



Policy Title: Policy on Policies

Policy Number: POL.101

Policy Owner: Executive VP for Compliance, Accreditation and Institutional Effectiveness

Responsible Office: Executive VP for Compliance, Accreditation and Institutional Effectiveness

Revision Date: 9/5/2017

1. Purpose and Scope

This policy on policies establishes consistent definitions, processes and formatting for all university policies, including scope and frequency of oversight. The policy further serves to ensure that all university policies:

- are appropriately reviewed and approved prior to implementation, as well as maintained over time;
- are effectively communicated and easily accessible;
- are internally consistent; and
- comply with applicable legal and regulatory standards.

Individuals who are responsible for writing, updating and distributing university-wide policies must comply with this policy.

2. Policy

University policies are vital to establish clear and well understood standards for individual conduct, clarify institutional expectations, promote compliance with federal, state and accreditation requirements, and support productivity.

The University uses a standard policy format and a uniform review and approval process for University Policies. University policies shall be kept current, and shall be made available in a timely manner on the NAU policy site.

3. Definitions

Policy: A University Policy is a written plan or general course of action, having broad application throughout the University. All staff, faculty and students at North American University are expected to comply with University policies. The Faculty Handbook contains additional policies that pertain only to Faculty members which are not included in the NAU policy site (<http://www.na.edu/about/nau-policies/>). Similarly, the Academic Catalog and Student Handbook contains some policies that pertain only to students.

Responsible Office: The “Responsible Office” is the University office or unit responsible for proposing a new policy, reviewing an existing policy and/or answering inquiries about a specified policy. The “Responsible Office” may also be responsible for monitoring the effectiveness and ensuring compliance with a policy.

Policy Owner: The Policy Owner is the larger division under which the Responsible Office reports. In some cases, the Policy Owner and Responsible Office are the same.

Procedure: A procedure is a guideline or series of interrelated steps taken to help implement the policy. University procedures:

- should identify and link to the applicable university policy,
- should be written in a format that is easy to follow, using numbers or bullets to delineate steps to be followed, and

- should be reviewed and updated as necessary.

Standard Operating Procedures: Standard Operating Procedures (SOP's) shall be established by academic or administrative units to facilitate the day-to-day business operations of and within a particular unit. They are distinguished from university policies because they do not directly or substantially affect procedural or substantive rights or duties of units or individuals outside of the adopting unit. Standard Operating Procedures are not subject to this Policy on Policies but should be clearly written and well communicated to those subject to the SOP. SOP's are not posted to the NAU policy website, but are typically housed on the unit's website and/or distributed within the unit as hard copies.

4. Procedures

Policy Development

1. When a new policy is needed, the appropriate Responsible Office drafts the policy in consultation with the Policy Owner and other related offices. Once drafted, the Responsible Office submits the policy to the Office of Compliance, Accreditation, and Institutional Effectiveness. The policy draft must be accompanied by the policy approval form. The form identifies the responsible office, policy owner, other related offices, and also highlights the rationale for the new policy or for any substantive changes to an existing policy.

2. The Office of Compliance, Accreditation, and Institutional Effectiveness reviews the draft policy and provides feedback and edits, if any, to the Responsible Office. After changes are incorporated, the Policy Owner shares the draft policy with the Administrators along with the policy approval form. Administrators are expected to communicate the draft policy with the offices they oversee, and sign the form indicating their review and approval. The Policy Owner shall be informed of any concerns or revision requests.

3. Once the review and revisions are finalized, the policy and completed form are submitted to the Office of Compliance, Accreditation, and Institutional Effectiveness for final approval.

4. Following approval, the Office of Compliance, Accreditation, and Institutional Effectiveness works with UMCR for posting the policy on the University web site and informing the campus regarding the new policy.

Policy Format

To ensure consistency, a standard policy template has been created. Use of the standard policy template facilitates the adoption of clear, concise policies and procedures throughout the University. All policies must conform to the standard policy template. All mandatory sections and applicable optional sections in the template must be included. Policy numbers will be assigned by the Office of Compliance, Accreditation, and Institutional Effectiveness.

Policy Dissemination

All policies are posted on the University's policy website by the Office of Compliance, Accreditation, and Institutional Effectiveness. Any electronic republication of, or reference to a policy by any university unit must be by hyperlink to the NAU policy website (<http://www.nau.edu/about/nau-policies/>). An email to campus will notify University members of new and currently reviewed policies.

