



## Policies, Regulations and Rules

Authority	Chancellor
Title	Formatting, Adopting, and Publishing Policies, Regulations, and Rules
Classification	REGINSERT NUMBER
PRR Subject	Governance - General
Contact Info	University Attorney (252-328-6940)

History: First Issued: INERT DATE  
Last Revised: INERT DATE

Related Policies: UNC Code

Additional References: Guidelines for Drafting Policies, Regulations, and Rules (PRRs)  
PRR Approval Process (Flowchart)  
PRR Template  
PRR Representatives

### 1. PURPOSE:

The University of North Carolina has delegated various powers and duties to the Boards of Trustees and Chancellors of its constituent institutions, including the authority to establish policies and regulations for the efficient and orderly administration of the institution. This Regulation addresses the sources of authority for Policies, Regulations, and Rules (PRRs) at East Carolina University and the procedures for their adoption and publication. PRRs adopted in substantial compliance with this regulation are valid and may not be grieved for procedural error.

### 2. DEFINITIONS AND SOURCES OF AUTHORITY:

For the purpose of this regulation, these terms have the following meanings:

- 2.1. Policy: A "Policy" is any standard, statement, or procedure of general applicability adopted by the Board of Trustees pursuant to authority delegated by law or the Board of Governors.
- 2.2. Regulation: A "Regulation" is any standard, statement (which may refer to a policy statement), or procedure of general applicability adopted by the Chancellor or the Chancellor's delegee that addresses any of the following matters:
  - 2.2.1. Compliance with fiscal, academic, research, human relations, or administrative requirements imposed by federal or state laws or implementing regulations.
  - 2.2.2. Procedures and reporting requirements related to implementation or compliance with policies of the Board of Governors or Board of Trustees, or regulations of the General Administration.

- 2.2.3. Matters not specifically addressed in Board of Governors or Board of Trustees policies or regulations of the General Administration that are within the general nature of the chancellor's delegated responsibilities to administer the institution.

Changes or exceptions to Regulations issued by the Chancellor may only be made by the Chancellor.

- 2.3. A "Rule" is a standard, statement (which may refer to a policy or regulation) or procedure, (a) adopted by an academic or administrative unit of East Carolina University pursuant to authority mandated by a East Carolina University Policy or Regulation or (b) adopted by an executive officer or executive officer's delegee pursuant to authority delegated in Section 6 of this regulation to address specific subject matters that are limited in scope to a particular unit's operational functions. A Rule may supplement but not conflict with Policies and Regulations.
- 2.4. "Standard Operating Practices" are established by academic or administrative units to facilitate the day-to-day business operations of a particular unit and are distinguished from policies, regulations, and rules because they do not directly or substantially affect procedural or substantive rights or duties. Except as is otherwise specified, Standard Operating Practices are not subject to this Regulation, must not conflict with policies, regulations, or rules, and should be clearly written and well communicated.
- 2.5. "Executive Officer" includes the vice chancellor, provost, or any other senior level administrator reporting directly to the chancellor.
- 2.6. "Issuing authority" means the entity that has been delegated the authority to create and implement policies, regulations or rules.

### **3. ADOPTION OF POLICIES, REGULATIONS, AND RULES:**

#### **3.1. Recommendations for New PRRs or Changes to Existing PRRs**

Any of the University senates, any standing or ad hoc committee of East Carolina University or any administrative or academic officer, including Executive Officers, may recommend new PRRs or changes to existing PRRs. Any member of the University Community may forward recommendations for new or revised PRRs to any of the above entities/individuals.

#### **3.2. Mandated Policies and Regulations**

- 3.2.1. Policies or Regulations that East Carolina University is specifically directed to adopt by federal or state law or regulation, or by action of the Board of Governors or General Administration are adopted pursuant to the procedures in Section 3.5 except as otherwise allowed noted in Section 3.2.2.
- 3.2.2. Special Circumstances: The procedures in Section 3.5 do not need to be followed in the following circumstances:
1. The Chancellor or the Chancellor's delegee may issue interim Regulations without following the procedures set forth in Section 3.5 when it is necessary to meet emergency deadlines or in other special circumstances.

