Information

Developing and Approving University Administrative Policies

Effective

March 4, 2016

Number

ICO-1.04

Applicability

This policy applies to all University of Louisville units, departments, and individuals involved in the development and approval of Administrative Policies and University Procedures, including the University Community (administrators, faculty, staff, and students).

Administrative Authority

Vice President for Risk, Audit, and Compliance

Responsible Unit

University Integrity and Compliance Office

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Louisville, KY 40208

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History

Revision Date(s): August 4, 2016; February 27, 2017; February 2, 2018; January 25, 2019 (minor revisions); September 24, 2020 (minor revisions); September 6, 2022 (minor edit); December 14, 2022 (minor edits); February 15, 2023; May 10, 2023; November 20, 2024; January 14, 2025; April 03, 2025

Reviewed Date(s): August 4, 2016; February 27, 2017; February 2, 2018; September 24, 2020; November 20, 2024

Categories

Reason for Policy:

The purpose of this policy is to inform the University Community about the University's established process for the way Administrative Policies and University Procedures are developed, approved, published, revised, maintained, and rescinded. Additionally, this policy outlines expectations about the policy and procedure review cycle.

Statement:

The University of Louisville (University) has an established process to formally approve and adopt new Administrative Policies or Substantive Revisions to existing Administrative Policies. The University President and the President's Senior Leadership Team members, or designees, are designated as the Administrative Authorities to approve the adoption of a new Administrative Policy or the approval of Substantive Revisions to an existing Administrative Policy. Administrative Authorities and their Responsible Units or Departments must comply with this policy and the associated procedures here within for developing, approving, revising, maintaining, and rescinding an Administrative Policy or University Procedure.

Administrative Policies will:

- Comply with applicable federal, state, and local laws, and governing policies of the University;
- Explain the University's business practices and expectations;

- Promote and enhance individual accountability;
- Provide useful guidance; and
- Serve as the cornerstone of the University's operational structure and values.

All Administrative Policies and University Procedures will be formally reviewed and approved as set forth in this document.

To the extent that there is a conflict between a Departmental Policy and an Administrative Policy, the provision of the Administrative Policy will prevail.

Administration of the University Policy and Procedure Library

The University of Louisville makes Administrative Policies and University Procedures publicly accessible in the University Policy and Procedure Library at https://louisville.edu/policies. Within the University Policy and Procedure Library, the Administrative Policies and University Procedures are divided into the following categories:

- Academic and Faculty Affairs
- Administration, Compliance and Legal
- Finance
- Human Resources
- Information Security and Technology
- Operations
- Research
- Student Life

The University Integrity and Compliance Office (UICO) maintains the University's Policy and Procedure Library.

Policy Feedback Period

The University values the feedback of its faculty, staff, and students. Accordingly, newly proposed Administrative Policies and existing policies with proposed Substantive Revisions will be communicated with the faculty senate, staff senate, and the Student Government Association (SGA), depending on the subject of the policy and to whom it applies for review and feedback from the relevant constituents (faculty, staff, and/or students) as determined appropriate. The Administrative Authority is responsible for communicating the draft proposed policy with the relevant chairs of the faculty senate, staff senate, or SGA President. The constituency representatives are responsible for disseminating the draft proposed policy to their respective constituents. Once the draft policy has been communicated to the chairs, the respective groups will have 15 business days to provide feedback, unless additional time is necessary to allow the constituency groups to discuss the draft policy. Additional time must be reasonable and agreed upon by the Administrative Authority. Refer to the "Vetting Process" outlined in the Procedures section of this policy.

Interim and Expedited Policies

The University President may approve the adoption of an expedited and interim Administrative Policy in special circumstances when a policy must be established and take effect urgently. Special circumstances may include, but are not limited to, a change in federal or state law, a national health concern, a safety concern, or a major institutional risk. An expedited and interim Administrative Policy will be marked "Interim" until the policy has completed the development and approval process as outlined in this policy. Interim and expedited policies should be vetted with relevant constituents (faculty, staff, and/or students) as determined appropriate and practical given the circumstances. An interim Administrative Policy will expire one year from its effective date unless the Administrative Authority of the policy identifies an earlier expiration date, or the interim policy has been approved by the University President for renewal.

Policy and Procedure Review Cycle

Each Administrative Policy and University Procedure must be reviewed at least once every three (3) years by the Responsible Unit or Department to ensure that it remains current and relevant. A policy or procedure may need to be reviewed and revised more frequently to ensure it aligns with laws, regulations, or other developments.

Administrative Policies and University Procedures that have not been reviewed in accordance with this requirement, and after three (3) written requests to the designated policy contact of the Responsible Unit or Department from the UICO to fulfill this requirement, will be reported to the President and the President's Senior Leadership Team.

Policy Compliance

All members of the University community who are responsible for writing and updating Administrative Policies or University Procedures shall comply with this policy. Noncompliance with this policy may result in disciplinary action in accordance with University policy.

