



NORTH CAROLINA A&T STATE UNIVERSITY
CHAPTER 1100 - GENERAL POLICIES
UNIVERSITY POLICY 1106, POLICY ON POLICIES

Section 1106.1 Policy Statement

The North Carolina Agricultural and Technical State University (N.C. A&T or University) shall establish governing principles for the development of University policies, and ensure that University policies are concise, easily understood, and accessible to the University community. Policies that are accessible and easily understood will: (1) support the University's mission; (2) achieve accountability by identifying the offices responsible for the policies; (3) provide faculty, students, staff, and guests with well-developed expectations; and (4) transparently document how the University conducts business.

University policies shall be (1) presented in a common format; (2) approved by the authorized body; (3) maintained centrally by the Office of Legal Affairs; (4) made accessible to the University community and public on the official University policies website; (5) linked electronically to procedures or resources for implementing the policy; and (6) kept current within the framework of an organized system of change control.

Policies must be distinguished from related procedures. Procedures or other implementing resources shall be clearly labeled to identify the policy that they supplement. Procedures and forms do not undergo the approval process set forth in this policy, and may be revised and posted as necessary.

Section 1106.2 Purpose

The purpose of this policy is to establish governing principles for the development and oversight of all University policies.

Section 1106.3. Scope

This policy applies to all University employees, members of the University community, and members of the Board of Trustees regardless of how categorized. Every employee, member of the University community, or Board of Trustee member charged with developing, approving, maintaining, managing, or publishing policies on behalf of the University shall comply this policy.

Section 1106.4. Roles and Responsibilities

The Office of Legal Affairs

The Office of Legal Affairs manages the process for developing, approving, and publishing all University policies in accordance with the standards and guidelines set forth in this policy and

associated resources. The Office of Legal Affairs is responsible for ensuring that policies are consistent with applicable laws, regulations, governing policies, and other requirements, and that policy content does not create legal liability for the University. The Chancellor, with advice of the General Counsel, shall determine who has approval authority for each University policy according to applicable laws, regulations, and related policies. Legal Affairs also determines whether a proposed policy fits the definition of and follows the requirements for a University policy. Legal Affairs shall also manage the University's policy webpages, including the University's archived policies, and campus-wide communications regarding the approval of new or revised policies. Responsibility for policy interpretation ultimately rests with the General Counsel.

Responsible Office

The Responsible Office develops and administers specified University policies and, if applicable, supplement standards, procedures, 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 policies within its area, communicated properly, reviewed regularly, revised or updated as needed, and monitored for compliance and effectiveness.

Chancellor's Cabinet:

The Chancellor's Executive Cabinet is responsible for reviewing and recommending the approval or revision of University policies. The senior leadership or Chancellor's Executive Cabinet serves as the Chancellor's advisors on major issues such as operations, policy, regulations, programs and organizational structure.

Chancellor:

The Chancellor is responsible for final approval of University policies over which he or she has authority in accordance with state law or the policies and regulations of the University of North Carolina and N.C. A&T. The Chancellor may, in his or her discretion, delegate policy-approval authority to Cabinet members to issue and revise certain designated unit or department-limited policies. The Chancellor shall appoint a Responsible Office for all approved University policies.

Board of Trustees:

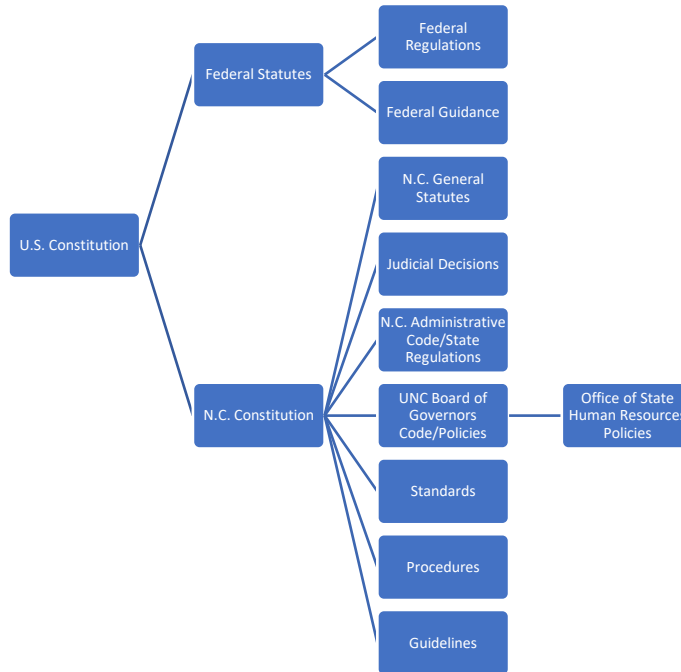
The University Board of Trustees is responsible for final approval of University policies over which it is authorized in accordance with state law and the policies or regulations of the University of North Carolina. The Board of Trustees delegate discretionary authority to the Chancellor to approve administrative or unit policies, and interim policies, including revisions.

