



NORTH CAROLINA A&T STATE UNIVERSITY

CHAPTER 1100, GENERAL POLICIES

UNIVERSITY POLICY 1106, POLICY ON POLICIES

SECTION 1106.1 POLICY STATEMENT

North Carolina Agricultural and Technical State University (“NC A&T” or “University”) formally approves, issues, and maintains in a consistent format, official University Policies in a central policy library. Individuals engaged in developing and maintaining University Policies must follow the requirements outlined in this Policy for drafting, approving, revising, and rescinding University Policies. University Policies must be thoroughly reviewed, maintained, and made available and accessible to promote compliance, accountability, consistency, and fairness.

SECTION 1106.2 PURPOSE

The purpose of this Policy is to establish governing principles and standards for the development, approval, revision, and rescission of institution-wide policies. This Policy aims to ensure that University Policies are well defined, understandable, consistent with the University’s mission, values, and goals, and sanctioned by the University’s administrative authorities through a standardized process.

SECTION 1106.3 SCOPE

This policy applies to all University Policies and related procedures, standards, guidelines, and directives, regardless of how categorized, unless superseded by applicable law, policies of the UNC Board of Governors or Office of State Human Resources (as applicable), resolutions of the Board of Trustees, or bylaws of the University. Every member of the University community charged with developing, approving, maintaining, managing, or publishing policies on behalf of NC A&T must comply with this Policy.

SECTION 1106.4 DEFINITIONS

- (1) “Academic Policy” means a policy that directly affects the pedagogical and/or research mission of the University.
- (2) “Administrative Policy” means a non-academic policy that governs the University’s operations.
- (3) “Guidelines” mean information intended to serve as recommendations to advise on best practices.
- (4) “Minor modification” means any clerical, editorial, formatting, grammatical, or other non-substantive change or revision to an existing University Policy, or change intended to enhance clarity without changing the intent or application of the policy. A minor modification includes

adding to or modifying definitions or language in a policy to comply or otherwise be consistent with state or federal law or UNC System policies or regulations.

- (5) “Policy Owner” means the Chancellor’s Cabinet (“Cabinet”) member charged with overseeing administration of a policy, including a periodic review of the policy, and whose administrative responsibilities cover the subject matter of the policy. The Cabinet consists of senior leadership who serves as the Chancellor’s executive team; a list of current Cabinet members may be found on the Chancellor’s Cabinet web page.
- (6) “Procedures” mean operational processes established for implementing specific policies, including step-by-step instructions that outlines required actions or identifies the tasks and processes that must be followed to ensure quality, consistency, and compliance with policies.
- (7) “Responsible Office” means the office or unit designated to develop and is responsible for operationalizing, monitoring, and enforcing the policy.
- (8) “Stakeholder” means any individual or group directly or indirectly impacted by a given policy.
- (9) “Standard” means a mandatory rule that provides technical direction and requirements in support of an established policy and describes how a policy will be implemented and enforced.
- (10) “Unit Policy” means a policy that applies only to the operation of an individual college, department, center, or unit within the University.
- (11) “University Policy” means a policy with broad application throughout the University or to a major component of the University that helps to ensure coordinated compliance with applicable laws and regulations, promotes the University’s mission, or reduces institutional risk.

SECTION 1106.5 DEVELOPMENT OF UNIVERSITY POLICIES

Section 1106.5.1 University Policy Template

The Office of Legal Affairs will develop templates that must be used for all University Policies. Templates will be clearly labeled and posted on the University Policy Website for download and use by the University community.

Section 1106.5.2 University Policy Requirements

University Policies must be:

- (1) Presented in a common format;
- (2) Drafted so they are clear and concise;
- (3) Contain sufficient information on the subject without being excessive in length;
- (4) Approved by the authorized body;
- (5) Maintained departmentally by the Policy Owner with administrative oversight;
- (6) Maintained centrally by the Office of Legal Affairs;
- (7) Made accessible to the University community and public on the official University policy website;

- (8) Linked electronically to procedures, standards, guidelines, or resources for implementing policy;
- (9) Kept current within the framework of an organized system of change control; and
- (10) Distinguished from related supplemental resources.

