



## Policy on Policies

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### ***General Description***

#### **Policy Summary:**

This document outlines Trinity's policy and standards regarding developing, approving, implementing, retiring, and maintaining University Policies and related Standards, Procedures, and Guidelines. This policy seeks to create a standardized policy governance framework based on the following guiding principles:

1. Policies that align with and strengthen the University's mission, vision, and values and take account of higher education leading practices.
2. The policy governance model creates clear ownership and accountability in the policy development and implementation process.
3. The policy governance model enables an efficient and collaborative policy management process and recognizes the importance of engaging stakeholders in the development and review process.
4. Policies, procedures, and related resources are in a consistent and accessible format and written as clearly as possible
5. Policies are user-friendly, organized, in a central repository to increase awareness and mitigate risk
6. Policies and related resources are kept up-to-date and comply with relevant requirements

#### **Purpose:**

Trinity University is committed to ensuring that all University Policies and related resources are managed in a manner that is compliant and consistent with legal and regulatory requirements and the University's culture and values. This policy defines a University Policy, explains the relationship to related resources, and describes the key expectations, requirements, and methodology throughout the policy lifecycle, including development, maintenance, retirement, and archiving.

### Scope:

This policy applies to developing, approving, implementing, maintaining, and removing University Policies and related Standards, Procedures, and Guidelines. All faculty, staff, students, and contractors involved in developing, approving, implementing, maintaining, or retiring University Policies and related resources are expected to comply with this policy.

Any policy that applies to one or multiple departments, schools, or units must adhere to this policy’s principles. Department, school, or unit policies must be reviewed against University Policies to ensure no provisions conflict with a University Policy. The parties accountable for drafting department, school, or unit policies are responsible for identifying and addressing such conflicts and should contact the Office of the General Counsel (“OGC”) for assistance if there is a potential conflict in policy provisions. If a department, school, or unit policy conflicts with a University Policy, Standard, or Procedure, the University policy governs.

Consistent with longstanding practice and guidance, all school-specific documents related to academic policies or changes to them must be submitted in advance for review and approval by the Provost. The Provost may authorize exceptions to such school-specific documents, interpret them, or amend, rescind, or replace them. If a school does not adhere to Trinity’s academic policy, the Provost will decide what remedy is appropriate.

### Exceptions:

The policy development procedure outline below does not apply to the following documents:

- The Trinity University Faculty Handbook
- The Trinity University Student Handbook
- Trinity University Board of Trustees Policies
- Course of Study Bulletin

The Faculty and Student handbooks described the policy amendment, development, and retirement process within those documents. Final approval of the Faculty Handbook and final approval of the Student Handbook resides with the Vice President of Student Affairs (VPSA). The Faculty and Student Handbook are also subject to legal review by the Office of the General Counsel.

## Policy Content

### Policy Owners by Subject Matter

Policy Category	Policy Owner(s)
Academic Policies	Provost, University Curriculum Committee
Administrative Policies &	President, General Counsel

Guidelines	
Alumni Relations & Development Policies	VP for Alumni Relations & Development
Athletics Policies	VP for Enrollment Management
Budget Policies	VP for Finance & Administration, Assoc. VP of Finance & Administration
Business Office Policies	VP for Finance & Administration, Assoc. VP of Finance & Administration
Diversity, Equity, Inclusion, and Belonging Policies	VP for Inclusive Engagement, CHRO, University EEO/Title IX Officer
Emergency Management Policies	VP for Finance & Administration, Emergency Mgmt. Coordinator
Enrollment Management Policies	VP for Enrollment Management
Faculty Policies	Provost, Faculty Senate
Human Resources Policies and Guidelines	VP for Finance & Administration, Chief HR officer
IT Policies	VP for Finance & Administration/Chief Information Officer
Legal Policies	General Counsel
Payroll Policies	VP for Finance & Administration, Controller
Risk Management Policies	VP for Finance & Administration, Director of Risk Management
Safety Policies	VP for Finance & Administration, Director of Environmental Health & Safety
Strategic Communications Policies	VP for Strategic Communications
Student Policies	VP for Student Affairs
TUPD	VP for Finance & Administration/TUPD Chief of Police