Department and Unit Managers

All University managers shall ensure that employees are familiar and compliant with applicable laws and governing regulations, standards, and policies. 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 1106.5. Governing Hierarchy

The policy hierarchy is an overview of the documents that define and govern the University’s activities. The policy hierarchy is illustrated below and each level is listed in order of precedence:



Section 1106.6 Policy Template

The Office of Legal Affairs shall develop a policy template that shall be used for all University policies. The template shall be clearly labeled and posted on the Office of Legal Affairs website for download and use by the University community.

Section 1106.7 Requirements for Policy Development

Policies shall be drafted so that they are clear and concise. Policies shall contain sufficient information on the subject without being excessive in length. Detailed mechanisms or processes shall be included in supplemental resource documents and may be in the form of standards, procedures, guidelines, definitions, or other supporting resource.

The following sections should be included in each University policy as applicable. If there are terms that must be defined in order for the University policy to be understood, those terms and their definitions should be included in a “Definitions” section or document.

If there are specific consequences for not complying with a University policy, they should be addressed in the “Compliance” section. The following University policy sections are recommended, as applicable:

- Policy Title
- Policy Statement
- Purpose

- Scope
- Definitions
- Applicability
- Roles and Responsibilities

All policies should include the following information after the end of the policy:

- Policy History
- Authority
- Responsible Office
- Resources and Supplemental Documents, as applicable

Section 1106.8 Policy Approval

New or revised University policies will usually require development, review, and recommendation by the Responsible Office, the Office of Legal Affairs, Chancellor's Cabinet, and approval by either the Chancellor or Board of Trustees, as determined by policies or regulations of the University of North Carolina or North Carolina A&T. Specific review and approval procedures are set forth in the Supplemental Procedures to the Policy on Policies.

Clerical or non-substantive revisions to existing University policies may be approved by the Responsible Office and the Office of Legal Affairs without full review and recommendation by the Chancellor's Cabinet.

Supplemental standards, procedures, or guidelines may initially be developed, revised, and approved as part of the development, revision, and approval of a University policy, but may also be separately revised and/or updated without additional review by the Chancellor's Cabinet and/or approval by the Chancellor or Board of Trustees, in the discretion of the Office of Legal Affairs and/or the Chancellor.

Section 1106.9 Interim Policies

Under exceptional circumstances, the Chancellor may issue interim University policies. Such circumstances may include the need to expedite the issuance of a University policy because of external compliance deadlines; developments that will, or could, significantly affect the safety or welfare of members of the University community; or where the step is necessary or desirable to facilitate orderly and efficient operations.

Interim University policies will generally remain in effect for no more than six months from the effective date of their issuance; thus, the Responsible Office should promptly initiate the steps described above for review and approval of a final University policy. The Office of Legal Affairs will post interim University policies, clearly designated as such, on the University's policy website. Interim policies become effective immediately upon approval by the Chancellor.

Section 1106.10 Policy Rescission

A University policy shall be rescinded when (1) it becomes inconsistent with legal or policy requirements; (2) no longer reflects the University's practice; or (3) when the policy is consolidated into other policies. Only the authority that originally approved a University policy is authorized to rescind that policy. Approval of a revised version of a policy shall serve to rescind previous versions of the same policy.

The Office of Legal Affairs retains copies of rescinded University policies for reference and record-keeping purposes. Effective upon approval of this policy, the Office of Legal Affairs shall prospectively maintain references to rescinded policies, and clearly denote rescinded statuses on its official University policy site.

Section 1106.11 Publication of University Policies

All approved University policies, interim policies and supplemental policy resources or documents shall be published on the official University policy site. University policies published on or linked from the official University policy site shall be consistent with this policy.

If a unit wishes to include University policies on its website, it must do so by means of a link to the official University policy site. The official University policy site will be the only site that carries the assurance that the University policies posted on it are current and correct.

Section 1106.12 Policy Review, Revision, and Updates

Every University policy shall be reviewed at least every three years by the Responsible Office or Policy Owner, or more frequently, if necessary. The Responsible Office or Policy Owner shall propose revisions or updates as needed and maintain currency to comply with regulatory changes or changes in business operations.

The Office of Legal Affairs shall oversee the review process. Policy modifications will follow the same review and approval process as for new University policies.