2. The University Attorney is authorized to make non-substantive edits and substantive updates to Board of Trustees Policies that are non-discretionary mandatory changes to accord with UNC policies and regulations or state or federal law. The University Attorney is also authorized to make similar revisions to East Carolina University Regulations and Rules. Non-substantive edits include, but are not limited to updating titles or names that may have changed; correcting grammar, punctuation and typographical errors; editing for language consistency and format; and changing monetary rates that are the result of federal or state regulatory changes (e.g., mileage rate reimbursement)

### 3.3 Other Policies and Regulations

Policies and Regulations not within the Scope of Section 3.2 are not subject to procedures in Section 3.5. Such Policies and Regulations are reviewed and issued directly by the Board of Trustees, Chancellor or Chancellor's delegee. The Board of Trustees, Chancellor and executive officers with delegated authority may follow the procedures in Section 3.5, but are not required to do so. All Policies and Regulations are subject to the requirements of Section 4 and executive officers are responsible for ensuring legal review of PRRs. Communication with other executive officers and the Chancellor and University Attorney is expected unless the executive officer and the University attorney concur in the issuance of the PRR.

### 3.4 Rules

Rules are not within the scope of Section 3.2. Academic or administrative units may adopt Rules after review and approval of the unit administrator with delegated authority and legal review and concurrence of the University Attorney. Rules are subject to the Requirements in Section 4.

### 3.5 Procedure for the Adoption of Mandated Policies and Regulations

3.5.1 Proposals are submitted for initial review to the Chancellor or an executive officer. Proposals should be submitted in the format set forth in Section 4.

3.5.2 If the Chancellor or executive officer concurs with the proposal, the proposed Policy or Regulation is forwarded to the Office of the University Attorney for review.

3.5.3 After legal review, if no changes are recommended, the proposed Policy or Regulation is forwarded to the Chancellor's Office for review by the Executive Council. If the Office of the University Attorney recommends changes, the executive officer and the Office of the University Attorney will resolve the issue, or jointly seek resolution by the Chancellor.

3.5.4 The proposal is placed on the Executive Council's agenda for review. Normally at least five (5) business days are provided prior to the Executive Council's review.

3.5.5 Following review by the Executive Council, the Chancellor acts on the Proposed Policy or Regulation. The Chancellor may take any action on an Executive Council recommendation, including but not limited to: action to table, adopt, not adopt, or adopt with revisions. The Chancellor may use any advisory process deemed helpful by the Chancellor. Proposed Policies will be forwarded to the Board of Trustees for action.

#### 4 CONTENT FORMAT AND PUBLICATION OF PRRS:

##### 4.1 Content

PRRs create administrative structures, set priorities, assign responsibility, delegate authority, establish accountability, and define reporting requirements. PRRs directly or substantially affect procedural or substantive rights and duties. PRRs should be concise, understandable and contain only material essential to the PRR. PRRs must be consistent with applicable governing authority. PRRs should contain a date for review on consistent basis.

##### 4.2 Format

Each University policy should be developed in numerical outline format following the PRR template. Section titles and subtitles should be used where appropriate. Every policy should be drafted in numerical outline in Garamond 12 point font. The following format should be used to maintain consistency with each University policy:

