



POLICY ON POLICIES

Policy # AF001.1

Responsible Executive: Vice President of
Administration and Finance

Responsible Office: Operational Review

Originally Issued: May 14, 2015

Latest Revision:

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I. Policy Statement

University of Louisiana at Lafayette's Policy on Policies governs the process for the development, adoption, and management of University Policies. University Policies adopted in accordance with the Policy Procedures outlined herein will be retained in a designated repository and posted on the Official University Policy Website. Only those policies approved in accordance with this Policy will have the force of University Policy. Individuals engaged in the development and maintenance of University Policy shall follow the Policy Procedures outlined herein for the adoption and approval of new University Policies and the amendment or repeal of existing University Policies.

II. Purpose of Policy

Policies connect the University's mission to individual conduct, institutionalize expectations, support compliance with laws and regulations, mitigate institutional risk, and enhance productivity and efficiency in University operations. The purpose of this Policy is to ensure effective communication of University Policies and support ease of use and identification of approved University Policies.

This Policy is designed to provide a uniform University Policy format, ensure a consistent review, adoption, amendment and repeal process, and provide for dissemination and management of University Policies.

III. Applicability

This Policy is applicable to all faculty, administrators, staff, students, individuals affiliated with the University by contract (including non-employees, such as vendors and independent contractors), and visitors.

IV. Definitions

- ✦ **Functional Field:** one (1) of eleven (11) institutional categories by which University Policies are organized.
- ✦ **Interim University Policy:** a temporary University Policy adopted upon the signature of the President or the President’s designee.
- ✦ **Official University Policy Website:** a website designated for the posting of University Policies in the official and current version. The policy documents appearing on the Official University Policy Website are the enforceable versions of University Policies and are controlling authority over other versions of policy published elsewhere.
- ✦ **Policy Number:** the number assigned to a University Policy by the Responsible Office. All University Policies shall be identified by a number of the form **DD.XYZ.V**, where:
 - DD** represents the University’s two letter functional area designation. Functional area designations are listed in Appendix C.
 - XYZ** represents numbers chosen by the Responsible Officer
 - V** represents a version number that is incremented with each revision, rolling over, such that the version after 9 is 10
- ✦ **Policy Procedures:** step-by-step detailed rules or specific actions that provide for orderly implementation of established policies and are more detailed than a policy statement.
- ✦ **Responsible Executive:** the unit head in charge of the Administrative Unit and Responsible Office that creates, implements and is responsible for adoption, revision and management of a University Policy which falls under his or her jurisdiction. Responsible Executive designations and corresponding functional areas are outlined in Appendix C.
- ✦ **Responsible Office:** under the direction of the Responsible Executive, the Responsible Office will develop and administer a particular University Policy and will be accountable for the accuracy of its subject matter, its enforcement, management, and timely updating.
- ✦ **Responsible Officer:** the individual working under the direction of the Responsible Executive responsible for developing, coordinating, and managing the University Policy, including amending or revising the University Policy if there is a change in law/regulations or business process.
- ✦ **System Policy:** the policies enacted by the University of Louisiana System Board as interpretations of the rules and regulations governing the University of Louisiana System including the University of Louisiana at Lafayette and which are referred to as “Policy and Procedures Memoranda (PPM).”
- ✦ **Unit Policy:** a policy adopted by an academic or administrative unit to address specific subject matters that are limited in scope to a particular unit’s operational functions and do not impact units or individuals outside of the academic or administrative unit. A Unit Policy may supplement, but must not conflict with, University Policies.
- ✦ **University Policy:** a policy with broad application throughout the University which enhances the University’s mission, promotes operational efficiencies, reduces institutional risk, helps to ensure coordinated compliance with applicable laws and regulations, and is approved in accordance with the Policy Procedures herein. University Policies do not form a part of any employee’s contract or appointment with the University.

✦ **University Policy Coordinator:** the individual in the Office of Operational Review responsible for review of the proposed University Policy to ensure compliance with System Policies and Federal or State laws and regulations. The University Policy Coordinator will be responsible for the maintenance of a repository of all University Policies, including control of official versions.

