THE UNIVERSITY OF
TENNESSEE
KNOXVILLE

Knoxville Campus Policy: GE0001-K	
Version 1	Effective Date: 07/21/2023

SECTION 1. PROCEDURE STATEMENT

This procedure establishes the central framework for how the University of Tennessee, Knoxville, including the UT Institute of Agriculture and the UT Space Institute, will develop, approve, communicate, maintain, track, and update Campus Policy Documents.

SECTION 2. REASON FOR THE POLICY

The central framework of this procedure will help UTK create clear and consistent Campus Policy Documents and promote transparency, consistency, efficiency, and compliance, including compliance with UT System Policy Documents.

SECTION 3. SCOPE AND APPLICATION

This procedure applies to all Campus Policy Documents relating to the categories identified in Section 3.1. Campus Policy Documents include Campus Procedures, Campus Policies, and Campus Guidance Documents.

A **Campus Procedure** represents the specific written actions and practices needed by the Campus to implement, enforce, administer, and ensure compliance with a particular UT System Policy Document.

A **Campus Policy** represents the Campus' specific written position on a particular subject that is not addressed by a UT System Policy or Campus Procedure and sets expectations based on the nature and complexity of the subject.

A **Campus Guidance Document** is instructional only and intended to help guide the user to an answer concerning a Campus Procedure or Campus Policy.

Policies and procedures specific to a college, department, or unit are not subject to Section 4 of this procedure. Such policies and procedures, however, must be approved by the appropriate vice chancellor, dean, director, or department head, and shared with applicable employees through an appropriate website, shared electronic folder or other accessible means. College/department/unit specific policies and procedures must not conflict with UT System Policy Documents or Campus Policy Documents.

3.1 RESPONSIBLE OFFICIALS

The Responsible Official identified for each Campus Policy Document category, in the chart below, shall be responsible for ensuring compliance with this procedure for their area of responsibility. The Responsible Official may carry out their duties through designees, and each such designee will be considered a Responsible Official under this procedure.

	Campus Policy Document Category	Campus Responsible Official
1	Administration and Operations Policies & Procedures	Senior Vice Chancellor for Finance and Administration, UTK
2	Fiscal Policies & Procedures	Senior Vice Chancellor for Finance and Administration, UTK

3	Human Resources Policies & Procedures	Senior Vice Chancellor for Finance and Administration, UTK
4	Information Technology Policies & Procedures	Vice Chancellor for Information Technology and Digital Innovation, UTK
5	Research Policies & Procedures	Vice Chancellor for Research, UTK
6	Safety Policies & Procedures	Senior Vice Chancellor for Finance and Administration, UTK
7	Academic Policies & Procedures	Provost
8	The Faculty Handbook	Provost
9	*Hilltopics*, the Campus Student Handbook	Vice Chancellor for Student Life

3.2 CAMPUS POLICY DESIGNATED OFFICIAL

The Campus Policy Designated Official is responsible for:

- maintaining accurate versions and keeping a complete inventory of Campus Policy Documents;
- ensuring that Campus Policy Documents are developed, approved, communicated, maintained, tracked, and updated as required by this procedure;
- maintaining updated lists of Responsible Officials;
- maintaining the Campus Policy website and ensuring that the information on the website is accurate and complete;
- assisting Responsible Officials with Campus Policy Document routing pursuant to this procedure;
- coordinating the link of appropriate Campus Policy Documents to the UT System policy website; and
- ensuring the Campus' compliance with UT System Policy GE0001 (Policy Governing Issuance of System-Wide Administrative Policies).

3.3   UT SYSTEM POLICIES

A Campus Policy Document addressing an issue for which there is a UT System Policy must be consistent with all applicable UT System Policies but may be more restrictive than the UT System Policies.