- 4.2.1. New PRRs should be drafted in numerical outline format following the PRR template. Section titles should be used where appropriate. Hyperlinks in the body of the regulation are limited to other ECU PRRs and forms. All other references should be listed and hyperlinked in the informational section preceding the text of the PRR.
- 4.2.2. Proposed revisions to PRRs should edit the existing PRR by striking out language proposed for deletion and highlighting or underlining language that is new.
- 4.2.3. New PRRs or proposed revisions to PRRs should be accompanied by information, from the sponsor to the executive officer to whom the unit reports, that, summarizes the content of the new PRR or proposed revisions, suggests a proposed effective date, if other than the date of issuance, and lists related PRRs or other relevant information such as forms that the readers of the regulation might find useful. Sponsors should follow instructions at the beginning of the PRR template and obtain legal review prior to submitting the proposed PRR to the executive officer.
- 4.2.4. The Assistant Secretary to the Board of Trustees is responsible for maintaining the hardcopy of each Policy that is approved by the Board of Trustees. The Executive Assistant to the Chancellor is responsible for maintaining the hardcopy of each Regulation that is approved by the Chancellor. If a Policy or Regulation must be approved by the Board of Governors, the Assistant Secretary to the Board of Trustees shall maintain the hardcopy of the Policy and the Executive Assistant to the Chancellor shall maintain the hardcopy of the Regulation.

#### 4.3 Publication of PRRs

4.3.1 The official site for approved PRRs is the East Carolina University Policy Manual website. When approved by the authorized university officer, PRRs are to be forwarded to the Office of the University Attorney for electronic publication on the University's PRR web page. The Office of the University Attorney will assign a number to the PRR, edit the title for location and subject matter clarification, insert the effective date and edit the informational section preceding the PRR to include related PRRs, forms, and additional relevant information. The Office of the University Attorney will also add the PRR to the table of contents and site map and provide search terms for the web site function.

4.3.2 Any electronic reproduction of a PRR by any University unit must be by hyperlink to the PRR on the East Carolina University PRR website. Units may publish web pages, handbooks, bulletins, brochures, and similar materials to provide information to faculty, staff, students and other constituent groups. To the extent that such materials reference Board of Governors or East Carolina University PRRs, with or without including the text verbatim, there must be a disclaimer that establishes the pre-eminent authority of the PRR and a reference to the location of the official PRR.

### 5. DELEGATION OF AUTHORITY FOR REGULATIONS:

**-NOTE THE AREAS LISTED BELOW ARE MERE EXAMPLES-**

The Chancellor delegates final approval authority for regulations not specifically mandated by federal or state law or regulation or direction by the UNC Board of Governors, ECU Board of Trustees and UNC-General Administration and that fall within the specific areas below to the following executive officers:

#### 5.1 Provost and Vice Chancellor for Academic and Student Affairs

- 5.1.1 Degree eligibility for undergraduate students
- 5.1.2 Undergraduate Admissions to the University
- 5.1.3 Scholarships and other forms of financial aid excluding graduate assistantships and fellowships
- 5.1.4 Academic Registration and Records
- 5.1.5 Academic standards and curricula matters for undergraduate students
- 5.1.6 Faculty personnel procedures relating to faculty titles and ranks, appointment, reappointment, promotion, tenure, leaves of absence, the phased retirement program, and retirement/re-employment agreements
- 5.1.7 International Programs
- 5.1.8 Distance education, continuing studies and learning technologies
- 5.1.9 Academic Libraries and Learning Resources
- 5.1.10 Student activities
- 5.1.11 Student Services and groups
- 5.1.12 Student Conduct
- 5.1.13 Student Health, wellness and fitness
- 5.1.14 Arts programs and activities
- 5.1.15 ROTC Programs
- 5.1.16 Student Union
- 5.1.17 State Residency Appeals
- 5.1.18 Campus Police

