POLICY DEVELOPMENT PROCESS

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Effective:	August 9, 2021
Prior Versions:	None
Responsible Office:	Executive Policy Committee
Review By:	August 2026

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I.   OVERVIEW AND SCOPE

This policy governs the process by which official Auburn University at Montgomery ("**University**") policies are proposed, drafted, amended, approved, and communicated to campus stakeholders.

University policies subject to this process typically address significant operational matters or apply to all or a large portion of the campus community. Such policies also may be required by external legal authorities.

Rules and policies that govern only the internal operations of individual University units, colleges, offices, or departments are not subject to the processes described herein but must be consistent with official University policies. If internal rules or policies conflict with a University policy, then the University policy will control.

All University policies must be consistent with applicable legal authorities and Board of Trustees policies, resolutions, and other directives.

II.   EXECUTIVE POLICY COMMITTEE

The Executive Policy Committee ("**Committee**") supervises and coordinates the University's policy process and advises the Chancellor regarding whether proposals merit approval.

The members of the Committee are the Chancellor, the Provost and Senior Vice Chancellor, the Vice Chancellor for Financial and Administrative Services, the Associate Provost for

Enrollment Management and Student Affairs, the Chief Information Officer, and the President of the Faculty Senate.

The Committee will be chaired by the Provost, who will supervise Committee meetings and coordinate administrative tasks in consultation with other Committee members. Committee members may delegate their authority and responsibilities if temporarily unable to attend Committee meetings.

The Committee may determine the manner in which it deliberates and conducts the activities described herein. The Committee is not required to hold formal votes on matters it is charged with deciding.

The Committee must maintain an online database of official University policies that is accessible by the University community.

III.   POLICY DEVELOPMENT PROCESS

The Committee must ensure that policies and amendments are developed according to the process described in this Section III. References to policy proposals and drafts include proposals and drafts of policy amendments.

During this process, the Committee may consult as it deems appropriate with University stakeholders and other individuals and groups outside the University. The Chancellor may modify this Policy Development Process at any time.

Step 1: The policy proposal is submitted to the Committee.

University policies may be proposed by any member of the University community, including individuals or groups of University faculty, administrators, staff, or students, an academic or administrative unit (*e.g.*, a college or office), or a University senate. In doing so, proposers are strongly encouraged to work within their administrative reporting structure, if applicable. Policies also may be initiated by the Committee itself.

To propose a new policy, the proposer should complete the Policy Proposal Form, which is Exhibit A, and submit it to the Provost, who chairs the Committee.

Step 2: The Committee reviews the proposal and assigns a drafter, if appropriate.

The Committee may review completed proposals and determine whether they merit exploration, refinement, and/or discussion with appropriate stakeholders. A proposer must cooperate with the Committee's requests regarding further development of the proposal, including requests for revisions and additional information.

After completing its review, the Committee may determine that a proposal should be converted into an initial draft policy. In that case, the Committee should assign a drafter, which may be the proposer, any other University stakeholder, and/or a member(s) of the Committee. The Committee is not obligated to take action on a proposal.

Policy drafts should adhere to the format reflected in Exhibit B. Policies need not conform to a pre-defined heading structure but should be organized and written to convey information as clearly and concisely as possible.

The Committee may give further direction to drafters regarding the content, scope, formatting, and organization of proposed policies.

Step 3: The Committee reviews the draft policy.

After a draft policy is completed, the Committee may review it and require modifications, additional information, consultation with affected units, or other changes or conditions. The Committee is not obligated to take action on a draft policy.

Step 4: The Committee distributes the draft policy for comments by the University community.

After completing its review, the Committee may determine that a draft policy should be advanced for final consideration. If so, the Committee must distribute the proposed policy to the University community by posting it online in a manner that is accessible to all faculty, students, staff, and administrators. The University community may provide comments on the proposed draft for a period of at least twenty business days. The Committee also may specifically invite or require comment from particular stakeholders.

Step 5: The Committee reviews comments and finalizes the policy.

After expiration of the comment period, the Committee must review all comments and determine whether corresponding revisions to the draft are appropriate. The Committee is not required to incorporate comments but should give serious consideration to the views of the University community.

After reviewing comments, the Committee may require modifications to the proposed policy that it deems appropriate. The Committee is not required to re-circulate a revised draft policy for additional comment after it has been posted for the twenty-day period.

The Committee must determine whether a proposed policy requires other internal University approvals, including the Board of Trustees. If other approvals are required, then the Committee must coordinate that effort.

