

Procedure 1001-PR1: Developing University Policies & Procedures

Associated Policy: 1001, University Policy System
Effective Date: 2025/03/17
Latest Revision: 2025/03/17
Category: Governance and Authority
Subcategory: None

POLICY STATEMENT (POLICY 1001 Section 2.1.3)

University procedural documents outline specific details that must be carried out in accordance with shared governance principles and the Policy Lifecycle. University Policies are initiated, developed, approved, implemented, evaluated, and retired according to the following procedural documents:

- 1001-PR2: New and Substantively Amended Policies
- 1001-PR3: Interim Policies and Amendments
- 1001-PR4: Scheduled Review of Existing Policies
- 1001-PR5: Non-substantive and Required Amendments
- 1001-PR6: Retirement of Policies
- 1001-G2 USU's Flowchart for Policy Consideration and Approval

PURPOSE

This procedure outlines the types of policy revisions available, how policies are categorized, and which University entities are required to approve policies.

Policy Lifecycles are designed to map out the processes policy development teams and Policy Custodians will follow to maintain their policies appropriately. The Policy Office maintains the Policy Lifecycles and other tools and is available to assist teams, Policy Custodians, and Responsible Executives in their policy-related duties.

DEFINITIONS

Definitions in this Procedure shall be as set forth in Policy 1001, University Policy System, Section 5, and as outlined below.

TYPES OF UNIVERSITY POLICY REVISIONS

Policies and amendments may be proposed by demonstrating a legitimate need and alignment with the university's mission. University policy should be implemented or revised with the Policy Officer, Office of General Counsel, University Ethics and Compliance, and applicable stakeholders. Each type of proposal will be governed by a common framework and follow a specific lifecycle depending on the nature and impact of the proposed policy or amendment.

New and Substantively Amended Policies – A new policy or amendment that impacts the applicability, scope of a policy, or membership or will change the interpretation of the amended policy. New policy may be initiated due to federal, state, or local statutes or as required by the Utah Board of Higher Education. The process for these revisions is outlined in 1001-PR2: New and Substantively Amended Policies.

Non-substantive and Required Amendment – An amendment that may be referred to as a “minor amendment” and includes organizational title changes, legal changes such as updating of references to statutes or policies that have been approved or have been reauthorized under a new name, and/or other changes that do not substantively change the established scope or applicability of policies and/or internal controls of the University. These changes may be initiated by the Office of General Counsel when new statutes or regulations require a change. A defining characteristic of a non-substantive amendment is that no amount of feedback would negate the need for the changes, and the changes require little or no campus community input or communication. The process for these revisions is outlined in 1001-PR5: Non-substantive and Required Amendments.

Interim Policy – A policy or amendment that must be made without delay to avoid compliance risks attendant to changes to statutes, regulations, rules, standards, or policy through legislative, agency, or judicial action. This could include a finding by an agency that the University has not adopted a compliant policy related to external regulations, or a University Regulation is found to be inconsistent with a lawful interpretation of underlying External Regulation. Regulations that require approval by external agencies, such as the Utah Board of Higher Education, may also be implemented as an Interim Policy while awaiting approval. The process for these revisions is outlined in 1001-PR3: Interim Policies and Amendments.

UNIVERSITY POLICY CATEGORIES

University Policies are assigned within categories by the Policy Officer and the Responsible Executive. The University utilizes a 4-digit numbering system and a policy library comprised of the following categories:

- Governance and Administration
- Community Expectations
- Human Resources
- Academic Affairs
- Facilities, Operations, and Information Technology

Governance and Administration – This category includes foundational policies that may be based on state legislation. These policies outline the authority delegated to University leaders and how the University is governed. All University employees and students are subject to these policies.

Community Expectations - This category includes policies that define the University’s expectations, rights, and responsibilities for all University employees, students, and visitors. It establishes the values and principles that the University will uphold.

Human Resources – This category includes policies on benefits, compensation, responsibilities, and rights for all University employees.

Academic Affairs – This category includes the Faculty Code and expectations for research. These policies apply to faculty and researchers.

Facilities, Operations, and Information Technology – This category includes policies related to the University’s general operations, finance, media and brand, and information technology. These policies apply to all University employees.

POLICY APPROVAL

The draft of a new policy or substantively amended policy, Executive Summary, and Policy Implementation Plan will be presented to the appropriate University committees. The content of the policy

and the primary individuals impacted by the policy will dictate the appropriate committees. Generally, the committees that approve policy for each category are as follows:

- **Governance and Administration**
 - Leadership Council
 - President
 - Board of Trustees
- **Community Expectations**
 - Leadership Council
 - President in consultation with the Board of Trustees
- **Human Resources**
 - Leadership Council
 - President in consultation with the Board of Trustees
- **Academic Affairs**
 - Leadership Council
 - President in consultation with the Board of Trustees
The President consults with the Board of Trustees on policies concerning tenure or post-tenure review, faculty performance, or dismissal. These policies do not require approval by the Faculty Senate.
 - Faculty Senate
Policies concerning academic requirements or course curriculum require approval from the appropriate Faculty Senate Sub-committee and input from Faculty Senate.
- **Facilities, Operations, and Information Technology**
 - Leadership Council
 - President in consultation with the Board of Trustees
Budgetary policies or topics, such as the organization of faculty and administration, require approval by the Board of Trustees.

In addition, the Utah Board of Higher Education may be required to approve policies based on statute. Any above-named approvers may approve, remand for modification, remand to additional individuals or bodies for review, or reject the policy. The Policy Officer shall post the policy in the University Policy Library once all appropriate committees have approved the policy.

HISTORY

2025/03/17 Procedure approved for implementation at the publication of Policy 1001, University Policy System.

ADDITIONAL INFORMATION

Related USU Policies, USHE Rules, or Regulations

- Policy 1001: University Policy System
- [Utah Administrative Rulemaking Process](#)

Related Procedures

- 1001-PR2: New and Substantively Amended Policies
- 1001-PR3: Interim Policies and Amendments
- 1001-PR4: Scheduled Review of Existing Policies
- 1001-PR5: Non-substantive Revisions

- 1001-PR6: Retirement of Policies

Guidance

- 1001-G1: USU Flowchart for Policy Consideration and Approval
- 1001-G2 through G6: Policy Lifecycle
- 1001-G7: USU Policy Style Guide
- 1001-G8: Policy Categories
- Policy Template

Related Forms and Tools

- 1001-F1: Policy Substantive Revision Form
- 1001-F2: Policy Non-substantive Revision Form
- 1001-F5: Executive Summary
- 1001-F6: Policy Retirement Form
- Policy Review Calendar
- USU Compliance Framework