5.1.19 Accreditation and certification for academic programs and reviews of academic and non-academic programs

5.1.20 Institutional Planning, Assessment and Research

5.2 Vice Chancellor for University Advancement

5.2.1 Criteria and Procedures for the Acceptance of Gifts

5.2.2 University Development

5.2.3 Alumni Relations

5.2.4 Advancement Services

5.2.5 University Marketing and Publications

5.3 Vice Chancellor for Administration and Finance

5.3.1 Business Operations

5.3.2 Campus Operations

5.3.3 Environmental Health and Safety

5.3.4 Financial Services

5.3.5 Human Resources

5.3.6 Information Technology and Computer Systems

5.3.7 Facilities

5.4 Vice Chancellor for Health Sciences

5.4.1 Clinical Operations

5.4.2 Compliance

5.4.3 Risk Management

5.4.4 Business Operations

5.4.5 Educational Programs

5.4.6 Human Resources

5.4.7 Library Services

5.4.8 Research Programs

5.4.9 Division Advancement/Development

5.5 Vice Chancellor for Research and Graduate Studies

5.5.1 Sponsored Programs

5.5.2 Graduate School

5.5.3 Technology Transfer

5.5.4 Degree eligibility for graduate students

5.5.5 Graduate admissions

5.5.6 Graduate assistantships, fellowships and tuition remissions

5.5.7 Academic standards and curricula matters for graduate students

5.5.8 Degree eligibility for graduate students

5.5.9 Personnel procedures relating to postdoctoral scholar appointments

5.5.10 Appointment of graduate faculty, including titles and ranks

5.5.11 Graduate student services

5.5.12 Human Subjects Protection

5.5.13 Use of Animals in Research

5.5.14 Conflicts of Interest

5.5.15 Misconduct in Science

5.5.16 Export Controls

5.5.17 Biohazards, chemical safety, recombinant DNA and radiation hazards

5.5.18 Diving and Water Safety

**6. DELEGATION OF AUTHORITY FOR RULES:**

**-NOTE THE AREAS LISTED BELOW ARE MERE EXAMPLES-**

6.1 International Programs – Associate Vice Chancellor for International Affairs International Affairs

6.2 Distance Education and Learning Technologies – Associate Vice Chancellor for Academic Outreach

6.3 Joyner Library Operations –Director of Academic Library Services

**7. EFFECTIVE DATE OF PRRS:**

Policies are effective when adopted by the Board of Trustees unless the Policy or Board action otherwise specifies. Regulations and Rules are effective when approved by the Chancellor. Regulations and rules delegated to an Executive Officer or Executive Officer's delegate are effective upon approval of the Executive Officer or delegee and the University Attorney unless the Regulation or Rule otherwise specifies.

## GUIDELINES FOR DRAFTING POLICIES, REGULATIONS AND RULES (PRRs)

### Additional References:

Procedure for Formatting, Adopting, and Publishing Policies, Regulations, and Rules  
PRR Approval Process (flowchart)  
PRR Template  
PRR Review Box

**Contact for Info:** Office of the University Attorney (252-328-6940)

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### 1. INTRODUCTION

In December 2008, East Carolina University created a single website (the PRR website) for the publication of all University policies, regulations and rules. The website resulted from a codification project that had the goals of establishing (1) a single site to facilitate the location of PRRs and (2) a uniform format and reference system to make PRRs easier to read for users. The Office of the University Attorney maintains the website and assigns a number and subject heading to all PRRs once they have been approved by the University. The website has several powerful search engines to enable any user to easily locate any University PRR. Further, a PRR template has been created so that there is a standardized format for PRRs. These guidelines describe the elements of the template and provide guidance on how to draft clear and user friendly PRRs.

### 2. PRR TEMPLATE

**2.1 Uniform Template.** A uniform PRR template has been established that will provide guidance to drafters of PRRs and uniformity to the PRR website. The template provides for an informational section to precede the actual text of a PRR. The title is written at the top of the template along with a number and general subject category assigned by the Office of the University Attorney. Garamond 12 point font is used in the informational section of the template.

**2.2 Informational Section Preceding the PRR.** The drafter of the PRR should insert the following information in the informational section of the PRR template:

**2.2.1 Title of the PRR.** This should be written so that the major subject matter or class affected appears first as most individuals search an index or table of contents alphabetically; e. g., Sexual Orientation Policy Statement rather than Policy Statement on Sexual Orientation.

