POLICY ON POLICIES GUIDEBOOK

UAH Office of Risk Management and Compliance

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## TABLE OF CONTENTS

I. **PURPOSE** ................................................................. 3

II. **FORMAT** ..................................................................... 3

III. **POLICY TRACKING FORM** ......................................... 3

IV. **DRAFT POLICIES** ...................................................... 4

V. **INTERIM POLICIES** .................................................. 4

VI. **POLICY RESCINDMENT** ............................................ 5

VII. **REVIEW RESPONSIBILITIES** ................................. 5

VIII. **CONTACT** .............................................................. 5

IX. **DEFINITIONS** .......................................................... 6

APPENDIX A: FLOWCHART ............................................. 7

APPENDIX B: QUICK REFERENCES ................................. 8
I. PURPOSE:

UA System Board Rule 108 (policy management) applies to all “policies, handbooks, manuals, and other guides to their organizations and operations” adopted by the System Office and campuses
a. to ensure consistency with other UA System policies
b. to ensure compliance with UA System Board of Trustees Bylaws

UAH Policy on Policies was written to:
 a. standardize UAH policies
 b. establish procedures for the creation, format, review and approval process
 c. establish procedures for the implementation, publication, and renewal of policies
 d. establish procedures for the rescindment of policies

II. FORMAT

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

TITLE OF POLICY

Number is assigned at policy creation by Campus Designee
Division the division responsible for creation and review of policy
Date the date that the policy was created or revised
Purpose a succinct statement providing a rationale for the policy
Policy a description of the policy
Procedures a description of the procedures to be followed to carry out the policy
Review the office responsible for periodically reviewing the policy (every five (5) years or whenever circumstances require).

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.

III. POLICY TRACKING FORM

All drafts must be accompanied by a Policy Tracking Form.

The policy should be routed by the point of contact – typically the administrative assistant to the divisional Vice President. Contact the Campus Designee for assistance with the form.
IV. DRAFT POLICIES

1. Policy development or revision initiated by divisional VP
2. Divisional VP submits to Executive Council for review. If no substantive revisions are made to the draft, continue to step 3
3. Divisional VP submits to Office of Counsel for review. If no substantive revisions to the draft, continue to steps 4a and 4b (simultaneously)
4. a. Divisional VP submits to Campus Designee for review and posting on myUAH.
   b. Divisional VP submits to the following for a 90-day review:
      • Staff Senate
      • Faculty Senate
      • Student Government Association
      • Other campus entities that may be impacted
5. If no substantive revisions to the draft, the Campus Designee submits to the Chancellor's Designee for final review and approval.
6. Divisional VP collects applicable approval signatures:
   a. Campus Designee
   b. Vice President
   c. President
7. Divisional VP submits to the Campus Designee for posting on the website.

See flowchart in Appendix A.

V. INTERIM POLICIES

Policies that are time sensitive must be labeled as "INTERIM." These policies follow the same process above, but are effective after review and approval by the entities named below. A Tracking Form labelled as “interim” is required. Policies will remain in interim status six months from the date the review is completed

1. Policy development or revision initiated by divisional VP
2. Divisional VP submits to Executive Council for review. If no substantive revisions are made to the draft, continue to step 3
3. Divisional VP submits to Office of Counsel for review. If no substantive revisions to the draft, continue to step 4
4. If no substantive revisions to the draft, the Campus Designee submits to the Chancellor's Designee for final review and approval.
5. Divisional VP collects applicable approval signatures:
   a. Campus Designee
   b. Vice President
   c. President
6. Divisional VP submits to the Campus Designee for posting on the website and will remain in interim status six months from the date the review is completed
With the interim now in effect, continue the process with a final policy Tracking Form

7. Divisional VP submits to the following for a 90-day review:
   - Staff Senate
   - Faculty Senate
   - Student Government Association
   - Other campus entities that may be impacted

8. If no substantive revisions to the draft, the Campus Designee submits to the Chancellor's Designee for final review and approval.

9. Divisional VP collects applicable approval signatures:
   a. Campus Designee
   b. Vice President
   c. President

10. Divisional VP submits to the Campus Designee for posting on the website as final policy.

VI. POLICY RESCINDMENT

The President may approve revised policies or may rescind policies at any time following consultation with the Office of Counsel and the Campus Designee. A Tracking Form must be used for rescindments.

