THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

POLICY ON POLICIES

Number 01.01.01

Division Office of the President

Date January 13, 2015

Purpose To standardize UAH policies and establish policies and procedures for the creation, formatting, review and approval process, implementation, publication and renewal cycle of policies.

Policy All University of Alabama in Huntsville university-wide policies are expected to comply with the guidance, formatting, approval process and review procedures that are set forth in this document. A UAH policy is a written statement that has been approved by the President and describes the university’s stance on a particular subject and/or its response to a specific situation.

A. Format. The format of all UAH policies will include a heading with the title of the policy and will have the following sections:

1. Policy Number: assigned by the Senior Vice President for Finance and Administration
2. Division: the Division at UAH responsible for creation and review of the policy
3. Date: date that the policy was created or revised
4. Purpose: a succinct statement providing a rationale for the policy
5. Policy: a description of the policy
6. Procedures: when appropriate, a description of the procedures to be followed to carry out the policy
7. Review: the UAH office responsible for periodically reviewing the policy
8. Approval: provide signature lines for those individuals responsible for the policy recommendation, review, and approval. The policy should be signed by the responsible Vice President who is recommending the policy, other Vice Presidents affected by the policy, Chief University Counsel, and the President.

B. Development of UAH Policy. A policy can be proposed by anyone at UAH by routing the suggested policy or revision to an existing policy (in the proper format) through the appropriate Division’s administrative
channels for review and approval. Administrative channels refer to the appropriate chain of supervisors and the administrative Vice President overseeing the activities of the proposing individual or organization.

The flow for the creation of a new university-wide policy is illustrated below:

1. The individual developing the proposal submits the proposal to his/her supervisor.
2. The supervisor reviews the policy, comments on it and forwards the proposal to the next higher level within the Division's administrative organization. This process is continued until the proposal reaches the responsible Vice President.
3. The responsible Vice President reviews the proposal and requests that a draft policy be developed by the appropriate person(s) or decides against making the proposal into a draft policy.
4. Upon completion of the draft policy, the responsible Vice President discusses the draft policy with the President's Executive Council\(^1\) and, after taking into account the Council's comments, submits the draft policy to the Office of Counsel for legal review.
5. When the finalized draft policy has been approved by the Chief University Counsel, the responsible Vice President requests that the draft policy be placed on the President's Executive Council's agenda for discussion.
6. Simultaneously, the draft policy will be sent to the Faculty Senate, Staff Senate, and Student Government Association, and any other entities impacted by the policy for review. In addition to being transmitted to the several organizations, the draft policy will be posted on myUAH.
7. All reviewers have one month to consider the policy with their respective constituencies and to submit comments and suggested changes in writing to the responsible Vice President. Extension of review time may be requested by any of the organizations to which the draft policy was transmitted. Substantive changes must be accompanied by a justification or rationale for the change. No response from a reviewer within one month will be considered an acceptance of the draft.
8. The responsible Vice President will determine which changes, if any, to include in the draft policy. If the revised draft policy has been changed substantively, then a second review of the

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\(^1\) The President’s Executive Council consists of the President, all Vice Presidents, and Chief of Staff to the President.
revised draft policy will be conducted following the
aforementioned process. After the review is conducted and
comments are received, the draft policy is finalized by the
responsible Vice President. The final draft policy along with an
explanation of any changes received from the reviewers and
not accepted will be submitted to the President for review and
approval.

9. The policy will be numbered appropriately, announced to the
UAH community and posted to the UAH web site by the
Senior Vice President for Finance and Administration.

Area-specific policies, i.e., applicable to a single administrative or
organizational unit, need not follow the creation process of a university-
wide policy but may be put in place by the responsible administrative or
organizational unit officer following consultation with those in his or her
administrative chain up through the responsible Vice President to the
President. Interim policies, i.e., those that must be in place but time does
not permit the normal approval process of a university-wide policy to be
carried out, may be approved by the responsible Vice President and the
President and remain in effect for up to six months. Interim policies must
be labelled as such.

C. Review and Revision of a UAH Policy. To maintain an up-to-date
and relevant set of policies, a regular schedule of review and revision must
be scheduled. The responsible Vice President shall be responsible for
insuring all policies within their purview are reviewed within 90 days of the
policy's five year anniversary. The President may approve revised policies
or may rescind policies at any time.

Recommended revisions to policies should be forwarded as written
suggestions through appropriate channels to the responsible Vice
President for consideration. If a revision is deemed necessary, the
responsible Vice President will follow the policy development process
outlined in B. above. When a policy is revised, it will be reissued with a
notation "Revised (date)" placed in the lower right corner of each page of
the policy. Technical revisions, i.e., non-substantive or editorial revisions,
may be made by the responsible Vice President following consultation with
the President.

When a policy is reviewed and requires no substantive revision, the
responsible Vice President will, within ninety days of the specified review
date, forward a signed copy of the reviewed policy with a notation
"Reviewed (date)" placed in the lower right corner of each page to the
Office of Counsel for legal review. Once the policy has been reviewed
and signed by the Chief University Counsel it will be forwarded to the
President for review and approval. Upon approval by the President, the
policy will be posted to the UAH web site by the Senior Vice President for Finance and Administration.

The Internal Auditor shall be responsible for auditing compliance with this policy and that timely review processes are taking place.

**D. Conflicts with Higher Authority.** Should there be or should there occur at any time a conflict between a UAH policy and a document of a higher authority (e.g., applicable federal or Alabama law or regulations, or policies, by-laws or Board Rules of the Board of Trustees of the University of Alabama) the document of higher authority will prevail. Should there occur at any time a conflict between two UAH policies, the most recently approved policy will prevail. Should there occur at any time a conflict between a UAH policy and any other written or oral statement developed by an operating unit at the university, the UAH policy will prevail.

**E. Policy Numbering Plan.** UAH policies will be classified and numbered according to the following plan for the first two numbers followed by a period (.) and consecutive numbering within that category. For example, this UAH Policy on Policies is numbered 01.01 as the first policy within the category of policies issued by the President.
Policy Number | Issuing Office
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01.01.xx | President
01.02.xx | Athletics
01.03.xx | Compliance
02.01.xx | Provost and Executive Vice President for Academic Affairs
03.01.xx | Vice President for Student Affairs
04.01.xx | Vice President for University Advancement
05.01.xx | Vice President for Diversity
06.01.xx | Senior Vice President for Administration and Finance
06.02.xx | Human Resources Management
06.03.xx | Budget and Planning
07.01.xx | Vice President for Research
07.02.xx | Office of Sponsored Programs
07.03.xx | Office of Technology and Commercialization
07.04.xx | Office of Research Security
07.05.xx | Regulatory Compliance

F. Policy Retention and Access. The Senior Vice President for Administration and Finance will be responsible for maintaining a file of all original policies signed by the President. UAH policies will be made available to all students, faculty and staff through the UAH Policy web page.

Review | The Office of the President is responsible for the review of this policy every five years (or whenever circumstances require).

Approval

[Signature]
Chief University Counsel

Date: 1/3/15