**2.2.2 Authority and Effective Date:** The Board of Trustees is the authority for all Policies. The Chancellor or an Executive Officer who has delegated authority for issuing Regulations in specified subject areas is the authority for all Regulations. See the delegations of Authority in REG (INSERT NUMBER) Procedure for Formatting,



Adopting, and Publishing Policies, Regulations, and Rules. The issuing authority for a Rule is the applicable issuing unit.

**2.2.3 History:** Dates the PRR was first enacted and last revised.

**2.2.4 Related Policies:** Related policies that may help the reader to better understand the PRR.

**2.2.5 Additional Information:** Task force reports, memoranda, forms, state or federal laws or regulations that may be pertinent.

**2.2.6 Contact Person:** official title and phone number and/or email address of the person most knowledgeable about PRR who can respond to questions or provide information about the PRR.

### 3. PRR CONTENT

**3.1 Subject Matter.** PRRs create administrative structures, set priorities, assign responsibility, delegate authority, establish accountability, and define reporting requirements. Thus they directly or substantially affect procedural or substantive rights and duties of individuals or entities that fall within their regulatory scope. PRRs normally address the following questions, as applicable:

**3.1.1 Who** - who is covered by the PRR, who is accountable

**3.1.2 What** - the subject matter/policy being addressed[1]

**3.1.3 When** - time periods or deadlines[2]

**3.1.4 Where** - any applicable offices, business units, colleges, departments[3]

**3.1.5 How** - applicable procedures to be followed[4]

**3.1.6 Why** - the purpose of the PRR

**3.2 Consistency with Governing Authority.** PRRs must be consistent with all applicable governing authority. If a regulation is to implement a federal or state law, a policy of the Board of Governors or the Board of Trustees, or a directive from General Administration, the introduction to the regulation should note this and the remainder of the PRR should be consistent with the higher governing authority.

**3.3 Essential Subject Matter.** PRRs should be concise, understandable and contain only material essential to the PRR. Omit needless words. Readers are interested in getting to the point.

**3.3.1 Historical Information.** Historical information may be useful but it should not be in the PRR. Such information may be in a task force report that can be hyperlinked in the informational section of the template to provide the reader with additional information.

**3.3.2 BOG or BOT Policies.** Do not repeat language from Board of Governor's or Board of Trustees' Policies unless it is necessary. Instead, reference the policy and include it in the informational section with a hyperlink.

**3.3.3 Webpage, Forms, Handbooks and other References:** Unit webpage or other information relating to the regulations, such as guidelines, forms, charts, and handbooks, should not be incorporated into the body of the PRR but should be listed and hyperlinked in the additional information section preceding the text of the PRR. ECU PRRs and forms and PRRs in the UNC Policy Manual may be hyperlinked within the body of the PRR. References and hyperlinks to PRRs within the body of the PRR should be to the title of the PRR (not the http address). References to forms should be to the title to the form and the office or title of the person from whom they can be obtained since all forms may not be available electronically. No other hyperlinks may be made within the body of the PRR except those permitted in this sub-section. Other hyperlinks may be inserted in the informational section. References to persons to contact within the body of the regulation should be by official title only.

## **4. PRR FORMAT**

### **4.1 Outline Format**

New PRRs should be drafted in numerical outline format, using Garamond 12 point font and left justified margins, following the PRR template. Section titles and subtitles should be used in the body of the text where appropriate.

### **4.2 Headings and Sub-headings**

Use headings and sub-headings that let the reader know the content of each section. PRRs can be either simple or complex depending upon the substantive matters that are addressed. Section 4 lists common headings that many PRRs use. Not all headings may be applicable depending upon the subject matter and scope of the PRR.