SECTION 4.   PROCEDURES

4.1.   PROCESS FOR DEVELOPMENT AND APPROVAL

All Campus Policy Documents must follow the process outlined in Section 4.1.1 through Section 4.1.3. If a Campus Policy Document is in place as of the Effective Date above, then it will remain valid and effective

after adoption of this procedure. Any subsequent update or technical revision to such Campus Policy Document must follow the process set forth in this Section 4.

The reference to Campus Policy Documents in Section 4.1 through Section 4.6 does not include Campus Guidance Documents; instead, the procedures in Section 4.7 apply to Campus Guidance Documents.

4.1.1 STATEMENT OF NEED AND IMPACT

When a Responsible Official determines the need to revise an existing, or to develop a new Campus Policy Document in their area of responsibility, the Responsible Official shall prepare a Statement of Need and Impact for review by the Campus Policy Designated Official.

4.1.2 FORM TEMPLATES

All form templates for Campus Policy Documents must be created and maintained by the Campus Policy Designated Official.

4.1.3 DRAFTING CAMPUS POLICY DOCUMENTS

The Responsible Official shall submit the draft policy/procedure revision to the Campus Policy Designated Official and include the following: (a) the Statement of Need and Impact; (b) an executive summary of input by the various reviewing groups; (c) the plan for communicating the policy to affected employees and students, in coordination with appropriate Campus offices, and to any audiences targeted for special communication; and (d) the plan for accomplishing any necessary training. All proposed revisions must use the "track changes" function unless the changes are so substantial that tracking is impractical, in which case the existing policy/procedure must be attached or appended to the policy draft as it advances through the review and approval process.

After review for compliance, the Campus Policy Designated Official will submit those documents to the Chancellor's Cabinet. The Responsible Official shall consider comments by the Chancellor's Cabinet and, in consultation with the Campus Policy Designated Official, determine whether revisions to the policy/procedure draft are needed.

The Campus Policy Designated Official shall submit the policy/procedure draft and Statement of Need to the UT System Policy Office for compliance review when the subject matter relates to an existing UT System Policy or policy area (Fiscal, Human Resources, Information Technology, Research, and Safety).

The Responsible Official, in consultation with the Campus Policy Designated Official, shall prepare a final version of the draft, incorporating any necessary revisions based on comments by the Chancellor's Cabinet. Once finalized, the Responsible Official shall obtain documentation of approval by the Chancellor, which shall include the date of approval, and send a copy of the documentation to the Campus Policy Designated Official. The Campus Policy Designated Official shall maintain the documentation as a permanent record. The approval and documentation may be accomplished and maintained electronically.

4.2 COMMUNICATION AND TRAINING

4.2.1 COMMUNICATION TO AFFECTED EMPLOYEES AND STUDENTS

After the Responsible Official obtains approval of a Campus Policy Document, the Campus Policy Designated Official shall act with reasonable promptness to have the Campus Policy or Related Procedure posted on the policy website. Communication with affected audiences must summarize key provisions of the policy, including key revisions to a previous version of the Campus Policy or Related Procedure.

4.2.2 TRAINING

The Responsible Official shall determine whether all or certain groups of employees need training on the Campus Policy or Related Procedure and, if so, shall implement a plan to accomplish the training.

4.3 UPDATES AND TECHNICAL REVISIONS

The Responsible Official should work with the Campus Policy Designated Official to update and make technical revisions, which are administrative in nature, to a Campus Policy Document in their area of responsibility without following the process outlined in Section 4.1. Examples of technical revisions include changes to position titles, contact information, website addresses, spelling and grammatical corrections, and similarly situated clarifications. When the revised Campus Policy Document is posted on the policy website, the history must be included. Updates (but not technical revisions) are subject to the communication provisions of Section 4.2.

4.4 PERIODIC REVIEW

All Campus Policy Documents must be periodically reviewed by the Responsible Official as needed but no longer than every five (5) years to determine if it requires revision.

All Campus Policy Documents must indicate the last review date and the next regularly scheduled review date before posting to the policy website.

