

**3344-2-01            Formulation and issuance of policies.**

(A) Policy statement

- (1) All university policies fall within in a greater hierarchy of laws, statutes and regulations. The Ohio legislature authorizes the Cleveland state university board of trustees to govern the university. See sections 3344.01 to 3344.03 of the Revised Code. The president, as chief executive officer of the university, is charged with managing and directing the day-to-day operation of the university, leading in developing university policies and ensuring the application of the rules and regulations of the university. ~~Section 3.1 of article III of the bylaws of the board of trustees~~See rule 3344-1-03 of the Administrative Code.
- (2) Cleveland state university (CSU) requires all university policies to be promulgated in accordance with the standards and format set forth in this rule and as required by the legislative service commission (LSC.) Policies presented in the standard format will help CSU maintain accountability, consistency and provide the university community with a clear set of explanations and expectations.

(B) Definitions

- (1) ~~“University policies” are~~“University policy” is a guiding or governing principle, formally approved ~~established to provide guidance and assistance to the university community in the conduct of university affairs, operation and administration. This definition encompasses only university wide policies that have university-wide application, promote operational efficiencies, help ensure compliance with applicable laws and regulations, reduce institutional risk, and promote ethical standards and integrity, which are distinguishable from procedures for school or departmental policies, as well as from academic policies, which are policies that primarily affect the educational mission of the university and are promulgated by the provost. Academic policies fall outside the scope of~~

~~this rule.~~ A guideline or standard that governs a specific college, school, department, or other university unit is not subject to this policy. Only those a policies policy approved in accordance with this rulepolicy will have the force of official a university policy.

- (2) ~~“ProceduresUniversity procedure” areis a statements~~ statement that provide-provides for orderly implementation of a established policies university policy through specific, prescribed actions, and—areis more detailed than a polycstatement, identifies the applicable university policy, and does not require approval in accordance with this policy. University procedures must be consistent with and not conflict with university policies.
- (3) ~~“Responsible official” is the university official charged with the implementation, training and oversight of a particular policy that falls within the scope of the university official’s assigned responsibilities, as well as that rule’spolicy’s revision and approval, or in the case of a new policy, its development.~~
- (4) ~~“E-policy indexUniversity policies website” is the on-line index website where officialall university policies are maintained. It is located at~~ <http://library.csuohio.edu/policies/esu/>  
[https://www.csuohio.edu/compliance/university-policies-0.](https://www.csuohio.edu/compliance/university-policies-0)

(C) Policy approval process

- (1) New policies or changes to existing policies may be initiated by the president, the provost, ~~or by~~ any vice president, or in the case of faculty policies and bylaws, by the faculty senate. Recommendations for new or revised policies shall be proposed to the provost or the appropriate vice president by any member of the university community. Once the provost or a vice president approves a policy proposal, the provost or vice president will appoint a responsible official for the policy who will then forward the policy to the office of ~~compliance~~ general counsel.

- (2) The office of ~~compliance~~ general counsel shall review the policy for the following:
  - (a) Consistency in format and presentation;
  - (b) Conflicts between the proposed policy and other university policies;
  - (c) Consistency with laws or other external regulations germane to the policy;
  - (d) Consistency with the mission of Cleveland state university.
- (3) Once the office of ~~compliance~~ general counsel reviews the policy, it shall be returned to the provost or the appropriate vice president who has the responsibility for seeking approval for the policy from the president or the president's designee.
- (4) After approval by the president or the president's designee, the responsible official and the office of ~~compliance~~ general counsel shall be responsible for posting the proposed policy on the ~~e-policy index~~ university policies website for a thirty-day comment period. An email notification will be sent to university faculty, staff and, as applicable, students informing of the thirty-day comment period.
- (5) Following the thirty-day comment period, the policy may be revised and sent to the provost, president or designee, as appropriate, for final approval.
- (6) ~~If the policy requires approval by the board of trustees, the~~ The responsible official and the office of ~~compliance~~ general counsel shall prepare the policy for submission to the secretary of the board of trustees for board consideration. The policy becomes effective ~~ten calendar days~~ after board approval, ~~if required, or~~ and ten days after ~~the thirty day comment period has lapsed if board approval is not required~~ it is filed with the Ohio legislative service commission.