## Responsibilities

Executive Planning Group (EPG)	The EPG is comprised of the President, the Provost, the Vice President of Finance and Administration, and the General Counsel. For policy creation, amendment, or elimination, the President delegates
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	authority to the EPG to approve or reject proposed policies. The General Counsel provides legal counsel and advice on the topics discussed to the EPG
Executive Sponsor	The Executive Sponsor officially endorses and/or supports the policy owner in advancing University Policies and policy amendments through the policy process. The Executive Sponsor is either the President, General Counsel, or the Vice President responsible for the School, Department, or Unit proposing the policy creation, amendment, or elimination.
Policy Drafter	The Policy Drafter is responsible for drafting a policy and managing the various stages of its development and subsequent modifications and revisions.
Policy Owners	Policy Owners are responsible for developing University Policies for matters within the scope of their responsibilities following the steps outlined in this policy, seeking advisory input from affected governance groups and stakeholders, initiating proper communication associated with policy rollout, initiating necessary policy-related training, providing timely response to policy questions, conducting periodic review of their University Policies, serving as a key contact for policy interpretation and exception approval, and taking necessary action to update or retire a policy when deemed appropriate. This includes timely action when a policy is affected by applicable changes in federal and state laws or regulations or as deemed appropriate to support the University’s mission.
President or Designee	The President, or their designee, can approve or disapprove any policy or policy amendment and require additional review or comment.
Trinity Compliance Committee (TCC)	The TCC serves in an advisory role on issues related to University Policy matters. The responsibilities of each TCC member include serving as a representative for their divisional/governance interest during TCC review/comment periods for draft University Policies and policy amendments, consulting on University Policy related issues as they arise, and serving as a communications liaison

	<p>within their divisional/governance group for University Policy related matters.</p> <p>The TCC will be chaired by the General Counsel or their designee and is comprised of representatives from the following groups:</p> <ul style="list-style-type: none"><li>• Assistant Director: Parent Communications &amp; Student Conduct</li><li>• Assistant Police Chief</li><li>• Associate Director of Human Resources</li><li>• Associate Vice President for Academic Affairs</li><li>• Associate Vice President for Finance and Administration</li><li>• Athletics/NCAA Compliance Officer</li><li>• Chief Information Officer, or their designee</li><li>• Director of Counseling Services</li><li>• Director of Environmental Safety</li><li>• Director of Financial Aid</li><li>• Director of Risk Management</li><li>• EEO/Title IX Coordinator</li><li>• Executive Director of Institutional Research</li><li>• Faculty Representative appointed by Faculty Senate</li><li>• Registrar</li></ul>
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## Policy Development Procedure

### 1. Initiation of Policy Process

NEED IDENTIFICATION – Once a new or revised policy is identified, the designated Policy Drafter must submit a memorandum proposing the proposed policy for review to the Vice President for that unit and the Office of the General Counsel (OGC).

The memorandum should include responses to the following questions:

- a. Why is this policy creation, amendment, or retirement being proposed?
- b. Does the University already have a University Policy on or related to the subject?
- c. What constituencies are affected by the proposed policy? Are affected constituencies aware of the draft? Have they provided input?
- d. Is this proposed policy necessary to obtain/maintain compliance with applicable laws or regulations? If so, what are the requirements for compliance?
- e. What are the best practices on this subject matter?

The memorandum form is provided as Appendix A in accordance with this policy.

## 2. Creating or Revising a Policy

After the VP and OGC approve moving forward, the policy drafter drafts the proposed policy using the applicable template. Throughout the policy creation or revision, the Policy Drafter and/or Policy Owner must consult with the appropriate SMEs to gather guidance and understand impacts across departments and the Trinity University community. SMEs should be identified by the Policy Drafter and/or the Policy Owner. The Policy Drafter must consult with the SME before providing a final policy draft for stakeholder review.

In addition to consulting SMEs, the following offices must also be consulted before submitting a policy for stakeholder review:

- Office of the Provost (if policy impacts faculty)
- Office of Human Resources
- Office of Inclusive Engagement
- Vice President for Student Affairs (if the policy impacts students)

## 3. Policy Format

- a. General Description
  1. Policy Summary
  2. Purpose
  3. Scope
- b. Terms & Definition
- c. Policy Content
- d. Performance Evaluation
- e. ID Information
- f. Author/Owner
- g. Approval
- h. Attachments
- i. Related Documents
- j. Revision Management

If the policy refers to another policy, please ensure to include the corresponding link to that policy.

\*A sample policy template is provided in Appendix B in accordance with this policy.

## 4. Stakeholder Review

This process involves a review of the policy by the TCC review and a legal sufficiency review by the Office of the General Counsel.

