	Responsible Executive:	**Vice President for Legal Affairs and General Counsel**
NAU NORTHERN ARIZONA UNIVERSITY	Responsible Office:	**Office of General Counsel**
	Effective Date: **6/1/2018**	Last Revised: **11/15/24**
	Policy Title: **Development and Administration of University Policies (Interim)**	

Definitions

<u>Academic Policies</u>: internal directives that establish or guide the University's academic standards or pedagogical mission. Academic Policies are part of the [Academic Catalog.](#)

<u>Non-Substantive Changes</u>: edits which are not intended to change the meaning of the policy but are necessary for accuracy, consistency, or ease of reading, including but not limited to grammatical changes, typographical corrections, removal of redundant language, updating hyperlinks, organizational unit name changes, or job title changes.

<u>Policy Manager</u>: employee charged with overseeing the development, coordination, evaluation, review, and implementation of University Policies.

<u>Procedures</u>: specific actions or instructions that supplement and serve to implement a University Policy. A University Policy may mandate certain Procedures, or a University department or unit may develop its own informal Procedures to assist with or to support University Policy efficiency, effectiveness, and/or compliance. Procedures are not subject to the policy development and revision process outlined in this policy and can be updated as needed.

<u>Responsible Executive</u>: the senior executive and member of the President's Cabinet that creates, implements, ensures compliance with, is responsible for, and continually oversees a University Policy and any associated Procedures within their jurisdiction. University Policies with broad application may have more than one Responsible Executive.

<u>Responsible Office</u>: the unit charged by a Responsible Executive with developing and administering a University Policy, communicating, and training the University community in its requirements, monitoring and enforcing compliance with, and updating or revising the University Policy as appropriate. The Responsible Office serves as the primary point of contact and advocate for the University Policy.

<u>Unit-Level Policies</u>: policies promulgated by and applicable only at the divisional, college, office, program, or activity level. The Policy Manager does not oversee Unit-Level Policy development or administration but may serve as a resource for Unit-Level Policy drafters. Unit-Level Policies are not housed within the University Policy Library.

<u>University Policies</u>: official University directives that govern the operations of the University or the delivery of its programs or services. University Policies often substantially affect the procedural or substantive rights, duties or obligations of University community members and are housed within the University Policy Library.

Policy

Section I: Academic Policy

The Academic Standards Committee of the Faculty Senate is charged with the development and administration of Academic Policies that apply to undergraduate students. The University Undergraduate Committee is charged by the Faculty Senate to establish and maintain Academic Policies related to undergraduate curricula. The Graduate College's University Graduate Committee is responsible for Academic Policies that pertain to graduate students. Academic Policies are part of Northern Arizona University's Academic Catalog. This University Policy on the development and administration of University Policies does not apply to or govern Academic Policies.

Section II: University Policy

A. Policy Development and Revision Process

    1. Identifying a Policy Need

    University Policies satisfy one or more of the following policy needs:

        a. Support the University's vision, mission, and commitment;
        b. Support the University's relationship with stakeholders;
        c. Advance the safety and security of the University community;
        d. Advance University-wide risk management objectives;
        e. Advance operational efficiency objectives;
        f. Implement ABOR policies or directives; and/or
        g. Implement legal requirements.

    2. Policy Proposals

    A University employee, office, or unit may identify a potential policy need and propose a new University Policy or revision to an existing University Policy by forwarding the proposal through their chain of command to the Responsible Executive. The Responsible Executive will determine if the policy proposal has identified a policy need. To ensure adequate support through the policy development and revision process, the Policy Manager should be informed when a policy need is identified.

3. Drafting

   When directed by the Responsible Executive(s), the Responsible Office(s) or designated employee(s) may begin drafting a new, or revising an existing, University Policy. University Policy drafters must consult with potentially affected stakeholders or their representatives when drafting new, or revising existing, University Policies. Policy drafters must use the University Policy template. All revisions to existing University Policies must be made using Track Changes in Microsoft Word.

4. Review

   All new and revised University Policies will be subject to the following reviews:

      a. Stakeholders
      b. Policy Manager
      c. Office of General Counsel

5. NAU Community Comment Period

   All new and revised University Policies will be posted to the University Policy Library soliciting feedback from the NAU community for at least 10 business days. All feedback received during this time will be reviewed by the Policy Manager and shared with the policy drafters. All feedback will be considered prior to finalizing the draft for approval. If revisions to the policy are made that substantially change the policy, it will be posted to the University Policy Library for feedback for an additional 5 business days.

