Policies, Rules and Regulations

Standard Operating Procedure

Authority: Chancellor

History: Effective September 24, 2013; Updated October 20, 2015; Updated May 1, 2017

Related Policies: East Carolina University Regulation on Guidelines for Drafting Policies, Regulations and Rules (REG 01.15.01)


Introduction
The processes involved in the development and posting of Policies, Regulations and Rules (PRRs) involves many different University divisions and offices and is accomplished in coordination with the University Policy Committee (UPC). The guiding document for PRR development is the ECU Regulation on Guidelines for Drafting Policies, Regulations, and Rules (01.15.01). This standard operating procedure is intended to clarify processes outlined in REG 01.15.01 and further define roles and responsibilities as they relate to PRR development.

Procedure
As described in ECU REG 01.15.01 (Guidelines for Drafting Policies, Regulations and Rules) Section 3, the need for a new PRR, or changes to existing PRRs, can originate from several different channels within the University.

1. New PRRs and Existing PRRs Requiring Substantive Edits – When it has been determined that a new PRR should be developed or that an existing PRR requires substantive edits, a PRR Proposal Form, which can be found under Help on the University Policy Manual website, should be filled out and forwarded to the Policy and Communications Specialist, who will distribute the Proposal Form to the UPC for input and advice. The UPC chair will relay the recommendations of the UPC to the contact person for the PRR.

2. Drafting a PRR – Once the proposed PRR has received input from the UPC, the PRR should be placed in the PRR Template in the Help section of the University Policy Manual website and forwarded to the Policy and Communications Specialist via email (policy@ecu.edu) to be reviewed for compliance and content.

3. Review/Approval Process – The Policy and Communications Specialist will begin the review process as outlined in the PRR Review/Approval Process Guide. The PRR will undergo reviews by multiple parties, including the Office of University Counsel, University Policy Committee, and Issuing Authority, as explained in the PRR Review/Approval Process Guide.

4. Legal Review – PRR drafts changed after the prescribed period of legal review may require additional legal review if there are revisions that raise potential legal concerns prior to the PRR going to Executive Council for review. Legal Affairs will normally address such concerns by asking for additional vetting or by adding comments/revisions to the draft that is presented to Executive Council.
5. Executive Council Review – The Executive Council will be provided copies of all PRR Proposal Forms to assist in determining if they should review a PRR draft. If it is unclear if Executive Council wishes to review a PRR, the Policy and Communications Specialist will contact the Issuing Authority for the PRR to request a decision. ECU REG 01.15.01 (Guidelines for Drafting Policies, Regulations and Rules) Section 5. (Delegation of Authority for Regulations) outlines which executive officers have delegated final approval authority for regulations. The Policy and Communications Specialist will use this information to determine which executive officer to consult.

6. Non-Substantive Edits to Existing PRRs – In accordance with REG 01.15.01 (Guidelines for Drafting Policies, Regulations and Rules), the Vice Chancellor for Legal Affairs is authorized to make non-substantive edits to PRRs. PRR Representatives and the Policy and Communications Specialist should be informed when non-substantive edits to existing PRRs are submitted to the Office of University Counsel.

7. Formal Faculty Advice – According to REG 01.15.01 (Guidelines for Drafting Policies, Regulations and Rules) Section 3.3, “The Chancellor or Chancellor’s delegee shall ensure the establishment of appropriate procedures within the institution to provide members of the faculty the means to give advice with respect to PRRs that involve questions of academic policy and institutional governance. The procedure for giving advice may be through the Faculty Senate, special committees or other consultative means.”

Faculty Manual Part II, Section III outlines the process by which a proposed PRR obtains formal faculty advice. The PRR Review/Approval Process Guide further outlines the procedure by which the Chair of the Faculty obtains drafts of PRRs and determines the level of faculty review that is needed.

7. Posting of PRRs – PRRs will be published to the University Policy Manual by the Office of University Counsel or the Policy and Communications Specialist the last week of the month. An ECU Official announcement will be made if PRRs are posted outside the last week of the month.

8. Repealing PRRs – When it has been determined that a PRR should be repealed and not replaced with a revised version, the Issuing Authority of the PRR should provide notice to the Office of University Counsel with a copy to the PRR Representative and Policy and Communications Specialist. Upon approval by the Office of University Counsel, the PRR will be marked “Repealed,” removed from the University Policy Manual index, and placed in the Repealed section of the University Policy Manual website.

9. Editing PRR Website – The Policy and Communications Specialist manages the day-to-day functions of the University Policy Manual website and should be notified if edits to the website are needed. The Policy and Communications Specialist will consult the Office of University Counsel or appropriate Senior Administrator, when necessary, and will complete the edits, utilizing ITCS when required.