The TCC will review policies for the following:

- Adherence to Trinity University values and culture, including a clear statement of accountability measures
- Consistency, integration, and impact on other policies
- Diversity, equity, and inclusion
- Format, accessibility, style, and language
- Impact on students, faculty, and staff, as well as external stakeholders
- Impact on University operations and culture

Each TCC member who reviews the policy must document their concurrence and approval.

After the TCC review, the Office of the General Counsel will review the policy for legal sufficiency and document their approval.

The TCC and General Counsel review form is provided as Appendix C, in accordance with this policy.

## 5. Final Approval

After TCC and OGC concurrence, the policy will be provided to the Executive Planning Group (EPG) for final approval.

The EPG may seek further executive-level advisory input on the proposed University Policy or policy amendment as necessary.

The EPG will notify the TCC in writing of their decision to approve or reject the University Policy or amendment.

## 6. Policy Adoption

A new University Policy, policy amendment, or policy retirement will become effective upon approval by the EPG. The new/amended policy is added to the Policy Library upon approval notice. The retired policy will be removed from the Policy Library upon approval.

The Policy Author/Editor will notify the Trinity community via TUToday and email [TrinityStudents@trinity.edu](mailto:TrinityStudents@trinity.edu) to inform them of the new policy. The Vice President will send notice of the new Policy to the Trinity community via TUToday.

## **Non-Significant Changes to University Policy**

University Policy amendments not deemed a significant change will result in limited review to effectuate the change to the University Policy.

The Policy Owner will submit a memorandum and present it to the general counsel for review. The Policy Owner will articulate the specific changes to be made in that memorandum and attach a copy of the draft amendment with the memorandum.

Once the General Counsel has reviewed and approved the policy memorandum, the policy drafter should log in to Zavanta and make the necessary changes using the track changes feature. After that, the draft should be submitted for review through the non-significant changes workflow. If the changes are approved, they will be implemented into the policy immediately without needing to be forwarded to the TCC.

## **Interim Policy**

At the discretion of an Executive Sponsor, an Interim University Policy may be implemented when federal or state laws, regulatory actions, or compelling circumstances make expedited policy implementation prudent.

Upon implementing an Interim University Policy, the Vice President will notify the Trinity community of the policy via Trinity TUDay

An Interim Policy is effective for up to six (6) months from the date of the Vice President's approval assuming the Policy Owner initiates steps to seek normal review and approval in a timely manner. An Interim Policy is subject to renewal for a good cause upon the President's or his/her designee's approval.

## **Policy Distribution, Communications, and Training**

The Executive Sponsor of the policy or their designee is responsible for communicating the University Policy, policy amendment, or policy retirement to key stakeholders through Trinity TUDay.

The Executive Sponsor or their designee is also responsible for facilitating any training required for successful policy implementation.

## **Policy Retirement**

Changing circumstances may create the need to retire a University Policy. Before retiring, a Policy Owner will submit a memorandum to the General Counsel explaining the rationale for retiring the



policy.

After the General Counsel reviews and approves, the policy will be retired immediately without the need to forward it to the TCC. The Policy Owner will communicate the policy's retirement through Trinity TUDay and to all students via email at TrinityStudents@trinity.edu

## Policy Retention

Previous versions of University Policies shall be retained by the Policy Owners and the Office of the General Counsel according to the University's Records Retention Policy.

## Periodic Policy Review

Policy Owners are responsible for reviewing and updating as necessary University Policies contained in their portfolio at least once every three (3) years and taking appropriate action to make timely updates to policy content.

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## Terms & Definitions

### Terms and Definitions:

<b>Term:</b>	<b>Definition:</b>
Academic Policies	Academic policies are policies that directly affect the pedagogical and research mission of the university.
Administrative Policies	Administrative Policies are non-academic policies governing the university's operations.
School, Department, or Unit-Specific Policy	A policy developed by a school, department, or unit that only impacts or concerns that area, department, or unit.
Executive Sponsor	An Executive Sponsor is an executive officer, typically a Vice President or member of the President's executive cabinet, who officially advances and endorses a University Policy.
Executive Planning Group (EPG)	The EPG is comprised of the President, the Provost, and the Vice President of Finance and Administration. For policy creation, amendment, or elimination, the President delegates authority to the EPG to approve or reject proposed policies.
Executive Cabinet	The highest-ranking administrator reporting directly to the President, who oversees the division's policy for development, revision, or retirement.
Guidelines	Serve as recommendations to advise on best practices.
Handbooks	Handbooks contain all the policies related to a specific subject, such as