V. Policy Procedure

University Policy shall be adopted, maintained, amended and repealed according to the following procedures:

1. Analysis, Approval to Proceed, and Drafting of University Policies

- a. The Responsible Officer for implementing and administering the proposed University Policy shall be responsible for analyzing the issues and drafting the initial proposed University Policy using the Policy Template, which is hereby attached as Appendix A.
- b. To ensure consistency, a Policy Template has been created. Use of the Policy Template facilitates the adoption of clear, concise policies and procedures at all levels of the University. All University Policies should be in the standard Policy Template and all sections shall be included. If a section does not contain any information or is not applicable, the drafter should put “N/A” under the section heading. Policy numbers will be assigned by the Responsible Officer. Please refer to Appendix A for the official Policy Template.
- c. All drafts of proposed University Policy shall be accompanied by the Policy Action Form indicating action at each level of the approval process. Please refer to Appendix B for the official Policy Action Form.
- d. The Responsible Officer shall route the proposed University Policy with the Policy Action Form to the appropriate Responsible Executive. The Responsible Executive shall determine whether University Policy development will proceed.

Note: Some existing University Policies predate this Policy and therefore are not in the Policy Template format. In time, these University Policies should be reviewed and converted to the Policy Template format.

2. Development and Approval for Submission of University Policies

- a. If approved to proceed, the Responsible Officer shall route the proposed University Policy throughout the Responsible Office and relevant Functional Fields encouraging feedback from stakeholders, decision-makers, and constituencies involved in the University Policy issue. The Responsible Officer may consult with the University Policy Coordinator regarding compliance matters, if needed. After receipt of feedback, the Responsible Officer should note any relevant information on the Policy Action Form.
- b. After considering opinions from the constituencies, the Responsible Officer shall route the proposed University Policy, the Policy Action Form, and any supporting policy analysis, to the Responsible Executive, who considers one of the two following actions regarding the proposed University Policy:
 - i. Notify the Responsible Officer that the proposed University Policy is approved for submission and not to be further edited, and note same on the Policy Action Form; or

- ii. Route the proposed University Policy with the Policy Action Form back to the Responsible Officer for further analysis and/or redrafting.
- c. Once the proposed University Policy has been finally approved by the Responsible Executive, he/she shall route the approved proposed University Policy with the Policy Action Form to the University Policy Coordinator for review. Any substantive changes recommended during review by the University Policy Coordinator shall be returned to the Responsible Executive for consideration or additional development. Once all University reviews are completed, the University Policy Coordinator shall submit the proposed University Policy to the Provost to be placed on the University Council agenda.
- d. If the Responsible Executive reports to the Provost, the Provost may either return the document to the Responsible Executive for further consideration or place the proposed University Policy on a future agenda of the University Council. If the Responsible Executive does not report to the Provost, the Provost will place the proposed University Policy on a future agenda of the University Council.

3. Submission for Final Approval of University Policies

- a. The Responsible Executive or his designee shall present the proposed University Policy to the University Council which may approve or reject the proposed University Policy or appoint a policy committee or individual to further develop and revise the Proposed University Policy, or make other recommendations as may be appropriate.
- b. Once University Council has approved the proposed University Policy they will route it for final review to the University Policy Coordinator who will submit the proposed University Policy to the President for consideration and approval and to place on the System Board Agenda if required by System Policy.
- c. A proposed University Policy will become an adopted University Policy when it is signed by the President.
- d. The President will route one copy of the University Policy to the University Policy Coordinator for posting on the Official University Policy Website and dissemination through the Office of Communications and Marketing and route one copy to the Responsible Executive who shall be responsible for maintenance and periodic review of the University Policy.

