement that mandates or constrains actions and may affect the rights or duties of the University Community or general public. Policies are often intended to ensure compliance with applicable laws, regulations, and/or Arizona Board of Regents (ABOR) Policies, reduce institutional risk, or promote operational efficiencies. Policies are also enacted to promote and safeguard the University mission and core values. This term includes administrative policies, regulations, codes of conduct, and “Rules” as that term is defined by Arizona Board of Regents (ABOR) Policy 1-201(B)(6). A Policy must meet all of the following characteristics:

1. a governing principle that mandates or constrains actions;
2. intended to ensure compliance with applicable laws, regulations, and/or ABOR Policies;
3. enhances the University’s mission, promotes operational efficiencies, or reduces institutional risk;
4. changes infrequently and sets a course for the foreseeable future; and directly and substantially affects the procedural or substantive rights or duties of any segment of the University population or general public.

Responsible Unit is the Unit that initiates a request for a new, or to revise or repeal a University Policy, consults with stakeholders, interprets and administers University Policies under its authority, oversees compliance of the University Policy, and regularly reviews and makes recommendations for updating, revising, or repealing its University Policies.

Unit means any University college, department, program, or other operating unit.

Unit Policy is a Policy that applies only within a particular Unit or only to the operations or transactions within a particular Unit and that are overseen by a particular Unit. The University Policy-Making Policy does not apply to or govern Unit Policies.

University Community means any of the following individuals: (a) University student; (b) University employee; or (c) third party, including, but not limited to contractors, vendors, volunteers, and designated campus colleagues.

University Policy is a Policy with broad application across the University that is approved by the President.
1. Any effort to create a new University Policy or to substantively edit, revise, or completely replace any existing University Policy must follow shared governance principles and the procedures set out in the Procedure for Creating and Revising University Policies.

1.2. Revisions required by law or regulation or Non-substantive or clerical edits that do not materially change the intent of a University Policy (e.g., when the name of an office correcting names, titles, hyperlinks, typographical or grammatical errors, etc., changes) may be made by following must follow the procedures set out in the Procedure for Requesting Edits to University Policies that are Non-substantive or Required Edits.

3. Any effort to repeal an existing University Policy must follow the procedures set out in the Procedure for Repealing Existing University Policies. The President, or the President’s designee, may bypass this process by issuing a notice of repeal if the President, or the President’s designee, determines that there is a compelling University interest to do so. Such notice will be posted on the University Policies website for 30 calendar days.

2.4. Any effort to request a new interim University Policy, or change an existing University Policy to interim status, must follow the procedures set out in the Procedure for Requesting an Interim University Policy. The University President, or the President’s designee, is authorized to adopt a Policy on an interim basis when the President or designee determines that there is a compelling University interest to do so. Such Policies will be given interim status for up to 18 months. The President or designee may once renew an interim Policy for an equal period of time as necessary.

5. A list of all University Policies enacted, substantively or non-substantively revised, renewed, or repealed in the last year will be noted on the University Policies Portal website.
6. Policies must be consistent with, and cannot be less restrictive than, the laws, regulations or Policies that are higher in the University Policy hierarchy, which is as follows:

(a) Federal or State laws or regulations  
(b) ABOR Policies  
(c) University or Academic Policies  
(d) Unit Policies

3.7. University Policies are systematically reviewed by the Responsible Unit and the Policy sponsor to determine whether (a) the University Policy is still needed or should be repealed; (b) revisions are needed; and (c) there are gaps that indicate where a new University Policy should be developed.

COMPLIANCE AND RESPONSIBILITIES

1. All members of the University Community who wish to initiate a new University Policy, or revise or repeal a current University Policy are responsible for knowing and complying with this Policy and the associated procedures to this Policy listed in the below Related Information section.

2. The Responsible Unit must communicate to the Compliance Office any proposed revisions to a current University Policy, the addition of a new University Policy, or to repeal an existing University Policy.

3. The Responsible Unit is responsible for conducting ongoing review of their University Policies on a regular basis, at a minimum every three (3) years, to ensure accuracy and relevancy.

