

University Policy 1001: University Policy System

Category: Governance and Administration

Subcategory: N/A

Covered Individuals: All University Employees and Students

Responsible Executive: Sr. Vice President & General Counsel

Policy Custodian: Policy Office, Policy Officer

Last Revised: 2025/10/28

Previous USU Policy Number: 200, 201, 202, and 203

1001.1 PURPOSE AND SCOPE

This Policy sets forth a uniform standard for establishing, amending, maintaining, and retiring University Policies. This Policy does not apply to [Academic Policies](#).

A defined and effective policy system promotes shared governance, ensures strategic and operational effectiveness, protects institutional resources, mitigates risk, and enhances compliance and accountability.

1001.2 POLICY

The President promulgates University Policies in accordance with statutory authority as outlined in Utah Code Section 53H-3-303. [University Regulations](#) may require or prohibit specific actions of employees, students, and visitors who use or seek to use University resources or services.

2.1 University Policy Development and Management

2.1.1 Policy Custodian and Responsible Executives

Each [University Policy](#) is assigned a Responsible Executive and a Policy Custodian. General responsibilities for Policy Custodians and Responsible Executives are outlined within Section 1001.3 of this Policy.

2.1.2 Shared Governance

University Policy is developed with input from the campus community, which may include, as appropriate, faculty, staff, students, or key stakeholders. Policy Custodians or Responsible Executives will seek input during the policy development phase from the [University Campus Community](#) through participation in benchmarking or data gathering, a public comment period, or other methods. USU provides avenues for the campus community to submit input or feedback on any University Policy at any time through the Policy Office or Policy Custodians. The President will seek consultation or approval from the Board of Trustees in accordance with Utah Code Sections 53H-3-303 and 53H-3-406, as well as Utah System of Higher Education (USHE) guidelines.

2.1.3 The University Policy Lifecycle

University Policies are initiated, developed, approved, implemented, and evaluated in a framework called the [Policy Lifecycle](#). Within each step of the University Policy Lifecycle, specific actions establish consistent practices for maintaining policies at the University.

The President delegates authority to develop the process related to the policy lifecycle to the Policy Officer in consultation with the Office of General Counsel and the University Policy Advisory Committee. University procedural documents 1001-PR2 through 1001-PR6 outline procedural steps that must be carried out in accordance with shared governance principles:

- 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

Consistent with the procedures implementing this Policy, the Policy Custodian will include relevant stakeholders in the policy development process, including the Faculty Senate and Staff Employee Association, where appropriate, based on the policy category and nature of the policy action (e.g., new policy vs. non-substantive and required amendments).

2.1.4 Organization of the University Policy System

The President delegates authority to organize the [University Policy Library](#) and establish appropriate policy categories to the Policy Officer and Office of General Counsel.

When new policies are drafted, the Policy Officer and Responsible Executive, in consultation with the Policy Custodian, will determine the most appropriate policy category for the new policy. University Policies are assigned within categories based on factors that may include the policy's content and the individuals or entities to which the policy applies. All University Policies must be published on the Policy Office website.

2.2 Regulatory Hierarchy

University Policies are subordinate to [External Regulation](#), including federal and state law. University Policies are also subordinate to USHE policies and the authority of the Board of Trustees and the President. Once approved pursuant to the appropriate process, University Policies supersede all previous existing policies. The order of precedence regarding regulations is as follows:

External Regulation

1. Federal statutes, rules, or regulations;
2. State statutes, rules, or regulations;
3. Court rulings on federal or state statutes that have the effect of nullifying or altering the operation of federal, state, or local laws; and
4. USHE Rules (unless a university policy is more specific).

University Regulation

5. University Policy;
6. [University Procedures](#);
7. [University Policy Guidance](#) and forms and other documents designed to interpret and implement University Policy and University Procedures; and
8. [Supplemental Regulations](#), including unit-level policies, procedures, standards, and/or guidance.

2.3 Interim Policy

An interim policy may be instituted when a policy or amendment warrants immediate implementation, including to avoid compliance risks due to changes to statutes, regulations, rules, standards, or policy through legislative, agency, or judicial action, when the risk of delaying the adoption of a proposed policy outweighs the risk of delaying the gathering of stakeholder feedback, or when the policy is pending approval through external agencies. The President will institute the interim policy in consultation with the Office of General Counsel and the Responsible Executive. Use of the interim policy is unusual and must be documented by the Policy Officer.