4. Adoption of Interim University Policies

- a. When conditions and time constraints do not allow for the procedures described herein, the President or his designee may implement an Interim University Policy by signing a policy document and submitting one copy of the Interim University Policy to the University Policy Coordinator for posting to the Official University Policy Website and dissemination through the Office of Communications and Marketing and one copy to a Responsible Executive who shall be responsible for implementation and maintenance of the Interim University Policy.
- b. Interim University Policies shall include an expiration date indicating the date through which the Interim University Policy will remain in force. Interim University Policies may remain in force for up to six months from the adoption date, and shall expire and cease to be effective on that date if not reviewed and approved consistent with this Policy.

5. Revision/Amendment of University Policies

- a. Recommendations for revisions/amendments to existing University Policies should be made to the Responsible Office for the existing University Policy. Substantive revisions/amendments should be approved using the same process for adoption of new University Policies described above. The following minor “clerical” corrections may be made by the Responsible Office without further approval: corrections to reflect the new name of a department or new name or title of an individual; changes to e-mail or website addresses; clarifications of grammar or syntax; and typographical errors. The Responsible Office may revise documents located in the Appendices, References, and Related Materials Section of a University Policy without further approval if such revisions are non-substantive and they do not modify the intent, meaning or focus of the policy.
- b. Policies often contain links to online resources. Sometimes the links can become unusable due to website address changes and other factors. The Responsible Office should review the links periodically to ensure that they are functioning. When modifications to policies are limited to updating links, the policy is not required to be routed through the formal policy approval process.
- c. The date of the most recent revision should be noted at the top of the University Policy, underneath the University Policy’s original approval date. All substantive revisions and “clerical” revisions as described in Section 5(a) above should be annotated in the Revision History section at the end of the University Policy. These annotations should include the dates the substantive revisions were approved or clerical revisions made, as well as a brief summary of the changes within the Policy.

6. Review of University Policies

Every University Policy shall be reviewed a minimum of every five years. It shall be the responsibility of each Responsible Official to ensure that their University Policies are reviewed no less than every five years and sooner if there is a change in the law or other circumstances that necessitate review or potential revision.

7. Posting of University Policies

- a. All departmental or unit web pages shall include a link to the Official University Policy Website instead of posting their own versions of approved University Policies.
- b. Printed versions of University Policies may be included in the student handbook, faculty handbook, staff handbook, announcements and other publications, but such versions must include a disclaimer that the Official University Policy Website should be consulted for the official University Policy.

8. Unit Policy and Procedure

- a. Individual academic or administrative units may generally develop, approve and adopt Unit Policy and Procedure without following the Policy Procedures described herein.
- b. Academic or administrative units are encouraged to use the Policy Template for consistency and completeness in drafting, revising and withdrawing Unit Policy.

- c. Academic or Administrative units may submit questions to the University Policy Coordinator relating to the compliance of Unit Policy with System Policies and University Policies.
- d. In the event of any conflict between a University Policy and a Unit Policy, the University Policy will supersede the Unit Policy.

VI. Enforcement

N/A

VII. Policy Management

Upon adoption, the Vice President of Administration and Finance shall be the Responsible Executive for the management of this Policy. The Office of Operational Review shall be the Responsible Office in charge of maintaining this original Policy document in an official repository, disseminating this Policy, and posting this Policy on the Official University Policy Website.

VIII. Exclusions

University Policies adopted prior to the effective date of this Policy shall remain official University Policies and will continue to have full force and effect.

IX. Effective Date

This Policy shall apply to University Policies proposed, developed, revised, adopted and issued after the effective date of this Policy. The effective date of this Policy is the date it is adopted and signed by the President.

X. Adoption

This policy is hereby adopted on this 14th day of May, 2015.

/s/ E. Joseph Savoie

E. Joseph Savoie
President

XI. Appendices, References and Related Materials

- ✦ Appendix A – Policy Template
- ✦ Appendix B – University Policy Action Form
- ✦ Appendix C – University Policy Responsible Executive List
- ✦ Guidelines for Drafting University Policy
- ✦ Policy Development Checklist
- ✦ Policy on Policies Flowchart Part I
- ✦ Policy on Policies Flowchart Part II

XII. Revision History

Original adoption date: May 14th 2015.