POLICY HISTORY

Eff. September 17, 2010

Revised Eff. April 17, 2015; August 10, 2020

AUTHORITY: Board of Trustees

POLICY OWNER: General Counsel

RESPONSIBLE OFFICE: Office of Legal Affairs



NORTH CAROLINA A&T STATE UNIVERSITY

DEFINITIONS

Supplement to University Policy 1106, Policy on Policies

- (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) “Confidential Standard” means a standard that is exempt from public records disclosure under North Carolina law and for which campus distribution may be limited to employees in specific defined roles. Access to Confidential Standards may require written confidentiality agreements. Unit Standards or University Standards may be Confidential Standards.
- (4) “Division” includes: Academic Affairs, Athletics, Business Affairs, the Chancellor’s Office, Information Technology, Research, Student Affairs, University Advancement, or University Communications.
- (5) “Guidelines” means information intended to advise people on how something should be done or what something should be.
- (6) “Interim Policy” means a policy issued by the Chancellor when a University policy must be established in a time period too brief to permit the completion of the process set forth in the Policy on Policies. An Interim Policy may remain in force until the next Board of Trustees meeting, and the Board of Trustees shall be advised of all Interim Policies.
- (7) “Policy” means a written statement of management philosophy and direction, established to provide guidance and assistance to the University community in the conduct of University affairs. A University policy:
 - (a) enhances the University’s mission;
 - (b) contains an official, concise statement to guide the governance and/or operations of the University on an issue or subject matter;
 - (c) is a governing principle that mandates or constrains actions;
 - (d) has institution-wide application;
 - (e) changes infrequently and sets a course for the foreseeable future;
 - (f) helps ensure compliance with applicable laws and regulations;
 - (g) reduces institutional risk;
 - (h) promotes effectiveness and efficiency; and
 - (i) is approved at the executive levels of the University (Board of Trustees, Chancellor, Provost).

- (8) “Policy initiator” means any faculty, staff member, or student who identifies a University-level issue and develops a policy proposal.
- (9) “Policy owner” means the appropriate University officer (Chancellor, Provost, etc.) whose jurisdiction covers the subject matter of the policy.
- (10) “Procedure” means a guideline or series of interrelated steps taken to help implement a policy. University procedures:
 - (a) should identify and link to the applicable University policy;
 - (b) should be reviewed and updated as necessary to ensure agreement with the most current version of the University policy; and
 - (c) generally do not require formal approval by senior University officials.
- (11) “Responsible Office” means the office or unit designated to develop and administer specified University policies.
- (12) “Stakeholder” means any individual or group directly or indirectly impacted by a given policy.
- (13) “Standard” means a written prescriptive statement that provides technical direction and requirements in support of an established policy and describes how a policy will be implemented and enforced. Standards identify mandatory actions and establish constraints.
- (14) “Student policies” are policies that directly affect student life at the University.
- (15) “Supporting Documents” or “Resources” mean procedures, standards, guidelines or other documents that contain specific mechanisms or processes related to and authorized by a policy to establish how that policy should be carried out. Supporting Documents may include detailed instructions, steps, or forms that facilitate compliance with a policy.
- (16) “Unit” means a Center, Department, Institute, Office, School, College, or other operational segment within a Division of the University.
- (17) “Unit Policy” means a policy that has application only within the issuing unit (e.g. applies only to unit employees, staff, students, and/or others working for or within the unit).
- (18) “Unit Standard” means a standard which applies to a single Unit.
- (19) “University Standard” means a standard which applies to the University community.



NORTH CAROLINA A&T STATE UNIVERSITY
PROCEDURES FOR ADDING OR REVISING
UNIVERSITY POLICIES

Supplement to University Policy 1106, Policy on Policies

Procedures

1. Proposed new policies or revisions to existing University policies may be requested by the Board of Trustees, Chancellor, Office of Legal Affairs, or Cabinet members (or designees). Responses to requests should be sent to the Office of Legal Affairs (OLA) in accordance with University Policy 1106, Policy on Policies. Policies may also be developed by policy initiators.
2. OLA shall determine and assign numbering and nomenclature for each University policy.
3. When OLA receives a request for a new policy or for revisions to an existing policy, OLA shall review the new policy draft or revision, or work with the Responsible Office to draft the new policy or revision. OLA will make recommendations as to form, format, clarity, substance, and legal implications. OLA shall direct that the Policy Owner who oversees the Responsible Office shall approve the final draft before it is further processed.
4. Upon approval by the relevant Policy Owner, the Responsible Office shall submit the following to OLA for initial review before submitting it to the Cabinet:
 - (a) an explanatory memorandum; and
 - (b) a redlined copy of a revised policy showing the proposed additions and deletions; or
 - (c) a clean copy of a new policy.
5. When OLA determines that the new or revised policy is in good legal form and has been approved by the Policy Owner, OLA shall provide its feedback to the Responsible Office or Policy Owner.
6. After initial review by OLA and approval by the Cabinet, OLA shall post the policy for review and comment by the University community in the "Draft Policies Awaiting Final Approval" section of the University's official policy website. Policies shall be posted for comment for a minimum period of two weeks.
7. OLA or its designee shall send an email to the President of Faculty Senate, the Chair of the Staff Senate, and the Provost (for review and comment by the Deans' Council) announcing the posting.