**4.2.1 Introduction.** Describes the background relevant to why the PRR exists or reasons for the policy and a brief statement about what the PRR will address. Some examples of the purpose or reason for a PRR are the following:

- a) State or federal law or UNC policy requires ECU to have a policy or procedure on the subject;[5]
- b) To ensure accountability, address expected behavior;[6]
- c) To recognize the legitimate interests/expectations of various individuals, administrative/academic units, or the university;[7]

d) Overall benefits.[8]

**4.2.2 Scope:** Addresses who or what is covered by the PRR. For example, who must observe the policy and follow its procedure; who must understand the policy to do their job. Most PRRs have a primary audience and a secondary audience. For example, policies on graduate student admission address the criteria for admission and the procedures for admission. The primary audience is the graduate student who may be applying, and the secondary audience is the administrators who are involved in making the decisions. The PRR should focus directly on the primary audience in writing the PRR. If there are two primary audiences, the PRR should be clear in each section which audience is being addressed.

**4.2.3 Definitions:** Defines any technical language or words used in a special sense.

**4.2.4 Policy Statement(s):** the substantive provisions that create rights or duties, for example, criteria for admission of graduate students. Depending upon the complexity of the subject matter, this may be a simple paragraph or may contain various numbered sections with subtitles.

**4.2.5 Exclusions or Exceptions:** lists any locations, persons, or organizations that are excluded from the PRR or any funding sources or job classifications that are excluded from the policy. May also include information about special circumstances that affect only a few people or circumstances that occur infrequently.

**4.2.6 Procedures:** the steps that must be followed to comply with the policy. In Board of Trustee policies it is generally preferable to authorize the chancellor to establish procedures to implement the policy. This then allows the Chancellor or Chancellor's delegate to establish the procedures by regulation, a faster and more efficient process.

**4.3 Active Voice:** PRRs should be written in active voice.[9] In general, every sentence should have meaning and relate to the heading or sub-heading under which it is found.

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[1] E.g., privacy of health care information.

[2] E.g., grievances must be filed within 30 calendar days of the action being grieved. As a general rule, dates should be appropriate timeframes, rather than specific dates, unless a specific date is necessary for operation of the process.

[3] E.g., the office where applications must be filed.

[4] E.g., steps to be followed in resolving a complaint of sexual harassment; note that details such as how to fill out a form would not be contained in a PRR as these types of details usually are reserved for administrative guide lines, if necessary.

[5] E.g., UNC Code and implementing BOG policies require that East Carolina University have a faculty grievance procedure.

[6] E.g., policy for coordination of fundraising by affiliated foundations, Student Conduct Codes.