Related Information:

University Policy and Procedure Library

Policy Resources are available online for additional guidance on the development and approval of an Administrative Policy and University Procedure.

Definitions:

Governing Policy: Umbrella policies of the Board of Trustees that provide the framework for administration to implement and comply with the intent of said policy. Policies approved by the Board of Trustees that define requirements that support the University's overall mission, operation, or governance, including policies delineated within *the Redbook* of the University of Louisville that serves as the basic governance document of the University.

Administrative Policy: An Administrative Policy is a written statement of policy with broad application throughout the University. Administrative Policies provide for the general administration and oversight of the University and must be approved by the President and the President's Senior Leadership Team members, or designees.

Departmental Policy: A Departmental Policy is one that applies only to the operation of an individual department or unit within the University. Departmental Policy may exist in order to promote operational efficiencies or enhance the mission of the department or unit but is not broadly applicable throughout the University. Departmental Policy can address subjects that are not addressed by Governing Policy or Administrative Policy and may supplement, but must not be in conflict with, Governing Policy or Administrative Policy.

Academic, Faculty, and Student Life Policies: Policies that are within the purview of Faculty Affairs, Graduate Affairs, Undergraduate Affairs, and Student Affairs have a specific approval process not subject to the University's

Administrative Policy development and approval process.

University Procedure: A University Procedure is strictly operational. Procedures contain a series of consecutive action steps related to a policy that specifies how a particular policy should be carried out. Procedures may have detailed instructions, definitions, and/or forms that facilitate policy compliance. The highest-level individual within a Responsible Unit or Department with oversight responsibility of the procedure has the authority to approve the procedure.

Responsible Unit or Department. The Responsible Unit or Department is the administrative office responsible for developing and implementing the policy, including ensuring accuracy of the subject matter, training appropriate audiences, enforcing and monitoring compliance with the policy, and timely review.

Administrative Authority. The president or appropriate vice president(s) or vice provost(s) responsible for the oversight of the development and implementation of a policy. The Administrative Authority is the sponsor of the policy and has been given authority to approve new policies or Substantive Revisions to existing policies that fall within their respective Responsible Unit or Department.

Minor Revisions. Minor Revisions are those that do not change the scope or the original intent of the policy. Examples of Minor Revisions may include, but are not limited to, spelling and typo corrections, reordering of information, title changes for individuals or departments, address or contact information, clarification of existing policy, and updated web links. Therefore, Minor Revisions are not subject to the policy development and approval process outlined in the procedures. Minor Revisions do require approval by the Administrative Authority (or designee) of the Responsible Unit or Department.

Substantive Revisions. Substantive Revisions are those that change the scope and original intent of the policy. Therefore, existing policies with Substantive Revisions are subject to the policy development and approval process outlined in the procedures and require approval by the President and the President's Senior Leadership Team.

Procedures:

A. Development and Approval Process (applies to New Administrative Policy or Substantive Revisions to existing Administrative Policy)

1. Policy Creation:

A. Identify Need.

- A unit/department/committee or other group identifies the need for a new or revised Administrative Policy.
- Once the need is identified, the policy will need to be assigned to a sponsor. The sponsor must be at a Vice President or Vice Provost level or higher and is usually the Administrative Authority who has oversight responsibility of the Responsible Unit or Department that will oversee, maintain, and implement the policy. For Substantive Revisions to existing policy, the sponsor is the assigned Administrative Authority. You may contact the UICO to determine an appropriate sponsor.
- The sponsor must approve the need for a new policy or Substantive Revisions to an existing policy.
- The sponsor (or delegate) should consult with the UICO for guidance on the policy creation and approval process.

B. Draft Policy.

- The Responsible Unit or Department drafts or revises the policy per the approved policy template. https://louisville.edu/policies/policies-and-procedures/templates/policy-template-docx
- The sponsor then takes the draft policy to the President and the President's Leadership Team to obtain feedback on whether to move forward with the proposed policy or the Substantive Revisions to an existing policy.

C. Vetting Process.

- The sponsor determines the appropriate vetting of a new or revised policy and is responsible for vetting the new or revised policy with appropriate University constituents. Policies impacting staff should be vetted with Staff Senate. Policies impacting faculty should be vetted with Faculty Senate. Policies impacting students should be vetted with the Student Government Association. All policies should be vetted with University Counsel. Questions regarding other groups to vet a policy should be directed to policies@louisville.edu.

- Communications with Faculty Senate, Staff Senate, or other groups must be coordinated through the sponsor and the respective senate or committee chairs.
- The sponsor considers all feedback received from the vetting process and makes further revisions to the new or revised policy, as determined necessary.

