

## **GUIDANCE**

For the Implementation of

### **Policy 3344-2-01 Formulation And Issuance of Policies**

**Purpose:** Policy 3344-2-01, Formulation and Issuance of Policies, establishes the process to develop University Policies. This Guidance supplements that Policy to provide information regarding when a policy is needed and to provide additional detail related to the process for policy approval.

**Responsible Official:** Chief Compliance Officer, Office of University Compliance, is the Responsible Official for Policy 3344-2-01 and for this Guidance.

#### **University Policies**

The need for a policy, procedure or guidance can arise as a result of federal, state or local legislation; to establish University values and priorities; or when experience demonstrates the need to provide the University community with guidance in a particular area. Generally, a University Policy is appropriate:

- a) To address issues that endure across time and administrations and are unlikely to change frequently;
- b) To establish the University's mission, vision, values and principles;
- c) When it applies broadly across the University;
- d) To ensure compliance with applicable laws and regulations; and
- e) When the issue addressed has a material impact on the University community.

University Policies may be approved by the President or the President's designee, or by the Board of Trustees. Whether a policy is approved by the Board of Trustees is in the discretion of the President or the President's designee.

#### **Procedure or Guidance**

Departments may find it useful to develop procedures or guidance for the implementation of University Policies within their purview, or to address issues that arise solely in their departments. Such procedures or guidance, sometimes called department policies, may be developed, so long as they are not inconsistent with any applicable law, regulation or University Policy. Departments may not adopt procedures or guidance for University Policies that apply across departments, because doing so may result in the inconsistent implementation of University Policies.

All procedures and guidance should be provided to the Office of University Compliance for information, and for posting on the E-Policy Index as appropriate.

## Academic Policies

Academic policies fall outside the scope of Policy 3344-2-01. For the purposes of Policy 3344-2-01, “academic policies” are those that relate to curriculum and grading. Policies that relate to admissions, including to particular departmental programs, are not considered academic policies.

## Policy Approval Process

Policy 3344-2-01 sets forth the process for approval of a University Policy. The steps are as follows:

1. Any member of the University community may propose a new policy, or a revision to an existing policy, to the Provost or appropriate Vice President. If the Provost or a Vice President agrees that a new policy or a policy revision is needed, he or she will initiate the policy approval process.
2. The President, Provost or a Vice President shall initiate a policy approval process by appointing a Responsible Official to draft and negotiate the policy.
3. The Responsible Official shall contact the Office of University Compliance (OUC) prior to drafting the policy. The OUC will provide the Responsible Official with a policy template and provide guidance on the stakeholders that should be involved in the approval of the policy. As appropriate, the OUC will assist the Responsible Official in coordinating stakeholder review of the policy.
4. As part of the drafting and stakeholder review process, the OUC will review the draft policy for consistency with other University Policies, with applicable laws and regulations, and with the mission of the University. A review by the Office of General Counsel shall always be part of the stakeholder approval process.
5. Disagreements that arise during the drafting and stakeholder review process that cannot be negotiated will be resolved by the Provost or appropriate Vice President.
6. Once the drafting and stakeholder review process is complete, the Responsible Official shall submit the policy to the Provost or appropriate Vice President for initial approval. All such submissions shall include information as to which stakeholders were involved in the drafting and review process, and a plan for communication of the policy, including a plan for any training, if required.
7. The Provost or appropriate Vice President shall submit the policy to the President or President’s designee for approval if necessary. Unless otherwise determined, the Provost or appropriate Vice President shall be considered the President’s designee for the purposes of this approval.
8. Once approved by the President or President’s designee, the Responsible Official, with the assistance of the OUC, shall post the policy on the E-Policy Index for a 30-day comment period.
9. If, after comments are received, the Provost or appropriate Vice President believes the policy should be revised, the Responsible Official will make such revisions. If the

revisions are material, the policy will be sent back to OUC and the stakeholders for additional review and approval. The policy is not required to be posted again on the E-Policy Index.

10. Once any additional review and approval is complete, or after the comment period if no additional review or approval is required, the Provost or appropriate Vice President shall submit the policy to the President or the President's designee for final approval.
11. If the policy requires Board of Trustees approval, the Responsible Official and the OUC shall prepare the policy for submission to the Secretary of the Board for Board of Trustee consideration.
12. After approval by the Board or Trustees, the President, or the President's designee, the OUC shall file the policy with the Ohio Legislative Service Commission.
13. The effective date of the policy shall be ten days after the approval by the Board of Trustees, or, if Board of Trustee approval is not required, ten days after final approval by the President or the President's designee.

### Repeal of Policies

If a University Policy is no longer relevant even with revisions, it may be repealed. Any member of the University community may propose repeal of a policy to the Provost or the appropriate Vice President. If the Provost or a Vice President agrees that the policy shall be repealed, he or she shall recommend repeal by appointing a Responsible Official to work with the OUC to obtain stakeholder approval of the repeal. Once stakeholder approval has been obtained, the Provost or appropriate Vice President may submit the repeal to the President or the President's designee for approval. Policies that were approved by the Board of Trustees may only be repealed by the Board of Trustees. Repeal of a policy is effective ten days after approval by the Board of Trustees, or, if Board approval is not required, ten days after approval by the President or the President's designee.

### Policy Format

Ohio state law requires that all University Policies be filed with the Ohio Legislative Service Commission (LSC). In order to be accepted by the LSC, the policies must be formatted according to the LSC's Rule Drafting Manual. The Appendix to Policy 3344-2-01 provides formatting guidelines. The OUC can assist Responsible Officials in understanding the formatting requirements. The LSC's Rule Drafting Manual can be accessed at [http://www.lsc.state.oh.us/rules/rdm06\\_06.pdf](http://www.lsc.state.oh.us/rules/rdm06_06.pdf).

University Policies must also include the name of the Approving Authority (the President, President's Designee, or the Board of Trustees), the date of approval, the effective date and whether the policy supersedes an existing policy.

### Interim Policies

Under extenuating circumstances when a University Policy is required to be in place before the Policy Approval Process can be completed, the President, the Provost, or a Vice President may approve an interim University Policy for no more than three months. All such policies shall be submitted to the Office of University Compliance for posting on the E-Policy Index. Concurrent with submission to the Office of University Compliance, the President, the Provost or Appropriate Vice President shall initiate the Policy Approval Process.