

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

Phone: 502.852.5709

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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

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.

Reasoning:

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.

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.

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.