(7) The responsible official coordinates dissemination of the policy in cooperation with the office of ~~compliance~~ general counsel.

(D) Applicability

University policies are applicable to all members of the university, unless the specific policy states otherwise.

(E) Role of responsible official

The responsible official shall administer the policy. Each of the respective vice presidents and the provost shall assign a responsible official to all existing policies within their area of operations and to any newly generated policies. If no responsible official has been assigned, the provost or vice president for that area of operation shall be deemed to be the responsible official. The responsible official also ensures that the policy is submitted and published in the required format. See paragraph (F) of this ~~rule~~ policy.

(F) Policy format

The standard format set forth in this ~~guidance~~ policy shall be used for all university ~~wide~~ policies. The responsible official shall ensure that all policies are submitted and published according to this format. ~~Only those policies approved in accordance with this rule shall have the force of official university policy.~~ All proposed policies and revisions shall be submitted in the specific format required by the LSC, which is available at: <http://www.lsc.state.oh.us/rules/>. See the appendix of this ~~rule~~ policy for the required sections and formatting. The ~~compliance officer~~ office of general counsel shall assign the policy number.

(G) Conflicts

In the event of a conflict between a university-~~wide administrative~~ policy and a college, school or departmental administrative policy, standard, guideline, or procedure, the university-~~wide~~ policy shall supersede the college, school or departmental policy, standard,

~~guideline, or procedure unless the school or department demonstrates the need for the conflicting policy and the conflicting policy is approved by the compliance officer. Any Procedures college, school, or departmental standard, guideline, or procedure that conflict~~conflicts with a university policies policy areis void and unenforceable. University procedures must be reviewed and approved by the responsible official prior to adoption and posting to the e-policy index.

(H) Interim policies

The president, provost or a vice president may put an interim policy into place in situations where a university policy shall be established in a time period too short to permit the completion of the process delineated in this policy. ~~An interim policy will remain in force for up to three months from the date of issuance and then will expire and no longer have effect unless it becomes an official university policy according to this policy.~~ Interim policies are placed on the university policies website for the thirty-day comment period as "interim policy" with the notation that the university is operating under the interim policy. The interim policy then proceeds in accordance with paragraph (C) of this policy.

(I) Emergency policies

The president, provost or a vice president may implement an emergency policy in a situation that poses an immediate threat to the health, safety, or security of the university or campus community. Emergency policies are placed on the university policies website as "emergency policy" with the notation that the university is operating under the emergency policy for the duration of the emergency. Emergency policies do not proceed in accordance with paragraphs (C)(4) through (C)(6) of this policy. Emergency policies shall automatically expire at the end of the emergency.

~~(J)~~ (J) Posting of policies

All university-wide policies shall be posted on the ~~e-policy index~~ university policies website. Printed versions of the policy may be included in the handbooks, catalogues and other publications, but

~~shall include a notice that the e-policy index university policies website should be consulted for the latest version. Policies passed by the board of trustees and filed with the LSC shall be posted on both the board of trustee's website and the e-policy index.~~

(J)(K) Related University procedures, guidelines, processes

~~University Policies policies may be supplemented by school or departmental procedures, or guidelines, or processes that describe policy implementation practices. These supplemental procedures, guidelines, and processes will identify the applicable university policy and may be referenced in, and/or linked from the relevant policy to it on the website, as appropriate. University procedures, guidelines, and processes must be reviewed and approved by the responsible official prior to adoption and posting to the university policies website.~~

(L) Periodic review of policies and procedures

Each responsible official shall review all university policies for which it is responsible at regular intervals appropriate to the type and nature of the policy to determine whether a policy requires revision, replacement, or rescission due to a change in applicable law or business process. Such review should occur at least once every three years. If a responsible official deems it appropriate to rescind an existing policy or consolidate two or more policies, such changes should be discussed in advance with the office of general counsel. The responsible official must ensure that the policy and any related procedure, reflects current practices and is consistent with current legal requirements.

