

Procedures for Formulation and Issuance of University Policies

These Procedures are intended to guide the process for developing, issuing, revising and maintaining all University Policies. Policies promulgated by the American University Board of Trustees are not subject to these Procedures.

A. Policy Development

1. Once the need for a Policy or Policy revision has been identified and communicated to the Responsible Executive, the Responsible Executive shall consult with the President and Vice Presidents as appropriate and assign a Responsible Office to develop a draft Policy that is best aligned with the topical issue.
2. The Responsible Office will consult with Stakeholders and subject matter experts regarding the Policy's likely impact on the members of the university community and will format the draft Policy using the American University Policy Writing Guidance and Template Document.

B. Review and Approval

1. The Responsible Executive shall evaluate the draft Policy to determine if it meets the criteria of a University Policy and whether it is approved for submission by the Responsible Office to OGC for review.
2. OGC will review the draft Policy and submit feedback to the Responsible Office for legal changes to be incorporated as necessary.
3. The Responsible Executive will circulate the draft Policy to the President and Vice Presidents for review and discussion as needed.
4. The Responsible Executive will provide OGC with a revised draft of the Policy. OGC will then disseminate the draft Policy to the Stakeholder Groups to allow for comments. Comments from Stakeholder Groups will be accepted within a minimum period of ten business days; however, an extended period will be allowed whenever practicable. Comments received before the deadline shall be documented by OGC, summarized, and shared with the Responsible Executive. The Responsible Executive will determine whether the draft Policy will be rejected, returned for revisions, or proceed for final review and approval based on the comments received.
5. When the draft Policy is ready for final review and approval, the Responsible Executive will submit the draft Policy along with a decision memo to the President; however, if the draft consists of relatively minor revisions to a current Policy, the Responsible Executive (with the approval of the President), may decide to forego the formality of a decision memo so long as the changes are discussed with and supported by the President.

6. Certain Policies requiring Board of Trustee approval, such as the Faculty Manual, will be forwarded by the Responsible Executive to the Board Secretary for placement on the Board's meeting agenda.
7. Once the Policy is approved and signed by the Responsible Executive, OGC will notify the campus community, place the final version in the Policy Library on the University Policy website, and appropriately archive all prior versions of the new Policies.

C. Communication/Training and Compliance/Review

1. **Communication.** The Responsible Office is responsible for coordinating any necessary supplemental communication about a new or revised Policy to specific Stakeholders.
2. **Training and Compliance.** The Responsible Office is responsible for coordinating any necessary training and education of Stakeholders and other members of the campus community as needed to comply with the Policy. As identified in the particular Policy, the Responsible Office will monitor compliance and facilitate remedies for noncompliance as directed by the Policy.
3. **Review.** OGC will notify Responsible Executives when particular policies are scheduled for review. Responsible Offices may also initiate the review/revision process at any time as deemed necessary.

D. Policy Format

1. A standard Policy format ensures clarity and consistency. To maintain standardization, use the [American University Policy Writing Guidance and Template Document](#).
2. All Policies should be written according to the most recent version of the [American University Style & Usage guide](#). For matters which the AU guide does not refer, use the Chicago Manual of Style.
3. Although not all Policies will contain all of the format elements, University Policies will be written and maintained using the elements below.
 - **Header Information.** Delineation of the University Policy name, Policy category, Subject, Responsible Executive, Responsible Office(s), Related Procedures, and Related University Policies.
 - **Scope.** Identification of parties governed by the Policy.
 - **Policy Statement.** Purpose of the Policy and the statement of philosophy, position, rule, regulation or direction.
 - **Definitions.** Meaning and interpretation of terms used in the Policy.
 - **Policy.** Description of the actual Policy in outline format, covering topics which include duties assigned to responsible parties and other parties as necessary; other information specific to a particular Policy subject as needed; and a description of the compliance review process and specific authority to impose penalties or other remedies when noncompliance occurs, if applicable.
 - **Effective Date(s).** Initial effective date of the Policy and the latest revision date, if applicable.

- **Signature, Title, and Date of Approval.** Required for initial approvals and all subsequent reviews and updates.

E. Location of Policies

1. To ensure ready access to University Policies, American University will maintain an official [University Policy Library](#) web page with the most current approved version of all Policies, with links to applicable Procedures. The Policy Library will be maintained by the Office of General Counsel in a standard electronic format and will follow the structure described in Section G below. The documents in the Policy Library will constitute the official electronic repository for institution-wide Policies for American University.
2. To maintain an organized system of change control, and to ensure consistency throughout the university, individual departmental web sites may not contain separate copies or versions of University Policies. Instead, departmental web sites that reference University Policies must use hyperlinks to the documents in the Policy Library. This does not preclude departments from maintaining related Procedures, forms and guidance documents, or other internal departmental policies and procedures on their web sites, provided the related documents and other internal departmental policies and procedures are not identified as official University Policies, and do not conflict with official University Policies.

F. Structure and Organization

The Policy Library web page will list all Policies by name and category and will provide links to related Procedures. Policies will be assigned to one of the following categories, as defined in the Policy on Formulation and Issuance of University Policies, Section III:

- *Academic*
- *Marketing and Communications*
- *Facilities*
- *Finance and Business*
- *Governance*
- *Information Technology*
- *Personnel*
- *Research*
- *Safety and Risk Management*
- *Students*

Trustee Policies will be accessible from the Policy Library web page.