2. Policy Review:

A. University Counsel Review of Policy.

- The sponsor (or designee within the Responsible Unit or Department) submits the proposed new or revised draft policy to the Office of General Counsel and VP for Legal Affairs for review and feedback.
- The Office of General Counsel and VP for Legal Affairs reviews and provides feedback to the sponsor and advises whether the policy requires submission to the Office of the President for presentation to the Board of Trustees for final approval or continues through the standard creation and approval process.
- The sponsor considers feedback received from the Office of General Counsel and makes further revisions to the new or revised policy, as determined necessary.

B. UICO Review of Policy.

- The sponsor (or designee within the Responsible Unit or Department) submits the proposed draft policy to the UICO for review.
- The UICO reviews and provides feedback to the sponsor (or designee) and advises on next steps regarding the creation and approval process.
- The sponsor considers feedback received from the UICO and makes further revisions to the new or revised policy, as determined necessary.

3. Policy Approval:

A. President and President's Senior Leadership Team Approval.

- The sponsor presents the final proposed draft policy to the President and the President's Senior Leadership Team for review and approval. This is the final approval step, unless the policy requires Board of Trustees approval. If Board of Trustees approval is required, see step 3.B.

- The sponsor considers the feedback received from the President and the President's Senior Leadership Team.

B. University Board of Trustees Approval.

- The sponsor provides a final draft of the new or revised policy to the President for presentation and recommendation to the Board of Trustees for final approval of the policy.

4. Policy Implementation:

Policy Publication.

- The sponsor (or designee of the Responsible Unit or Department) submits the final, approved policy to the UICO for publication in the Policy and Procedure Library.
- The UICO publishes the policy in the University's Policy and Procedure Library and sends a copy of the final policy and the link to the publication to the sponsor.

B. Maintenance and Policy Review Cycle (applies to all Administrative Policies and University Procedures)

The sponsor, or the designee of the Responsible Unit or Department, shall conduct a timely review of policies and procedures according to the policy and procedure review cycle, as defined above, and by following the below procedures, as appropriate. The UICO will provide a policy and procedure review reminder to the Responsible Unit or Department when the review date is approaching.

- **Review with no revisions.**
  - The sponsor (or designee of the Responsible Unit or Department) will notify the UICO that the policy or procedure has been reviewed with no revisions to be made. The UICO will update the policy or procedure publication to reflect the new review date in the Policy and Procedure Library.
- **Minor Revisions.**
  - If Minor Revisions are necessary, the sponsor (or designee of the Responsible Unit or Department) shall submit Minor Revisions, as defined

by this policy, and their approval to the UICO for updating the policy or procedure publication in the Policy and Procedure Library.

- **Substantive Revisions.**
  - If Substantive Revisions are necessary, the sponsor (or designee of the Responsible Unit or Department) shall make Substantive Revisions, as defined by this policy, and follow the above procedure, Development and Approval Process. University Procedures are exempt from this process and only require approval by the highest-level individual within a Responsible Unit or Department with oversight responsibility of the procedure.

- The sponsor (or designee of the Responsible Unit or Department) will notify the UICO that the policy or procedure has been reviewed with no revisions to be made. The UICO will update the policy or procedure publication to reflect the new review date in the Policy and Procedure Library.

- If Minor Revisions are necessary, the sponsor (or designee of the Responsible Unit or Department) shall submit Minor Revisions, as defined by this policy, and their approval to the UICO for updating the policy or procedure publication in the Policy and Procedure Library.

- If Substantive Revisions are necessary, the sponsor (or designee of the Responsible Unit or Department) shall make Substantive Revisions, as defined by this policy, and follow the above procedure, Development and Approval Process. University Procedures are exempt from this process and only require approval by the highest-level individual within a Responsible Unit or Department with oversight responsibility of the procedure.

C. Rescinding a Policy or Procedure (this applies to Administrative Policies and University Procedures)

- If the sponsor of the Responsible Unit or Department determines that a policy is obsolete and no longer relevant and/or necessary, the sponsor presents this information to the President and President's Senior Leadership and requests approval to rescind the policy. Upon approval by the President and President's Senior Leadership Team, the policy may be rescinded, with the exception of policies approved by the University Board of Trustees. Policies approved by the Board of Trustees must receive board approval to rescind the policy.

- The sponsor submits approval to rescind the policy to the UICO. Upon receipt of approval to rescind a policy, the UICO will take down the policy publication.
- If the sponsor of the Responsible Unit or Department determines that a procedure is obsolete and no longer relevant and/or necessary, the sponsor submits a request to the UICO to rescind the procedure. Upon receipt of the sponsor's request to rescind a procedure, the UICO will take down the procedure publication.

Responsibilities:

The UICO is responsible for oversight, education, and implementation of this policy. Questions regarding the policy development and approval process should be directed to the UICO at policies@louisville.edu.

The sponsor (or designee within the Responsible Unit or Department) is responsible for communication and education about their area's respective Administrative Policies and University Procedures.

Forms/Online Processes:

Policy Resources are available online for additional guidance on the development and approval of an Administrative Policy or University Procedure.

Policy Creation and Approval Process Flowchart

Policy Template

Procedure Template