Term:	Definition:
	employee and student information.
Interim Policy	Interim policies are provisional policies implemented in a situation that requires implementation without going through the official process (e.g., new legislation and incidents on campus).
Policy	A policy is a statement of management philosophy and direction established to guide and assist the University community in conducting University affairs.
University Policy	<ul style="list-style-type: none"> <li>• is a governing principle that mandates or constrains actions,</li> <li>• has an institution-wide application,</li> <li>• changes infrequently and sets a course for the foreseeable future,</li> <li>• helps ensure compliance with applicable laws and regulations,</li> <li>• reduces institutional risk, and</li> <li>• is approved at the executive levels of the university (President or EPG) or Board of Trustees.</li> </ul> <p><b><i>A University Policy that does not meet all of the above state criteria would be considered a unit-specific policy (department, division).</i></b></p>
Policy Administrator	The Policy Administrator is the General Counsel or their designee.
Policy Initiator	The Policy Initiator is any faculty, staff member, or student who identifies a University-level issue and develops a policy proposal.
Policy Library	The Policy Library is the central repository for all University Policies.
Policy Drafter	The Policy Drafter is responsible for drafting a policy and managing the various stages of its development and subsequent modifications and revisions. The individual(s) assigned to this role may differ depending on the policy area or category.
Policy Owner	The Policy Owner is the appropriate University officer (President, Provost, Vice President, General Counsel) whose jurisdiction covers the subject matter of the policy. The Policy Owner also includes the employee specifically delegated by a University officer to develop a University Policy. Policy Owners are responsible for ensuring that the policy follows internal and external standards and regulations defined in the policy.
Policy Template	The standardized format for creating or revising a University Policy.
Procedure	A procedure is a guideline or series of interrelated steps taken to help implement the policy.
Significant Change	A substantive edit to University Policy content, including changes to the essential principle(s), scope, or application of a University Policy. Significant changes do not include changes that are (a) editorial, (b) related to organizational reporting change, (c) reformatting a policy or paragraph,

<b>Term:</b>	<b>Definition:</b>
	(d) updating policy-related contacts, tools, resources, and reference citations, (e) made to bring clarity or grammar improvements, or (f) does not materially change the intent of the policy.
Standards	Set of mandatory rules in support of the Policy and are intended to be prescriptive.
Stakeholder	Stakeholders are University community members affected by the University Policy being developed.
Student Policies	Student Policies are policies that directly affect student affairs at the University.
Subject Matter Expert ("SME")	An individual or office with specialized expertise in a particular area and is expected to be consulted during the policy development and/or update process.
University Policy	<p>University procedures identify the tasks and processes that must be followed to ensure quality, consistency, and compliance with policies. A procedure demonstrates the "how" of the policy. Procedures involve specific required actions, generally presented in a high-level step-by-step description and the conditions under which those actions must be taken.</p> <p>University Procedures:</p> <ul style="list-style-type: none"> <li>• should identify and link to the applicable University Policy,</li> <li>• should be written in a format that is easy to follow, using numbers or bullets to delineate steps to be followed,</li> <li>• should be reviewed and updated as necessary to ensure agreement with the most recent revision to the policy, and</li> <li>• generally, do not require formal approval by executive-level officials.</li> </ul>
Trinity Compliance Committee (TCC)	The Trinity Compliance Committee oversees the University's compliance activities and programs to ensure they are reasonably designed, implemented, enforced, and generally effective in preventing and detecting violations of the law and regulations. With respect to the policy development process, these individuals will review draft versions of policies a policy owner seeks to create, amend, or eliminate and make recommendations to the EPG on adopting the proposal.

## ***Attachments***

[Appendix A - Policy Memorandum Form](#)

[Appendix B - University Policy Template](#)

[Appendix C - Trinity Compliance Committee \(TCC\) Review Form](#)

## Related Documents

### Related Content:

[Policy Memorandum Google Form](#) [Non-Significant Changes Policy Memorandum Google Form](#)  
[Policy Retirement Memorandum Google Form](#)

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## Revision Management

### Revision History Log:

Revision #:	Date:	Recorded By:
v2.0	8/14/2023 8:38 AM	Holly Warfel
v1.0	7/5/2023 9:39 AM	Holly Warfel

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### Vice President Approval:

Name:	Title:
Claire Smith	Assistant Secretary to the Board of Trustees