The effective term of an interim policy must be fewer than 12 months. The President may approve exceptions to the term length.

2.4 Supplemental Regulations

The President delegates authority to specific entities within the University to promulgate Supplemental Regulations. These entities include but are not limited to, campuses, colleges, divisions, departments, and centers. Supplemental regulations include policies, procedures, standards, and guidance that apply to a specific unit or specific functions within the unit without broad application to the University. They govern only the operations and management of those entities.

Supplemental Regulations may be more restrictive than their corresponding University Regulations but may not be less restrictive. Supplemental Regulations must comply with state and federal statutes, rules, or regulations and be consistent with the intent and purpose of University Regulations. Departments that implement Supplemental Regulations must notify employees of any expectations regarding these regulations and provide appropriate training.

Supplemental Regulations are not subject to the approval, review, and retirement process outlined in this policy. However, the President, in consultation with the Office of General Counsel, reserves the right to repeal any Supplemental Regulation.

1001.3 RESPONSIBILITIES

3.1 The President

The President has the authority to establish policies for the administration and operation of the University and to establish, implement, and maintain the policy proposal, review, and retirement process. The President may consult with or assign policy-related deliberations to the University Policy Advisory Committee as appropriate. The responsibility of the President to carry out the Utah Board of Higher Education policies is outlined within Utah Code Section 53H-3-303.

3.2 Board of Trustees

The Board of Trustees reviews, advises on, and approves certain university policies, including policies related to budget and finance, the constitution, government, and organization of the faculty and administration, and other matters as outlined in Utah Code Section 53H-3-303.

3.3 Governance and Policy Action Council

The President authorizes the Governance and Policy Action Council to recommend, review, and approve processes and procedures for implementing the policy development, review, and retirement process.

3.4 University Policy Advisory Committee

The University Policy Advisory Committee includes campus stakeholders that advise and support the Policy Officer. This standing committee recommends updates to processes for creating, revising, reviewing, implementing, and retiring University policy. The committee may also serve in an advisory capacity for units establishing or reviewing Supplemental Regulations.

3.5 Responsible Executive

The President delegates authority to Responsible Executives to implement regulations and maintain compliant, efficient, and effective operations in their assigned areas within the University. Responsible Executives authorize the policy drafting and development process. They are responsible for moving the proposed policy through the review and approval process. Additionally, they are responsible for reviewing existing policies based on the designated review cycle. A list of assigned Responsible Executives by policy is outlined in 1001-G9 Responsible Executives and Policy Custodians.

3.6 Policy Custodian

The Responsible Executive delegates responsibility to a Policy Custodian for compliance within a specific functional area based on position or specific content knowledge. Policy Custodians draft and review policy under the direction of the Responsible Executive. Policy Custodians will collaborate with the Policy Officer, compliance owners and partners, and critical stakeholders as a policy development team to conduct research, draft the policy or modifications, and develop a training and communication plan. Policy Custodians will solicit input from the University Campus Community and provide opportunities for feedback on how the proposed policy impacts them. Policy Custodians determine the appropriate level of feedback necessary based on the nature of the policy or required changes and incorporate feedback into the policy as appropriate. Along with the policy or amendments submitted for approval, a Policy Custodian will submit to the applicable approval bodies, including the President and the Board of Trustees, an explanation of the Policy Custodian's decisions related to soliciting, collecting, and incorporating feedback as applicable. Policy Custodians implement approved policies, monitor compliance, provide ongoing evaluation, and schedule reviews or recommend the [Retirement of Policies](#) assigned to them. A list of assigned Policy Custodians by policy is outlined in 1001-G9 Responsible Executives and Policy Custodians.

3.7 Policy Officer

The President authorizes the Policy Officer to develop processes and procedures for implementing the policy proposal, review, and retirement process in consultation with the University Policy Advisory Committee and subject to approval by the Governance and Policy Action Council.