4. The Compliance Office is responsible for compliance with this Policy.

FREQUENTLY ASKED QUESTIONS*

What is the difference between a policy and a procedure?

A policy mandates what one must do or what one is prohibited from doing.

A procedure consists of operational processes necessary to implement the policy or carry out specific functions, provides details of who performs specific steps, and when and how the steps should be performed.
**SOURCES**

Arizona Board of Regents (ABOR) Policy 1-201

Arizona Board of Regents (ABOR) Policy 1-203

**RELATED INFORMATION**

- Form Notice of Proposed Policy Creation or Revision
- Policy Style Guide
- University Policy Impact and Tracking Statement
- Procedure for Creating and Revising University Policies
- Procedure for Repealing Existing University Policies
- Procedure for Requesting Edits to University Policy That Are Non-substantive or Legally Required
- Procedure for Requesting an Interim University Policy
- University Policy Impact and Tracking Statement
- University Policy Repeal and Tracking Statement
- University Policies Portal

**REVISION HISTORY**

08/2022: this revision includes:

1. Change in policy status from Interim to Permanent.
2. Purpose and Summary, Compliance and Responsibilities, FAQs, and Sources sections added.
3. Revised the Policy defined term; added new defined terms: Academic Policy, Responsible Unit, Unit, Unit Policy, University Community and University Policy.
4. Revised Policy section; added new paragraphs (4, 6, and 7).
5. Decoupled procedures from Policy.

06/07/2016: Interim Policy approved.

* Please note the Frequently Asked Questions, Sources, Related Information, and Revision History sections are provided solely for the convenience of users and are not part of the official University policy.
PROCEDURE FOR CREATING AND REVISING UNIVERSITY POLICIES

These procedures apply to University Policies, which have broad application across the University and meet the requirements listed in the Interim Policy on University Policy Making.

These procedures are not required for:

- Non-substantive or clerical edits to policies or changes that are required by Arizona Board of Regents (ABOR) policy or state or federal law. These changes must be made by following the Procedure for Requesting Edits to University Policy That Are Non-Substantive or Legally Required.
- Unit Policies, which only apply within a particular unit or to operations or transactions that are overseen by a particular unit. Unit Policies may not conflict with University or ABOR policies, state or federal laws, or other regulations. Units are strongly encouraged to consult with the Office of the General Counsel (OGC) if there is any uncertainty about potential conflicts. Units should also develop a process to receive input from relevant stakeholders and to obtain approval from College, Division, or other leadership before finalizing changes.
- Academic policies, which should follow the Academic Policies Approval Process.
- Procedures, which describe the steps taken to implement or meet the requirements of a policy.

1. Secure a Policy Sponsor. When an individual identifies a need for a new or revised policy, the individual secures a Policy Sponsor. A Policy Sponsor may be an Administrator or compliance professional who oversees the Unit responsible for the policy. Policy Sponsors may delegate the steps of these procedures, but are ultimately responsible for moving proposed policies or revisions through these procedures.

2. Develop and Draft Policy Language. Policy Sponsors are encouraged to involve relevant stakeholders and obtain support from unit or University leadership (if applicable) early in the process. Stakeholders may include administrators, University units, shared governance organizations, or community groups. Policy Sponsors should also consult with OGC at this initial stage and throughout these steps to ensure the proposed policy or revisions comport with University and ABOR
policies, state and federal laws, and other regulations. The Compliance Office is also available as a resource for policy development and navigating these procedures. Policy Sponsors must use the University’s **Policy Template** to create the draft policy or revision (including for interim policies). For a revised policy, Policy Sponsors must create a redline version of the current policy to highlight the proposed changes. In addition, Policy Sponsors must complete a **University Policy Impact and Tracking Statement**.

3. **Request Senior Leadership Team Review.** Before broader community feedback is sought, the Policy must be reviewed by the Senior Leadership Team (SLT). The Policy Sponsor should submit the **Policy Template** (including a redline version of the current policy, if applicable) and the **Policy Impact and Tracking Statement** to the Compliance Office, which will coordinate review by the SLT. The SLT will determine if the policy or revision will move forward in this process or if additional revisions are necessary. Alternatively, a member of the SLT may choose to coordinate the SLT review independently.