**Policy Name:** Formulation and issuance of policies.  
**Policy Number:** 3344-2-01  
**Board Approved:** 6/25/2012  
**Effective:** 6/23/2014  
**Replaces:** 3344-2-01  
**Prior effective dates:** 9/17/2012.  
**Responsible Official:** Office of General Counsel

## UNIVERSITY POLICY FILE FORMATTING INSTRUCTIONS

Before changes to the University policies become applicable to the campus, they must be approved by the University's Board of Trustees and filed electronically with the Ohio Legislative Service Commission (LSC.) To facilitate the LSC's review of policy changes and to assist the University community in identifying changes to the University policy, the University requires that all changes be formatted according to the LSC's guidelines prior to submission to the Board of Trustees.<sup>1</sup>

A full copy of the Legislative Service Commission Rule Drafting Manual, Fourth Edition, May 2006, is available in PDF format at [http://www.lsc.state.oh.us/rules/rdm06\\_06.pdf](http://www.lsc.state.oh.us/rules/rdm06_06.pdf). Individuals who have difficulty accessing the manual from the previous link will find it on the Register of Ohio page, located at <http://www.registerofohio.state.oh.us/>. However, for the convenience of the campus community, a brief summary of the most commonly used formatting requirements follows.

### **Page Formatting**

All policies should be typed in Word, using 12 point, Times New Roman font. Margins should be set at 1.5 inches for the top and bottom, as well as the left and right sides, of each page. No text should appear in

<sup>1</sup> The LSC uses the term "rules" instead of "policies," whereas, CSU uses the term "policy" to refer to a particular policy. For purposes of the University's policy filing requirements, these two terms are used synonymously with each other and should be used interchangeably.

bold face type. The only exceptions to this are the policy number and tagline on the first page, and the policy number, which should be repeated in the top left margin of all subsequent pages. Only new text may be underlined, and no text should appear in italics. No page number should appear on the first page of the policy, however, all subsequent pages should include the page number in the top right margin, on the same line as the policy number.

### **The Numbering System**

All Cleveland State University policies are numbered and begin with 3344. This number is the University's "agency number" and references the fact that the University was created by the Ohio legislature under Chapter 3344 of the Revised Code. Two numbers follow the "agency number." These indicate the "chapter" and the "rule" number. For new policies that do not yet have a chapter and rule number, the Office of Compliance will assign these numbers as appropriate and/or upon request.

### **Tag Line**

The tag line consists of the agency, chapter, and policy number, along with the policy title, and appears only on the first page. The title should be a word or phrase that clearly and concisely describes the policy's topic, and its capitalization should follow the policy filing capitalization standard (see below). The tagline always appears in boldface Times New Roman type, begins with a capital letter, and concludes with a period. For new policies or new portions of a tagline, the



new text should be underlined. Portions of a tagline that are being deleted should be so indicated by the use of a strike through. An example is included below.

New Rule:	<u>3344-4-01</u>	<u>Scope of regulations: director to provide management instructions.</u>
Amended Rule:	3344-4-01	Scope of regulations: director <del>to</del> <u>may</u> provide management instructions.
Adopted Rule:	3344-4-01	Scope of regulations: director may provide management instructions.

### Outline Format

All policies should be placed in outline format. Outline letters and numbers (also referred to here as paragraph labels) should always appear within parenthesis. The first paragraph to be lettered should always begin with (A). However, no paragraph should be labeled as (A) if it is not followed by a paragraph labeled as (B). Similarly, no paragraph should be labeled as (i) unless it is followed by a paragraph labeled as (ii). If a policy has an unlabeled introductory paragraph followed by two labeled paragraphs, the labeled paragraphs would be (A) and (B). If a policy has more than 26 paragraphs in the first, third, fifth, and seventh ranks should be labeled as (AA), (aa), (aa), and (AA). For an explanation of the rankings, see the illustration below.

## LETTERING AND NUMBERING OF PARAGRAPHS

Paragraphs of the:	Appear As:
First Rank	(A), (B), (C), etc.
Second Rank	(1), (2), (3), etc.