The Policy Officer supports Policy Custodians (as defined in Section 3.6) and policy development teams in drafting, reviewing, editing, amending, and retiring university-level policies. The Policy Officer ensures that Policy Custodians and Responsible Executives (as defined in Section 3.5) follow the processes and procedures outlined in this policy. The Policy Officer maintains and archives all policy records, such as the policy review calendar, historical documents, forms, and exceptions such as interim designation.

3.8 Office of General Counsel

The Office of General Counsel advises University departments or units responsible for promulgating University Regulations. This office reviews the scope and regulatory impact of proposed or amended policies in comparison to federal, state, and local statutes or court rulings.

3.9 University Campus Community

The University Campus Community includes USU faculty, staff, and students. Community members are invited to participate in the policy development process by providing feedback during a public comment period. University Campus Community members may also submit feedback for any University Policy, propose additions or changes to existing University Policy, or propose new university policies online at any time. Content experts may be invited by Policy Custodians to participate in policy development by benchmarking against peer institutions or gathering data.

1001.4 REFERENCES

- [Utah Code Title 53H, Chapter 3, Section 303](#)
- [Utah Code Title 53H, Chapter 7, Part 3 Student Liberties Protection Act](#)
- [USHE R201: Presidents' Responsibility to the System, the Assigned Institution, and for Legislative Relations](#)

1001.5 DEFINITIONS

Academic Policies. A policy that applies to courses, grading, instruction, curriculum, academic program requirements, minors, majors, certificates, degrees, academic credit, transfer credits, credit equivalencies, general education, and academic progress.

External Regulation. A binding statute, rule, agency regulation, or policy issued by federal, state, or local government or regulatory bodies (including the Utah Board of Higher Education).

Policy Lifecycle. A step-by-step process that includes establishing, amending, maintaining, and retiring University Policy as contained within USU guidance documents.

Retirement of Policy. Removal of a policy that no longer addresses a required statutory or regulatory purpose, which has been superseded by a new policy, or is no longer aligned with USU's mission. Retirement of a policy must be considered during each scheduled review.

Supplemental Regulations. Regulations that apply only within a specified unit of the University. Supplemental Regulations may be referred to as "college policy," "departmental procedure," or "statements of procedures" and identify the specific administrative units for which they are applicable. They specify additional details about implementing University regulations within the specified administrative unit. These regulations may be more restrictive than University policy but may not be less restrictive.

University Campus Community. University Campus Community members include Utah State University faculty, staff, and students.

University Policy Guidance. A written document or visual representation that provides practical information. Guidance is not authoritative and usually focuses on a specific operational aspect of a policy or procedure.

University Policy Library. An online repository of all University Policies accessible to the University Campus Community and the public. The library is organized into various categories based on the content and covered individuals. It includes all current policies and details about effective dates and review dates. The Policy Office maintains the University Policy Library.

University Policy. An authoritative statement addressing governance, philosophies, principles, or general concepts inherent in carrying out the mission of the University with broad application or impact throughout the University.

University Procedure. Sets forth the steps necessary to implement a University Policy and achieve policy objectives consistently. University Procedures outline and define the processes to appropriately perform a task or carry out the University's business activities.

University Regulations. The internal body of policy, procedures, standards, and guidance is issued under the authority of the University President and distributed to members of the USU community. University Regulations inform how to implement federal and state statutes, rules, policies, or guiding principles for the University's governance and operations in accordance with USU's mission.

Information below is not included as part of the contents of the official policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the president.

RESOURCES

Procedures

- [1001-PR1: Developing University Policies & 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 of Existing Policies](#)
- [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: USU Policy Categories](#)
- [1001-G9: List of Responsible Executives & Policy Custodians](#)
- [Policy Template](#)

Related Forms and Tools

- [1001-F1: Policy Substantive Revision Form](#)
- [1001-F2: Policy Non-substantive Revision Form](#)
- [1001-F3: Interim Policy Justification Form](#)
- [1001-F5: Executive Summary](#)
- [1001-F6: Policy Retirement form](#)
- [USU Compliance Framework](#)

Contacts

- [Policy Officer](#)
- [Policy Custodians](#)
- [Compliance Matrix](#)

POLICY HISTORY

Original issue date: 2025/03/17

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