Section 1106.5.3 Developing a University Policy

- (a) Determine the need for a University Policy.
 - (1) University Policies must only be created when they define University values, institutional objectives or mandates; address federal or state law, regulations, or rule requirements; or manage potential risk or liability.
 - (2) The Policy Owner or Responsible Office, in consultation with the Office of Legal Affairs, must confirm the need for the policy.
- (b) Develop a draft policy.
- (c) Conform to University Policy content and formatting requirements. The following sections must be included in each University Policy, as applicable:
 - (1) Policy Title (required)
 - (2) Policy Statement (required)
 - (3) Purpose (required; provide the reason for the policy)
 - (4) Scope (required; provide what and/or who is covered by/subject to the policy)
 - (5) Definitions (include terms that must be defined in order for the policy to be understood in a section or document)
 - (6) Roles and Responsibilities
 - (7) Compliance (required; include specific consequences for noncompliance with the policy)
 - (8) Policy History (required; with effective initial date; effective date of each revision (if applicable); and date last reviewed for compliance with this Policy (if applicable)).
 - (9) Authority (required; provide whether the policy requires final approval for adoption by the Board of Trustees or Chancellor)
 - (10) Policy Owner (required; provide the title of the Cabinet member with administrative jurisdiction over implementation of the policy)
 - (11) Responsible Office (required; provide the office or unit responsible for drafting and revising, or implementing the policy)
 - (12) Resources (list and/or link references and citations to relevant laws, policies, procedures, supplemental documents, appendices, etc.)
- (d) Seek final University Policy approval.

Section 1106.5.4 Expedited (Interim) Policy Approvals

- (a) Under exceptional circumstances, the Chancellor may modify the formal review process and issue an Interim University Policy. Such circumstances may include:
 - (1) the need to expedite the issuance of a University Policy because of external compliance deadlines;
 - (2) developments that will, or could, significantly affect the safety or welfare of members of the University community;

- (3) where the step is necessary or desirable to facilitate orderly and efficient operations or continuity of operations; or
 - (4) to address legal requirements or significant institutional risk.
- (b) Unless otherwise noted in the policy, interim policies will become effective immediately upon approval by the Chancellor.
 - (c) Interim University Policies generally must not remain in effect for more than six months from the effective date of their issuance; the Responsible Office must promptly initiate the process for formal review and adoption and/or rescission of the University Policy.
 - (d) The Office of Legal Affairs must post interim policies, clearly designated as such, on the University's Policy Website.

SECTION 1106.6 REVISING A UNIVERSITY POLICY

- (a) In consultation with the Office of Legal Affairs, each Policy Owner must ensure that University Policies within their administrative jurisdiction are reviewed at least once every three (3) years. An expedited review may be initiated sooner if legal or regulatory requirements, changes in operational processes or other identified needs necessitate an earlier review.
- (b) The Responsible Office or Policy Owner must notify the Office of Legal Affairs of necessary changes by providing a strikethrough or "redline" copy of the policy with proposed revisions; or if review was conducted and there are no necessary changes. The date of review, even in the absence of revision, must be noted in the Policy History of the document.
- (c) The Policy Owner or Responsible Office, in consultation with the Office of Legal Affairs, must determine if proposed revisions to a University Policy are minor modifications as defined herein.
 - (1) Minor modifications to existing may be approved by the Responsible Office and the Office of Legal Affairs without formal review and approval.
 - (2) Revisions to University Policies determined not to be minor modifications must follow the same formal review and approval process as a new policy.
 - (3) If there is a question as to whether the revisions are minor modifications or that they will have a significant impact on the campus community, the Policy will be reviewed under the standard procedure.

SECTION 1106.7 SUPPLEMENTING A UNIVERSITY POLICY

- (a) Supplemental procedures, standards, or guidelines may initially be developed, revised, and approved as part of the development, approval, or revision of a University Policy.
- (b) New proposed University Policies with supplementing procedures, standards, or guidance must be submitted together for review and approval to the Office of Legal Affairs.

- (c) Upon approval by the Office of Legal Affairs, supplemental procedures, standards, or guidelines may also be separately developed, revised, and/or updated without additional review or approval by the Chancellor.
- (d) Procedures or other supplemental implementing resources for University Policies shall be clearly labeled to identify the University Policy that they supplement.

SECTION 1106.8 RESCINDING A UNIVERSITY POLICY

- (a) A University Policy will be rescinded when:
 - (1) It becomes inconsistent with legal or policy requirements;
 - (2) It no longer reflects the University's practice; or
 - (3) The policy is consolidated into other policies.
- (b) If there is disagreement as to whether a University Policy should be rescinded, the Chancellor, in consultation with the General Counsel, will decide.
- (c) Only the Board of Trustees, Chancellor, or authority that originally approved a University Policy may rescind that policy.
- (d) Approval and adoption of a revised version of a University Policy will serve to rescind previous versions of the same policy.
- (e) The rescission of a University Policy will be noted in the policy history and additionally added to a list accessible on the policy website when the Policy is posted after adoption.

SECTION 1106.9 ARCHIVING A UNIVERSITY POLICY

The Office of Legal Affairs and each Policy Owner must maintain a record of current and previous University Policies under the Policy Owner's administrative responsibilities.

SECTION 1106.10 UNIVERSITY POLICY PUBLICATION AND ACCESSIBILITY

- (a) The Office of Legal Affairs will ensure campus-wide notice and dissemination, publication, and management of University Policies.
- (b) All approved University Policies and supplemental resources will be published or linked on the official University Policy Website.
- (c) Any college, department, or unit that includes University Policies on its website must do so by linking to the official University Policy Website, and must not post their own versions of University Policies.