8. OLA will collect all comments and recommendations made by Cabinet members and/or their designees prior to the Cabinet meeting in which the policies are discussed, and work with the Policy Owner or Responsible Office to address questions or concerns raised in the comments.
9. After considering any feedback or recommendations received, the Cabinet member proposing the policy may place the matter on the Cabinet agenda and present the proposed new or revised policy to the Cabinet for final review and approval. Comments received prior to the meeting may be discussed during the Cabinet meeting.
10. If the Chancellor determines that further editing or revision of the policy is necessary after Cabinet discussion, OLA will work with the Responsible Office to draft revisions in order for the Cabinet member proposing the policy to re-submit the revised draft policy to the Cabinet at its next meeting following finalization of any revisions; or present the revised draft policy to the Chancellor without a Cabinet meeting if requested by the Chancellor.
11. The above procedures may be repeated until the policy revisions are approved, or until the Chancellor decides not to further pursue a new or revised policy.
12. Once the Chancellor decides that a new or revised policy should be approved, the policy will be submitted to the final decision-making authority for approval.
 - (a) If the Chancellor is authorized to approve the policy, OLA will work with the Policy Owner or Responsible Office to provide a final draft of the policy for the Chancellor's signature. The approval process is complete when the Chancellor indicates his or her approval by signature. The Chancellor will return a copy of the signed policy to OLA.
 - (b) After approval by the Chancellor and Cabinet, University policies within the purview of the Board of Trustees shall be presented to the Board of Trustees for review and approval. The matter will be placed on the Board of Trustees agenda for the next regular meeting along with a copy of an explanatory memo describing reasons for revision or new policy, and a final draft of the policy. Once the Board of Trustees approves the policy, the approval process is complete. The liaison to the Board of Trustees will return a copy of the signed policy to OLA.
 - (c) For an Administrative policy, after approval by the Chancellor and Cabinet, the policy shall be presented to the Chancellor and Cabinet member who proposed the policy for signature.
13. When proposed policies have received final approval, OLA will:
 - (a) post the new or revised policy on OLA's University Policies web page;
 - (b) highlight new policies and revisions on the Policies website; and

- (c) submit an announcement for University-wide distribution and request that Cabinet members distribute the policies within their units.
14. OLA will work with Information Technology to maintain a digital copy of previous (expired) versions of policies on the Policies website “Archives.”
15. Under exceptional circumstances, the Chancellor may issue interim University policies without the review process set forth above. The Responsible Office or Policy Owner should promptly initiate the steps described above for review and approval of final University policies.

General Format Instructions

Each University and Administrative policy shall be drafted on the Policy Template or be formatted as follows:

- (1) Paper Specifications:
 - (a) 8½ by 11-inch plain white paper;
 - (b) one side of the sheet only; with one-inch margins on all sides;
 - (c) black ink;
 - (d) on first page, chapter number and name, capitalized, bold, and centered;
 - (e) University Policy Number and name, capitalized, bold, and centered on the line beneath chapter number and name;
 - (f) text of policy in non-bold 12-point font size using Times New Roman;
 - (g) portrait print (8½ x 11);
 - (h) insert page number in the format “Page x of x” in the bottom right corner for all policies exceeding one page in length;

- (2) Policy History Specifications:
 - (a) the first line shall start with the words "Policy History," and be on the second line following the body of the policy;
 - (b) the effective date of the original adoption or effective date of the policy shall be on the next line of the “Policy History” and shall be indicated with the abbreviation "Eff." followed by the date;
 - (c) on the line following the "Eff." date, the revised dates shall be preceded with the words "Revised Eff." and the dates shall be listed in chronological order, with the most recent revised date listed last;
 - (d) an Interim Policy shall be listed as a separate item in the Policy History note with the following words: "Interim Policy (Adoption or Repeal) Eff. (date)";
 - (e) the repealed date of a Policy shall be the last line of the Policy History and start with the words "Repealed Eff." followed by the date;
 - (f) all items in the Policy History shall be separated by semicolons with the last line ending with a period;
 - (g) all Policy History shall be in chronological order; and
 - (h) all dates in the Policy History note shall be complete with the month spelled out and shall not contain any abbreviations;

- (3) Authority:
 - (a) an approving authority shall be listed for all policies;
 - (b) the approval authority shall be listed on the second line following the Policy History;
- (4) The Policy Owner shall be listed on the second line following the Authority;
- (5) The Responsible Office shall be listed on the second line following the Policy Owner; and
- (6) Resources shall begin on the second line following the Responsible Office and shall include links to relevant laws, related policies and websites, and supplemental documents.