Policy Review and Revisions

Each Responsible Office shall periodically review corresponding policies every two years at a minimum. They shall determine whether a policy is reaffirmed with no changes or only minor edits, or requires revision or rescission because of a change in applicable law or business process. When revisions are necessary to a policy, the Responsible Office should discuss the changes with the Policy Owner and Office of Compliance, Accreditation, and Institutional Effectiveness.

For reaffirmation with no changes or only minor edits, the policy will be submitted to the Office of Compliance, Accreditation, and Institutional Effectiveness for final approval.

For a policy revision;

1. The Responsible Office revises the policy in consultation with the Policy Owner and other related offices. All revisions must be done in track changes mode. Once drafted, the Responsible Office submits the revised policy draft and accompanying policy approval form to the Office of Compliance, Accreditation, and Institutional Effectiveness.
2. The Office of Compliance, Accreditation, and Institutional Effectiveness reviews the revised policy draft and provides feedback and edits to the Responsible Office. After changes are incorporated, the Policy Owner shares the draft policy with the Administrators along with the policy approval form.

Administrators are expected to communicate the draft revisions with the offices they oversee, and sign the form indicating their review and approval. The Policy Owner shall be informed of any concerns or revision requests.

3. Once the review and revisions, if any, are finalized, the policy and completed form are submitted to the Office of Compliance, Accreditation, and Institutional Effectiveness for final publication approval.
4. Following the approval, the Office of Compliance, Accreditation, and Institutional Effectiveness works with UMCR for posting the revised policy on the University web site and informing the campus regarding the revised policy.

5. Who Should Read This Policy

- Administrators
- Faculty and Staff

6. Related Documents and References

- Policy Approval Form
- Policy Template

North American University Policy Approval Form

Policy Title: _____

Policy Number (*leave blank for a new policy*): _____

Responsible Office: _____

Policy Owner: _____

Request Type (indicate one):

New

Revised

Reaffirmed (No Changes or
only Minor Edits)

Rescinded

Request Date: _____ Proposed Effective Date: _____

Complete the following sections for all new, revised or rescinded policies

Rationale (*briefly state the rationale for a new policy, any substantive revision or rescindment*):

Consultation with Related Offices (*list the consulted offices who is involved in execution of the policy or who may be impacted from the implementation of the policy*):

Related documents (*list the documents that may require revisions due to this new, revised or rescinded policy*):

Initial Review by the Compliance Office

Reviewed by _____ Date _____

Campus Review and Confirmation*

VP for Academic Affairs: _____ Date: _____

VP for Administrative Affairs: _____ Date: _____

Dean of Student Affairs: _____ Date: _____

Director of Business Affairs: _____ Date: _____

* Initial review by the Office of Compliance, Accreditation, and Institutional Effectiveness is required

Final Approval for Publication

Approved by _____ Date _____



Policy Title: Enter policy title here

Policy Number: The policy number will be assigned by the Compliance Office

Policy Owner: The Policy Owner is the larger division under which the Responsible Office reports. In some cases, the Policy Owner and Responsible Office are the same.

Responsible Office: The University office or unit responsible for proposing a new policy, reviewing an existing policy and/or answering inquiries about a specified policy

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1. Purpose and Scope

This section recognizes the legitimate interests of all parties, describes the problem or conflict the policy will resolve, and cites any legal or regulatory reasons for the policy. It also includes the scope of the policy. This section should generally be two to four sentences. This section is mandatory.

2. Policy

The policy is explained in this section. This section is mandatory.

3. Definitions

Definitions associated with the policy, if any, are explained in this section.

4. Procedures

Procedures associated with the policy, if any, are explained in this section.

5. Who Should Read This Policy

This section lists the persons who should observe the policy and follow its procedures, persons who must understand the policy in order to do their jobs, and people who are affected by the policy. This section is mandatory. To assist you with this section, some other examples are listed below:

- Students
- Faculty and Staff
- Financial Aid Office
- International Student Office

6. Related Documents and References

This section lists related university policy documents and other documents or forms required to complete the procedures, or other documents that provide relevant information or instructions.

- University documents such as policies, guidelines, manuals, contracts, etc.
- Other documents such as laws, regulations, statutes, etc.