SECTION 1106.11 ROLES AND RESPONSIBILITIES

- (1) NC A&T's Board of Trustees:

The Board of Trustees is responsible for final approval of University policies over which it is authorized in accordance with state law and/or the policies or regulations of the UNC Board of Governors. The Board of Trustees has delegated discretionary authority to the Chancellor

to approve University-wide policies, administrative or departmental policies, and interim policies, including revisions.

(2) Chancellor:

Except where required by resolutions of the Board of Trustees, bylaws of the University, policies of the UNC Board of Governors, or applicable law, the Chancellor is responsible for final approval of University Policies. The Chancellor may, in the Chancellor's discretion and with the advice of the General Counsel, delegate policy-approval authority to Cabinet members to issue and to designate academic, administrative, departmental, or unit policies.

(3) Chancellor's Cabinet:

The Chancellor's Executive Cabinet consists of the University's senior leadership and is responsible for reviewing and recommending the approval or disapproval of proposed University Policies and related supplemental resources to the Chancellor.

(4) The Office of Legal Affairs:

The Office of Legal Affairs, a unit within the Division of Legal Affairs, Risk and Compliance, manages the process for developing, approving, and publishing all University Policies in accordance with this Policy and associated resources, ensures that University Policies are consistent with applicable laws, regulations, governing policies, are clearly written, appropriately formatted, and that policy content does not create risk for the University.

The Office of Legal Affairs also determines and assigns numbering and nomenclature for each University Policy, determines whether a proposed University Policy fits the definition of and follows the requirements for a University Policy, and oversees the University's Policy Website, including the University's archived policies, and campus-wide communications regarding the approval of new or revised policies.

(5) Vice Chancellor for Legal Affairs, Risk and Compliance/General Counsel

The Vice Chancellor for Legal Affairs, Risk and Compliance/General Counsel is ultimately responsible for interpretation of University Policies.

(6) Policy Owner

The Policy Owner is the member of the Chancellor's Cabinet charged with primary responsibility for oversight and administration of the University Policy, including responsibility for development, drafting, implementation, updating, monitoring for compliance and effectiveness, and periodic review of the University Policies in the Cabinet member's administrative jurisdiction. The Policy Owner must appoint a Responsible Office for all approved University Policies.

(7) Responsible Office

The Responsible Office is the office within the Policy Owner's administrative responsibility that is charged with developing, drafting, updating, and/or implementing specified University Policies and, if applicable, supplements including procedures, standards, or guidelines. The Responsible Office is accountable for the accuracy of the subject matter, issuance, timely review, and updating of the University Policy. The Responsible Office also ensures that the University Policies for which it is responsible are consistent with other University Policies.

(8) College, Department, and Unit Administrators

All University administrators and managers must ensure that employees are familiar and compliant with applicable policies, procedures, standards, and guidelines within their administrative purview. For purposes of this section, the term “manager” includes vice chancellors, associate and assistant vice chancellors, deans, associate and assistant deans, directors, department heads, and supervisors.

SECTION 1106.12 OTHER “NON-UNIVERSITY” POLICIES

- (a) The Office of Legal Affairs does not require, but strongly recommends, that colleges, departments, or units develop, publish, and follow similar review intervals and criteria for other departmental or unit policies. The Office of Legal Affairs will assist Policy Owners or Responsible Offices in developing and reviewing departmental or unit policies as requested.
- (b) Colleges, departments, or units may develop and implement academic, administrative, department, or unit policies, procedures, standards, or guidelines that pertain only to the affairs of that college, department, or unit, provided they are consistent with, and do not conflict with any University Policy.
 - (1) Such policies and procedures need not follow the formal review and approval process for University Policies as detailed in this Policy, except when required by law, the UNC Board of Governors, this Policy, or another University Policy.
 - (2) Policies that do not meet the criteria for a University Policy must reference relevant University Policies when applicable and avoid restating or parroting University Policies.
- (c) Any academic, administrative, department, or unit policy that implicates state or federal laws or regulations must be reviewed by the Office of Legal Affairs.
- (d) Policies that do not meet the criteria for a “University Policy” must be vetted through the appropriate Policy Owner for approval to ensure consistent application and to avoid conflicting with University Policies.
- (e) Any non-University Policy or supplemental resources that are inconsistent with, or conflicts with a University Policy will be void.

POLICY HISTORY

Eff. September 17, 2010

Revised Eff. April 17, 2015; August 10, 2020; July 1, 2026

AUTHORITY: Chancellor

POLICY OWNER: Vice Chancellor & General Counsel

RESPONSIBLE OFFICE: Office of Legal Affairs

RESOURCES

Appendix A to University Policy 1106, Procedures for Developing, Revising, and Adopting University Policies