6. Approval

   University Policies are approved by the Responsible Executive(s).

B. Periodic Review

   Responsible Executives and Responsible Offices are charged with keeping the University Policies under their jurisdiction current by regularly reviewing and updating, revising, or withdrawing their University Policies as appropriate. The Policy Manager may also make recommendations for updating, revising, or withdrawing a University Policy.

C. Non-Substantive Changes

   Non-Substantive Changes to University Policies may be made without following the policy development and revision process outlined in this policy. Non-Substantive

Changes will not change the revision date listed on the University Policy. The Policy Manager will document and make Non-Substantive Changes to University Policies as needed.

D. Compliance-Based Changes

University Policies can be revised to comply with ABOR policy or legal requirements without going through the policy development and revision process outlined in this policy. Revisions must undergo a legal review and the Responsible Executive will be notified. Revisions may only be made to bring NAU into compliance with the relevant ABOR policy or legal requirement. If additional revisions are made, the policy must go through the policy development and revision process outlined in this policy.

E. Withdrawal and Archiving

Responsible Executives are responsible for rescinding University Policies that are no longer useful, advisable, or warranted. The process for withdrawing a University Policy is the same as for enacting a University Policy. The Policy Manager will maintain a perpetual archive of all withdrawn or superseded University Policy materials.

F. Interim Policies

The President or Responsible Executive may approve an interim University Policy when time does not allow for the policy development and revision process outlined in this policy. Interim policies will be subject to review by the Office of General Counsel. An interim University Policy may remain in force for no more than one year from its date of issuance. Interim University Policies will be clearly identified as "interim" when published in the University Policy Library.

G. Compliance

All members of the University community, including faculty, staff, students, alumni, and volunteers, all persons or entities who provide services to the University, including contractors, vendors, and consultants, and members of the public, including those who are present on campus or participating in any University-sponsored activities, are responsible for knowing and complying with all University Policies applicable to their duties, responsibilities, or activities. Responsible Executives and Responsible Offices are charged with ensuring the effective implementation of, and ongoing compliance with, all University Policies.

H. University Policy Library

University Policies are published in a centralized electronic library located at https://nau.edu/university-policy-library. All University webpages referencing University Policies must link directly to the University Policy's official University Policy Library landing page. Individual University departments, offices or units may not create or post duplicate University Policy documents. Should a conflict or inconsistency arise between an official University Policy Library document and a copy or version obtained from any other source, the University Policy Library document will govern.

Section III: Policy Hierarchy

The University's policies exist within a hierarchy of federal and state statutes and regulations, and Arizona Board of Regents ("ABOR") policy directives. Some ABOR policies directly control University functions. Others authorize the University to adopt university-level policies to guide its internal management and affairs. This legal hierarchy is as follows:

- Federal law, statutes, and regulations

- State law, statutes, and regulations

- Arizona Board of Regents policies and directives

- University-level Policies and Procedures

- Unit-Level (division, college, department, program, or activity) Policies and Procedures

The University's policies must comply with all applicable laws and ABOR policies. If a conflict or inconsistency arises between an applicable law and a University Policy, the applicable law will govern. If a conflict or inconsistency arises between an ABOR policy and a University Policy, the ABOR policy will govern. If a conflict or inconsistency arises between a University Policy and a Unit-Level Policy, the University Policy will govern.

Section IV: Responsible Executive – Delegation of Authority

A. Policy Development and Revision Process

Responsible Executives may delegate their authority outlined in Section II.A-E. of this policy to employees under the Responsible Executive's leadership. The authority to approve or withdraw a University Policy may only be delegated to an employee in a director-level position or above.

Any delegation of authority under this section must be made in writing and include the scope of the delegation. The scope of delegation must include the University Policies for which the Responsible Executive is delegating their authority and whether the delegate has the authority to approve/withdraw those policies.

B. Interim Policies

Interim Policies may only be approved by Responsible Executives or the President. This authority may not be delegated to other University employees.

Section V: Presidential Authority

Nothing in this University Policy shall be construed to limit the President's authority as the institution's chief executive officer to issue, revise, or rescind a University or Unit-Level Policy on an emergency basis when necessary to respond to an external directive, an emerging risk, or in other extraordinary circumstances.

Related Information[*]

[ABOR Policy 1-203 Procedures for Adoption of University Rules](#)

[The New NAU Charter](#)

Policy History[*]

11/15/2024: Interim policy approved.

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[*] Related Information and Policy History are solely for the user's convenience and are not part of the official university policy.