4. **Gather Stakeholder Feedback.** Feedback is collected for a period of no fewer than 30 calendar days from the initial date of publication. The Policy Sponsor solicits feedback from the potential stakeholders and the University community by:
   a. Forwarding the Policy Impact and Tracking Statement and the draft or revised policy to the University Policies Website Coordinator, who will publish the proposed or revised policy in the “Policies Under Consideration” section of the University Policies website. The draft or revised policy will remain posted until approved by the President or retracted by the Policy Sponsor;
   b. Inviting comments via **UAnnounce** and any other relevant institutional communication channels to notify potential University stakeholders, using the **Form Notice of Proposed Policy Creation or Revision (Internal)**.

5. **Consider Revisions Based on Feedback.** The Policy Sponsor collects feedback on the proposed or revised policy and discusses it with OGC. If OGC determines that significant substantive changes to the policy language are warranted, the revised policy language must be re-published per Step 4, above.

6. **Obtain SLT Endorsement:** The Policy Sponsor submits the final draft or revised policy and updated Policy Impact and Tracking Statement to the Compliance Office, which coordinates with the SLT for review and endorsement. Alternatively, a member of the SLT may coordinate the SLT review independently.

7. **Obtain the President's Approval:** If the SLT endorses the policy, the Senior Vice President for Legal Affairs and General Counsel presents the final policy to the President for review, approval, and signature. If the President approves the final policy, OGC informs the Policy Sponsor of the approved policy.
8. **Post the New or Revised Policy.** Upon receipt of the signed policy, the Compliance Office forwards the signed policy and the Policy Impact and Tracking Statement to the Policies Website Coordinator. The Policies Website Coordinator:
   a. Posts the new or revised policy on the University Policies Website. Notice of the new or revised policy will be posted on the University Policies Website for 30 calendar days;
   b. Publishes the approved policy in UAnnounce and through other institutional communication channels, as requested;
   c. Forwards the signed policy and the Policy Impact and Tracking Statement to Human Resources to be maintained as a record of the policy creation or revision; and
   d. Adds the new or revised policy to the list of policies updated in the last year.

9. **Conduct Ongoing Policy Review.** All policies should be reviewed on a regular basis by the Policy Sponsor or designee to ensure accuracy and relevancy, at minimum, every 5 years.

   For information about this procedure, contact:

   Compliance Office  
   (520) 621-4192  
   **Compliance@email.arizona.edu**

   Kirsteen Anderson, Policies Website Coordinator  
   (520) 621-0466  
   **keanderson@email.arizona.edu**

   Effective Date: February 15, 2019

**PROCEDURE FOR REPEALING EXISTING UNIVERSITY POLICIES**

1. The Policy Sponsor or designee requesting the repeal of a University policy must complete the University Policy Repeal and Tracking Statement and submit it to the University Policies Website Coordinator.

2. The Policies Website Coordinator sends the University Policy Repeal and Tracking Statement to the Office of the General Counsel (OGC) and the Compliance Office.

3. The OGC and the Compliance Office review the Policy Repeal and Tracking Statement, consult with stakeholders as appropriate (including the Policy Sponsor), and assess whether the repeal is in the University’s best interest; for example, if the policy is no longer relevant or does not meet the definition of a policy.
4. If the OGC and the Compliance Office recommend that the policy be repealed because it is in the University’s best interest, the General Counsel presents the policy proposed to be repealed and the University Policy Repeal Impact and Tracking Statement to the President for review and approval.

5. If approved, the Compliance Office forwards the signed repeal and University Policy Repeal Impact and Tracking Statement to the University Policies Website Coordinator, who informs the Policy Sponsor.

6. Upon receipt of the signed repeal, the Policies Website Coordinator archives the policy on the University Policies Website and removes it from active view. Notice of the repeal will be posted on the University Policies Website for 30 calendar days.

7. The Policies Website Coordinator will add the repealed policy to the list of policies updated in the last year.