## LETTERING AND NUMBERING OF PARAGRAPHS

Third Rank	(a), (b), (c), etc.	
Fourth Rank	(i), (ii), (iii), etc.	
Fifth Rank	<i>(a), (b), (c), etc.</i>	(lower case italics)
Sixth Rank	<i>(i), (ii), (iii), etc.</i>	(lower case italics)
Seventh Rank	<i>(A), (B), (C), etc.</i>	(upper case italics)
Eighth Rank	<i>(1), (2), (3), etc.</i>	(italic numbers)

### **Format for Changes to Policies**

If the policy being proposed for approval is an entirely new policy, all the text should be underlined. However, if making changes to an existing policy, the changes should be identified as follows:

All text being removed from the policy entirely or being removed from that section of the policy should be indicated by use of a strike through.

All text added to the policy or moved to a new location in the

policy should be underlined. All new text that is replacing pre-existing text should follow the text marked as deleted. An illustration appears below.

EXAMPLE:

(E) It shall be unlawful for any person to buy or sell bullfrogs or green frogs taken from Ohio. However, bullfrogs or green frogs that have been shipped from outside Ohio that are accompanied by a bill of lading maybe bought and sold, persons permissions a permit issued under authority of section ~~4533.39~~1533.71 of the Revised Code may sell ~~native frogs~~ bullfrogs or green frogs taken from ponds ~~of~~ or lakes they own or lease as a wholly enclosed preserve.

Notes of explanation: Text is stricken in order to delete it. Text is inserted as it is to appear in the published version of the Administrative Code and is underlined to show that it is new text being inserted.

**Amending a Single Word in a Policy**

Always treat words in a policy as whole units. Do not edit one or two letters in a word. Instead, edit the entire word. For example, if changing the capitalization, spelling, or plural of a word, strike through the entire word and insert the new word. An illustration appears below.

in the ~~State~~state of Ohio

right: ~~paragraph~~ paragraphs

wrong: paragraphs\_

### **Amending the Policy Outline**

As with edits to the text of a policy, changes in the policy outline are noted by using a strike-through for deleted paragraph labels and underlining for new paragraph labels. Existing paragraph labels are edited so the deleted label appears first and the new label follows. See above illustration related to adding, deleting and replacing text for examples.

### **Rescinding a Policy**

If a policy is being eliminated entirely, if it is being renumbered, or if more than fifty percent of the policy is being changed, the existing policy must be rescinded. To indicate that a policy is being rescinded, print the words “**TO BE RESCINDED**” in bold and all capital letters in the header at the top of the page.

### **The Fifty Percent Guideline or When to Rescind a Policy and File as New**

If more than fifty percent of a policy is being amended or changed, the existing policy should be rescinded and the policy should be re-filed, using the same number, as a new policy with the textual revisions. This guideline is intended to make policy changes easier to read.

### **Grammar and Style for Policy Drafting**

Policies should be drafted as gender neutral, thus avoiding the use

of personal pronouns. For the sake of clarity, all policies should be written in the present tense and active voice so that the person or group responsible for any particular action is identified. The word “shall” indicates that a person or group must do something and should be used in place of the word “will.” The word “may” is permissive and should only be used to indicate that a person or group is authorized to do something, but is not required to do so.

### **Capitalization within Policies**

All University policies are written in lower case. Capitalization is the exception rather than the rule and is allowed only in the following circumstances:

- Proper names of people
- Names of primary sources of law and popular names of federal enactments (e.g. Revised Code, United States Code, Code of Federal Regulations, Family Educational Rights and Privacy Act).
- Certain code terms (e.g. Chapter and Title when followed by a number: Chapter 2743 of the Revised Code. The terms are lower case when not followed by a specific number: this chapter. The terms “rule,” “paragraph,” “division,” “section,” and “appendix” are always lower case.).
- References to court rules (e.g., Ohio Rules of Evidence, Rules of Civil Procedure).
- References to specific General Assemblies (*e.g., the 117th General Assembly*. General references to the General Assembly are not capitalized.)

