



**UP01-001: Policy on University Policies and Procedures**

**Responsible Executive: General Counsel**

**Responsible Office: Office of the General Counsel**

**Related Policies, Procedures: UP01-001.1 Procedure on Policies and Procedures**

**Approval/Effective Date(s):**

**Revision Date:**

**Scheduled Review Date:**

**I. POLICY STATEMENT**

John Carroll University is committed to creating University-wide policies and procedures consistent with the University's Jesuit Catholic mission and core values.

University Policies apply “university-wide” and pertain to more than one division; unite employees and processes in a common effort towards the University’s mission; reduce institutional risks and help ensure compliance with applicable laws and regulations; promote operational efficiencies, mandate behaviors, and establish frameworks for more-detailed operational procedures; require Presidential approval; capture management decisions and provide a record of university operations; and control in the event of a conflict with division, department or unit-level policies.

At John Carroll University, policies and procedures shall frame positive expectations; be written for the well-meaning majority; treat all constituents in a fair and just manner; provide direction, protection, and a philosophical vision; use clear, simple, gender-neutral language; encourage best practices for a pro-active and thoughtful environment; and shall be developed and adopted according to standards which reflect the values and mission of the institution.

Many other important regulations apply to students, faculty, staff, and others – but are not “University Policies” or “University Procedures.” Such regulations or rules are sometimes referenced as “policies” and may include, without limitation, those issued by academic and administrative departments and units. Such policies apply only to the operations, employees, students, vendors, and other constituents of such departments and units. In the event of a conflict between a university-wide policy and a unit-level policy, the University Policy will supersede.

Members of the University community are expected to read, understand, and honor University policies and procedures.

**II. PURPOSE**

The purpose of this University Policy is to ensure that university-wide policies and procedures enhance the mission of the University, and are developed, adopted, distributed and revised according to a standardized process that is consistent with our institutional values.

### III. DEFINITIONS

- A. Comment Period.** The thirty (30) day period during which any member of the University community may submit comments on a proposed policy or procedure.
- B. Constituents.** University departments, offices, officials, units, standing committees, advisory and representative bodies, employees and/or students and others affected by, or responsible for, the subject matter covered by a policy. In drafting a Policy or Procedure for review and approval, the Responsible Office shall consult with appropriate Constituents.
- C. Policy.** A broadly applicable University regulation adopted by the University President and promulgated in accordance with the *Policy on University Policies and Procedures* (UP001-001) and the *Procedure on University Policies and Procedures* (UP001-001.1).
- D. Policy Development Form.** A form used to document a Policy's development, consultation, approval and distribution process.
- E. Procedure.** A broadly applicable University regulation adopted by a University Vice President and promulgated in accordance with the *Policy on University Policies and Procedures* (UP001-001) and the *Procedure on University Policies and Procedures* (UP001-001.1). Every University Procedure must fall under, and operationalize, a University Policy. As such, University Procedures should identify the participants and their responsibilities, lines of authority, and the materials and documents needed to carry out the policy. They should specifically describe protocols, practical methods, or step-by-step instructions, explaining how to carry out the policy.
- F. Responsible Executive.** A designated Vice President or other senior executive with operational responsibilities for the administration of a particular policy, including the promulgation of its procedure(s).
- G. Responsible Office.** A University office with development, operational, and updating responsibilities for a particular policy or procedure.
- H. Standard Policy Template.** The electronic template located on the University Policy Webpage, which is to be used for drafting all policies and procedures.
- I. University Policy Webpage.** The University webpage maintained by the Office of the General Counsel, which serves as an online hyperlinked policy library. This is the only online official source for University Policies and Procedures; other pages may link to this webpage, but may not post their own copies or versions.

### IV. UNIVERSITY POLICY COMPONENTS

- A.** As this Policy and the Standard Policy Template illustrate, a Policy shall include the following four primary sections as a minimum.
- 1. Header Information Section.** This section will include reference number(s) for the policy and any related policy, the policy title, the Responsible Executive and Responsible Office, approval/effective date(s), next scheduled review date and revision date(s).

2. Policy Statement Section. This section states the University’s position, values, and beliefs on various topics, describes the expected outcomes and establishes legal and ethical evaluative criteria for assessing appropriateness of actions.
  3. Purpose Section. This section describes the reason for the policy; why it has been developed.
  4. Footer Section. The footer contains the policy reference number, its title, and pagination.
- B. Other sections deemed necessary or appropriate (e.g. “Definitions”, “Policy Elaboration”, etc.) may be added.

## **V. UNIVERSITY PROCEDURE COMPONENTS**

- A. As this Policy’s associated Procedure illustrates, a University Procedure shall include the following four primary sections as a minimum.
1. Header Information Section. This section will include reference number(s) for the procedure and the policy it seeks to implement, any related policies or procedures, the policy title, the Responsible Executive and Responsible Office, approval/effective date(s), next scheduled review date, and revision date(s).
  2. Purpose Section. This section describes the reason for the procedure; why it has been developed.
  3. Implementation Section. This section includes the specific steps, particular responsibilities, etc., for implementation of the Policy.
  4. Footer Section. The footer contains the procedure reference number, its title, and pagination.
- B. Other sections deemed necessary or appropriate (e.g. “Definitions,”) may be added.

## **VI. ORGANIZATION AND FORMAT**

In order to provide a readable, uniform display of the policy across a wide range of web browsers, the Standard Policy Template displays the appropriate formatting rules. This Policy (UP01-001) and its Procedure (UP01-001.1) illustrate the application of these rules. All cross-references to other policies and procedures, online forms, and webpages shall be selectable hyperlinks in the online version – the University Policy Webpage.

## **VII. NUMBERING SYSTEM**

- A. This Policy (UP01-001) and its Procedure (UP01-001.1) provide examples of the standard numbering system for University policies and procedures.

**B.** A five-digit file code is utilized to identify specific policies so as to facilitate reference and information retrieval. For clarity when referencing policies in other documents, policy numbers are preceded by “UP” for “University Policy.”

**C.** The file code is assigned by the Office of the General Counsel as new policies are developed, as follows:

**1.** The first two digits identify the policy subject area:

01 - General University	06 - University Advancement
02 - Academic Affairs	07 - Human Resources
03 - Business Affairs	08 - Campus Safety
04 - Enrollment	09 - Information Technology
05 - Student Affairs	

**2.** The second three digits are used to identify the numerical sequence of policies and procedures within the designated subject area.

**3.** A policy may stand alone – without a procedure. But every procedure must be enabled by – must fall “under” – a policy. For this reason, procedures are identified and numbered as the enabling policy number, plus a sequential number following a decimal point.