Divisional VP collects applicable approval signatures:
   a. Campus Designee
   b. Vice President
   c. President

VII. TIMELY REVIEW RESPONSIBILITIES

To maintain an up-to-date and relevant set of policies, a regular schedule of review must be scheduled. The divisional Vice President shall be responsible for ensuring all policies within their purview are reviewed within ninety (90) days of the policy’s five-year anniversary.

VIII. CONTACT

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IX. DEFINITIONS

Administrative or minor updates are edits that do not materially change the purpose or effect of a policy, such as:

- clarifying, reformatting, or reorganizing existing content
- updating references to applicable laws or regulations
- updating names or contact information
- fixing broken web links

Campus Designee refers to the University President or their designee who acts as the primary resource to help consider whether the proposed policy ensures consistency with other UA System policies and compliance with UA System Board of Trustees Bylaws.

Chancellor’s Designee is the main point of contact for the Campus Designees. Receives the draft policy and specific assurance of compliance from the Campus Designee prior to policy adoption and consults with any subject matter experts in the System Office regarding policies specific to certain functions.

Policies generally describe “what” is expected of “whom” and “why.”

Procedures describe “when,” “where,” and “how” those policy expectations are to be achieved.

Substantive or significant updates that require a second review would include changes that:

- alter the policy’s intent or overarching objective
- modify definitions
- modifications that impact persons covered or responsible units in significant ways
- changes to policy requirements, limitations, rights, or responsibilities
APPENDIX A

POLICY ON POLICIES FLOWCHART

POLICY ON POLICIES PROCEDURES

Step 1: Policy development or revision initiated by divisional VP

Step 2: Divisional VP submits to Executive Council for review
If no substantive revisions are made to the draft, continue to Step 3

Step 3: Divisional VP submits to Office of Counsel for review
If no substantive revisions to draft, continue to Steps 4a and 4b (simultaneously)

Step 4a: Divisional VP submits to Campus Designee for review and posting in myUAH

Step 4b: Divisional VP submits to the following for a 90 day review:
- Student Government Association
- Staff Senate
- Faculty Senate
- other campus entities impacted

Step 5: If no substantive revisions to the draft, the Campus Designee submits to the Chancellor’s Designee for final approval

Step 6: Divisional VP collects applicable signatures* using the Tracking Form and submits final policy to Campus Designee for posting to website

*Campus Designee -> University Counsel -> Divisional Vice President -> President

If the revised draft policy has been changed substantively at any point during the process, then a second review of the revised draft policy will be conducted following the aforementioned process.
Policy, Procedure, or Guideline?

**Policy**
“what” is expected of “whom” and “why.”

**Procedures**
“when,” “where,” and “how” to achieve expectations

**Guidelines**
suggestions for best practice
Policy Statement

UAH strives to promote an organizational culture that encourages ethical conduct and compliance with the law by creating a safe environment where faculty, staff, and students can and are expected to raise concerns about possible misconduct without retaliation.

"Why?"  "Whom?"  "What?"
Procedures

When individuals have concerns relating to Wrongful Conduct, they may report through one or more of the tools listed below.

1. Notifying a supervisor or;
2. Submitting a report through UAH Ethics hotline or;
3. Submitting a report through Charger 360

"When?"  "Where?"  "How?"
Guidelines

In most cases, a direct advisor, manager, or supervisor may be the person best suited to address concerns.

In situations where an individual prefers to place an anonymous report in confidence, the individual is encouraged to use the UAH Ethics hotline, hosted by a third-party provider.
Tip #1:

When drafting policy statements, aim for short, succinct sentences.

Tip #2:

Only include the "what", "whom" and "why" elements

Tip #3:

Keep procedure-only or guideline documents referenced in the policy separate so they can be updated as needed
REMEMBER:

New policies and substantive or significant updates to existing policies are subject to the policy development standards of Board Rule 108 and must go through its approval process.
REMEMBER:

Non-substantive or minor updates to policies may be processed at the campus level.

The President may approve these policies at any time following consultation with the Office of Counsel and the Campus Designee.
<table>
<thead>
<tr>
<th><strong>Substantive Edits</strong></th>
<th><strong>Non-Substantive Edits</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Alter the policy’s intent or overarching objective by:</td>
<td>Do not materially change the purpose or effect of a policy</td>
</tr>
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