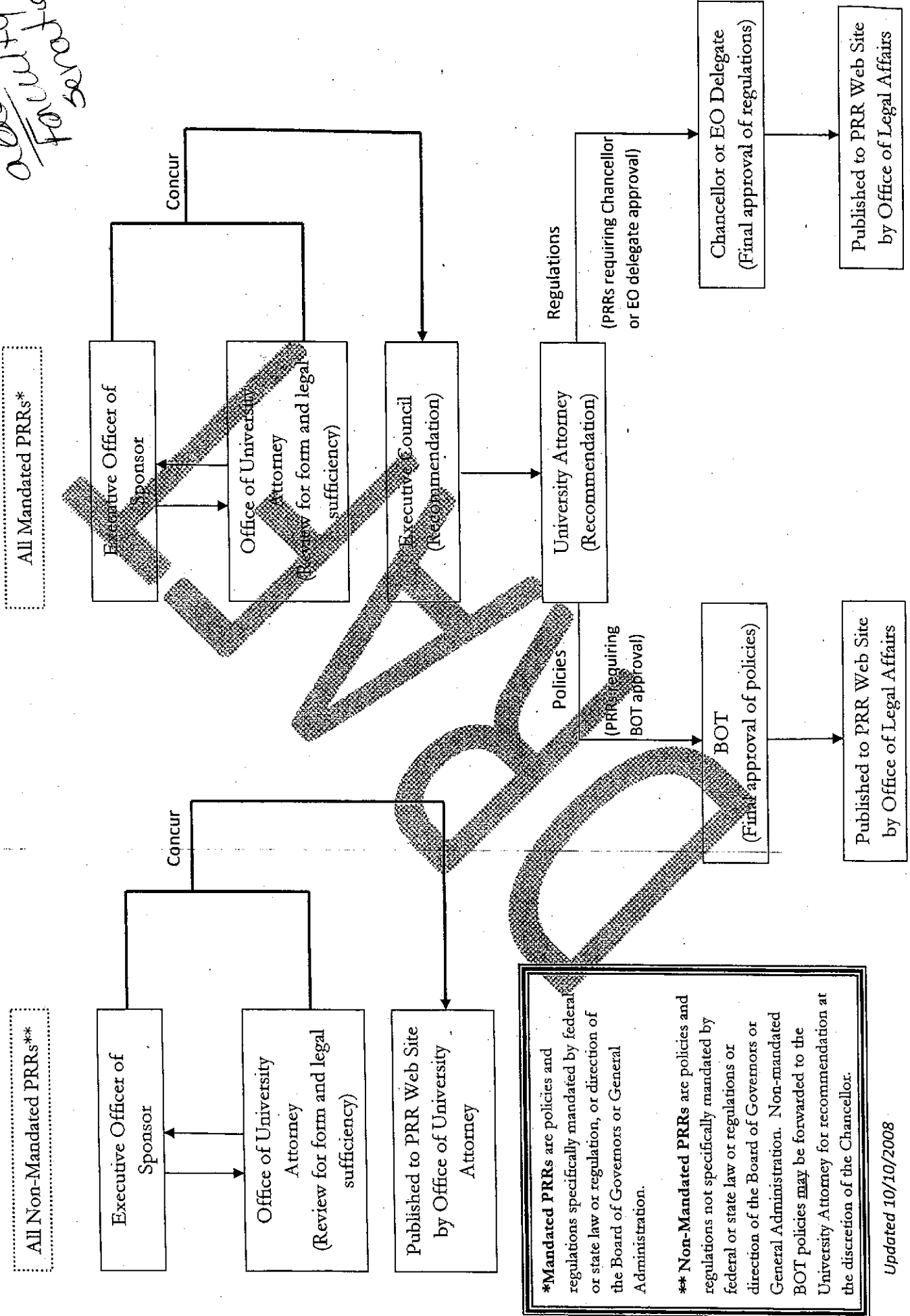
[7] E.g., identifying the circumstances under which the university may access material on an employee's computer or the procedures to be followed by employees or students who have grievances.

[8] E.g., fire protection regulation.

[9] Active voice is more direct, definite and clear. Passive voice is often indefinite and less clear. For example, Passive Voice "All requests for additional compensation must be approved in writing before the activity begins." This phrasing does not tell the reader who approves the requests. Active Voice "The Department Head must approve all requests for additional compensation before the activity begins." This phrasing is clear and definite and informs the reader.

# PRR Approval Process


*add  
authority  
to  
separate*



**Title** (Insert title here)

**PRR Classification #** (List POL, REG RULE and leave #blank. To be done by Legal)

**PRR General Subject Matter** (Leave blank. To be done by Legal)

**Print-friendly version** 

(Print-Friendly version is a word version of this template available for downloading)

**Authority:** [Insert the relevant issuing authority. E.g., Board of Trustees is the authority for all Policies. The Chancellor or an Executive Officer has delegated authority for issuing Regulations in specified subject areas. The issuing authority for a Rule is the applicable issuing unit.]

**History:** [Insert dates the PRR was first enacted and last revised.]

**Related Policies:** [Insert related PRRs and hyperlinks.]

**Additional References:** [Insert task force reports, memoranda, forms, state or federal laws or regulations that may be pertinent and hyperlinks.]

**Contact for Info:** [Insert the official title, phone number and/or email address of the person most knowledgeable about PRR.]

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**1. Introduction**

**1.1 Sub-Heading**

**1.1.1 Sub-Heading**

**2. Heading**

**2.1 Sub-Heading**

**2.1.1 Sub-Heading**

- a.
- b.
- c.

**2.2 Sub-Heading**

**3. Heading**

**3.1 Sub-Heading**

**3.2 Sub-Heading**

**3.2.1 Sub-Heading**