Step 6: The Chancellor may approve the proposed policy.

After completion of the process described above, the Chancellor may approve, decline to approve, or take no action regarding a proposed policy.

Policies are considered to be adopted and effective only upon approval by the Chancellor, except that policies requiring Board of Trustees approval are considered to be effective upon Board approval.

The Committee must maintain an online database of official University policies that is accessible by the University community. After a policy is approved, the Committee must ensure that it is communicated and distributed promptly to appropriate University stakeholders. The Committee also may coordinate directly with the unit(s) responsible for administering the policy, to ensure that it is appropriately implemented.

IV. INTERIM POLICIES

In exceptional cases, the Chancellor may approve interim University policies and amendments in order to address urgent health, safety, legal, compliance, and/or operational needs.

Interim policies and amendments approved pursuant to this Section IV must be posted for comment, as described in Section III, within ninety days of the interim approval. Thereafter, the interim policy is subject to the process described in Section III, including modification and permanent approval by the Chancellor if appropriate. The Chancellor may rescind an interim policy prior to permanent approval.

V. AMENDING AND RESCINDING POLICIES

Amendments to University policies must be proposed, drafted, posted for comment, approved, and communicated according to the process described in Section III.

Similarly, University policies may be rescinded according to the process described in Section III.

The Chancellor may approve amendments to existing polices in order to clarify ambiguous language or correct minor errors without following the process described in Section III.

A policy may be amended or rescinded on an interim basis as described in Section IV.

VI. PERIODIC POLICY REVIEWS

The Committee should periodically review each University policy to ensure that it remains consistent with institutional needs, legal requirements, and best practices. Before

recommending a policy for approval, the Committee should identify the time period during which that policy should be reviewed (*e.g.*, every five years).

Proposed policy amendments arising from these periodic reviews must be handled in accordance with the process described in Section III.

VII.   ADMINISTRATIVE AUTHORITY

University policies are not contracts. Rather, they are a collection of administrative requirements and standards that govern the conduct of University business. University administrators, executives, and other campus leaders retain the authority to exercise the customary functions of management in accordance with these policies. University policies may be modified at any time pursuant to the processes described herein.

POLICY PROPOSAL FORM

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YOUR NAME / OFFICE: _____

YOUR AUM CONTACT INFORMATION: _____

IS THIS A PROPOSAL FOR A NEW POLICY OR AMENDMENT OF AN EXISTING POLICY? (You may check both if applicable.)

☐ **NEW POLICY. DESCRIBE THE GENERAL SUBJECT OF THE POLICY:** _____

☐ **AMENDMENT.   IDENTIFY WHICH EXISTING POLICY / POLICIES YOU PROPOSE FOR AMENDMENT:**
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1. **Describe the content of the proposed policy or amendment, focusing on, if applicable, (i) the scope and purpose of the policy or amendment; (ii) a description of the offices/groups to be governed by the policy (*e.g.,* all employees, all students, campus visitors, etc.); (iii) a brief statement of the basic rules or governing principles reflected in the policy; (iv) general description of relevant procedures that would be included in the policy or amendment; (v) legal or other external authorities that require or govern the policy; and (vi) deadlines or other timing considerations that apply.**

2. **Describe the existing needs or challenges that the proposal would address or solve.**

3. **What University units would administer or implement the policy?**

4. **What University colleges, departments, offices, and/or other units should be consulted regarding this proposal? Describe efforts to date to discuss this proposal with those stakeholders.**

5. **Describe additional information that you believe is necessary to advance this proposal, if any.**

EXHIBIT B: POLICY TEMPLATE

[INSERT POLICY TITLE]

Effective: [Leave this date blank.]

Prior Versions: [Insert prior revised and original dates, if applicable]
                                       Revised [DATE]
                                       Revised [DATE]
                                       Original effective [DATE]

Responsible Office: [INSERT]

Review By: [Date will be assigned by Executive Policy Committee]

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[Insert the proposed draft policy or, if a proposed amendment, a redlined version of the existing policy to be amended. Policies need not conform to a pre-defined heading structure but should be organized and written to convey information as clearly and concisely as possible. For example, it is often useful to include an initial brief statement of the purpose of the policy and overview or summary. Governing rules and principles should be stated directly and clearly. It also may be helpful to include separate sections that identify step-by-step procedures to be followed, if applicable, and that define key terms or phrases.]