- References to geographic and geopolitical entities (e.g., Ohio, the city of Akron, the United States, the state of Ohio. The names of government agencies, offices, and programs are not capitalized. “Congress” is in lower case.).
- National and racial appellations (e.g., Caucasian, African-American, Indian, American).
- References to the deity
- Days of the week and months of the year
- Government officers and agencies: The titles of government officers and agencies are not capitalized. (e.g., the governor, president of the United States, department of education, supreme court.)
- Holidays: The given name of a holiday is capitalized, but the word “day” is not. (e.g., New Year’s day, Memorial day, Christmas day).
- State institutions of higher education: Only words that are proper nouns are capitalized. (e.g., the Cleveland state university, the university of Toledo).

The only exception to these capitalization rules is if the capitalized word or phrase appears in quotation marks. Examples of where this would be appropriate include titles of publications, names of organizations, wording on signs, and mailing addresses.

### **Cross-References**

Sometimes policies reference other paragraphs within the same

policy or other University policies. From time to time a policy may reference another law or section of the Ohio Administrative Code. The most commonly used cross references are listed in the left side of the table below and the proper way of making the reference is listed in the right side of the table below.

<b>Reference To Be Made</b>	<b>Form In Which Reference Should Be Stated</b>
Referring to the policy itself	this policy
Referring to a paragraph	paragraph (A) of this policy

within the policy itself	
Referring to the paragraph itself	this paragraph
Referring to an unlettered paragraph within the policy itself	the second paragraph of this policy

Referring to the only appendix within the policy itself	the appendix to this policy
Referring to a paragraph of the appendix within the policy itself	paragraph (F) of the appendix to this policy
Referring to the appendix itself	this appendix
A rule of the Administrative Code	rule 3344-6-08 of the Administrative Code
A lettered paragraph of a rule of the Administrative Code	paragraph (A) of rule 3344-6-08 of the Administrative Code
An unlettered paragraph of a	the second paragraph of rule 3344-

rule of the Administrative Code	6-08 of the Administrative Code
The chapter of the Administrative Code in which the reference is made	this chapter



A chapter of the Administrative Code other than the one in which the reference is made	Chapter 3344-6 of the Administrative Code
An appendix to a policy having only one appendix	the appendix to policy 3344-6-08 of the Administrative Code
A paragraph or other division of an appendix	paragraph (S) to the appendix to rule 3344-6-08 of the Administrative Code
A descriptive title of an appendix	the appendix to policy 3344-5-07 of the Administrative Code, "Placement of History Trail,"
A section of the Revised Code	section 111.15 of the Revised Code

A lettered or numbered paragraph of a section of the Revised Code	division (C) of section 111.15 of the Revised Code
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An unlettered or unnumbered paragraph of a section of the Revised Code	the third paragraph of section 5749381 of the Revised Code
A chapter of the Revised Code	Chapter 3359 of the Revised Code
A section of the Ohio Constitution	Section 13 of Article VII, Ohio Constitution,
A federal statute in which the year of enactment is not part of the popular name	Anadromous Fish Conservation Act, 79 Stat. 1125 (1965), 16 U.S.C. 757a
A federal statute in which the year of enactment is part of the popular name	Home Owner's Loan Act of 1933, 48 Stat. 128. 12 U.S.C. 1461
A federal regulation in the Code of Federal Regulations	46 C.F.R. 73.608

### **Supplemental Information**

At the end of each policy, there appears supplemental information. This includes information about the history of the policy, an effective date, certification and date lines, and the statutory authority for the policy. If a policy has been rescinded and re-filed as a new policy or if the text is

relocated to another policy, the supplemental information will also include a replacement line.

For policies that are being amended, the existing supplemental information should be left in place, however, the previous effective date should be moved so it appears as the last in the list of prior effective dates. If the policy is being rescinded and re-filed as a new policy or relocated, this information should be noted and the Office of Compliance will supply the appropriate supplemental information.

### **Additional Information**

Additional information about the rules filing format for university rules is available online at [http://www.lsc.state.oh.us/rules/rdm06\\_06.pdf](http://www.lsc.state.oh.us/rules/rdm06_06.pdf) or from the University's Office of Compliance.