

University Policy 1.01.04 University Policy Development and Compliance

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POLICY STATEMENT

Capella University operates under a series of policies and corresponding procedures that ensure the integrity and academic quality of university programs. These university policies are reviewed on a regularly scheduled basis and revised on an as-needed basis. New university policies are developed as appropriate to the changing needs of the university. All university policies are published online and made available to students, faculty, staff, and other interested parties upon request. The framework upon which this policy is based is contained in the document *Framework Governing University Policy*.

RATIONALE

The purpose of this policy is to ensure that university policies are formally approved; promulgated in a uniform format; consistent with the mission, goals, and initiatives of the university; and centrally maintained.

DEFINITIONS

Compliance Program

The compliance program is a program of review of the policies to ensure consistency and compliance with the provost's directives.

Policy

Policies are the approved written rules, regulations, and courses of action that guide decision making and determine behavior relevant to the university community and that are necessary for accomplishing the mission, goals, and initiatives of the university.

Practice

Practices are the specific processes developed in support of most policy-related procedures. Although practices are not part of the formal university policy, they provide step-by-step instructions for completing the procedures and are made available to all staff responsible for implementing policy. Practices may include but are not limited to process flow diagrams, checklists, forms, and job aids.

Procedure

Procedures are the specific actions or series of actions acknowledged by the university to be the most effective way to accomplish the goals and objectives of the policy, and that generally describe the major roles and responsibilities required to complete these actions. The level of detail described in the procedures should be specific enough for the primary audience (e.g.,

students, faculty, staff, stakeholders) to be able to clearly understand how to comply with the policy.

PROCEDURES

I. University Policy Origination

Any Capella University faculty or staff member may propose a new policy and related procedures or request a revision to an existing policy or procedure. The policy review and development process reflects a staged-gate model where specific criteria exist at each stage to determine the continuation path of a proposed new/revised policy.

II. University Policy Proposal Review and Approval Process

A. Request

1. A Capella staff or faculty member submits a request for policy creation, revision, or retirement to the university policy team.
2. The university policy team and the requester consult with the policy owner(s), if the owner is different than the requester.
3. The university policy team triages the request with the provost.

B. Development

Upon approval of the provost, the university policy team, policy owner(s), requester, and identified stakeholders develop a formal proposal, including a draft of the new or revised policy.

C. Initial Review

1. The proposal is reviewed for feedback and approval by the University Policy Council (UPC), and, if required, by the Capella University Board of Trustees. Regulatory and finance departments are included in these reviews as needed. The Policy Impact and Implementation Team (PIIT) also reviews the proposal and provides feedback.
2. Changes to the initial proposal may be made based on feedback on the logistical and operational viability of the proposal from each of these groups.
3. Meeting minutes for all UPC meetings will be recorded and retained.

D. Vetting and Approval

1. The proposal is reviewed with any revisions and approved for vetting by the UPC.
2. Upon approval by the UPC, the final draft is vetted by Capella University staff and faculty.
3. If substantial changes to the draft are made due to feedback received during the vetting process, an additional approval from the UPC will be required.
4. The final draft is reviewed by Capella University academic leaders.
5. The final draft is reviewed by Academic Publications.
6. The final draft must be approved by the provost and, if required, by the Capella University Board of Trustees.

E. Implementation

The university policy team works with stakeholders to implement and communicate policy changes as necessary. Policies generally become effective on the first of the month of a new quarter start, except when a different schedule is determined to be appropriate at the university's discretion.

- III. University Policy Compliance
 - A. The university policy team manages the policy compliance program under the direction of the provost.
 - B. The policy compliance program includes:
 - 1. The university policy portfolio
 - 2. The university policy review and approval process
- IV. Publication and Dissemination of University Policies

All university policies are published online and are accessible within Capella and to external audiences. Select policies are also published in Capella's *University Catalog*.
- V. University Policy Classification System

The university policy classification system is managed by the university policy team and consists of the following:

 - A. General Policy Category

These categories describe a policy's area of applicability such as Governance, Academic Administration, Academic Affairs, Student Affairs, and Faculty Affairs. A policy's category is indicated by the first digit(s) in the sequence—a one- or two-digit number—followed by a period.
 - B. Policy Subcategory

The subcategory provides specific information about subject matter and applicability and is unique to the category under which it is classified. The subcategory is indicated by a two-digit number that immediately follows the first period and is followed by a second period.
 - C. Individual Policy Number

A policy's unique number is the third element of the policy classification system. This is a two-digit number immediately following the second period and identifies the sequence in which the policy was added to the portfolio.

POLICY OWNERS

Academic Owner: Provost

Operations Owner: Registrar

RELATED DOCUMENTS

Framework Governing University Policy

University Policy Council (UPC) Charter

Policy Impact and Implementation Team (PIIT) Charter

REVISION HISTORY

Original Policy Approval Date: September 25, 1999

Revision Dates: 2-28-08; 11-12-09; 11-11-24

Administrative edits as a result of ongoing review: 5-28-08; 2-19-10; 9-26-13; 6-30-17; 5-23-19;
4-1-20; 4-1-25

Formerly university policy 01.40 Formulation and Issuance of University Policy