4.5 MAINTAINING PREVIOUS VERSIONS

After the Effective Date of this policy, beginning with the next revision of a Campus Policy Document, the Campus Policy Designated Official shall maintain an electronic file of all prior versions, including a history section showing the effective date of the original Campus Policy or Related Procedure, the effective date of all revisions, and a brief description of revisions.

4.6 REPEAL

If the Responsible Official decides to repeal a Campus Policy or Related Procedure, the Responsible Official shall present a statement of reasons to the Campus Policy Designated Official for submission to the Chancellor's Cabinet. If repeal is approved, the Campus Policy Designated Official shall act with reasonable promptness to have the Campus Policy or Related Procedure removed from the policy website and shall ensure that the last version of the Campus Policy or Related Procedure, including documentation of its repeal, is maintained as a permanent record, electronically or otherwise with the Campus Policy Designated Official. Guidance Documents may be repealed with the approval of the Campus Policy Designated Official.

4.7 NEW OR REVISED CAMPUS GUIDANCE DOCUMENTS

The Responsible Official must obtain the approval of the Campus Policy Designated Official (but not the UT System Policy Office or the Chancellor/Chancellor's Cabinet) when the Responsible Official determines

the need to revise an existing, or to develop a new, Campus Guidance Document in their area of responsibility.

SECTION 5. DEFINITIONS –

Campus or UTK: The University of Tennessee, Knoxville, including the University of Tennessee Institute of Agriculture and the University of Tennessee Space Institute.

Campus Designated Policy Official: the Campus employee designated by the Chancellor pursuant to Section 3.3 of UT System Policy GE0001 (Policy Governing Issuance of System-Wide Administrative Policies),

Campus Policy(ies): represents the Campus' specific written position on a particular subject that is not addressed by a UT System Policy or Campus Procedure and sets expectations based on the nature and complexity of the subject. A Campus Policy may include Campus Guidance Documents.

Campus Procedure(s): represents the specific written actions and practices needed by the Campus to implement, enforce, administer, and ensure compliance with a particular UT System Policy Document.

Campus Guidance Document(s): supplementary material such as guidelines, flowcharts, forms, and other means of instruction to assist with compliance and further guide the user to an answer. Guidance Documents must include a direct reference to a Campus Procedure or Campus Policy.

Campus Policy Document(s): one or more Campus Procedures, Campus Policies, and Campus Guidance Documents.

Responsible Official: an official designated by the Chancellor to be responsible for ensuring compliance with this procedure and Campus Policy Documents within certain categories of responsibilities. The Responsible Official may carry out the responsibilities of this procedure through one or more designees and, as used throughout this policy, the term "Responsible Official" includes such designees.

UT System Policy Document(s): as defined in GE0001 (Policy Governing Issuance of System-Wide Administrative Policies), a University Policy, Related Procedure, or Guidance Document.

UT System Policy Office: as defined in GE0001 (Policy Governing Issuance of System-Wide Administrative Policies), the University Policy Office residing within the Office of General Counsel.

SECTION 6.   PENALTIES/DISCIPLINARY ACTION FOR NON-COMPLIANCE

Compliance with this procedure may be assessed during any or all assessment activities which includes, but is not limited to, compliance audits, peer reviews, accreditation reviews and external agency reviews. Any Campus Policy Document that does not comply with, or which otherwise conflicts with, this procedure shall be superseded by the respective UT System Policy Document(s) and/or Campus Policy Document(s). In such event, the Campus Policy Designated Official shall work with the Responsible Official to review policy development expectations. In certain situations, failure to comply with this policy may result in inconsistencies and errant expectations that may lead to disciplinary actions.

SECTION 7.   RESPONSIBLE OFFICIAL & ADDITIONAL CONTACTS

Subject Matter	Office Name	Telephone Number (xxx) xxx-xxxx	Email/Web Address

Policy Clarification and Interpretation	Contact the Campus Responsible Official		
Policy Training	Contact the Campus Responsible Official		

SECTION 8.   POLICY HISTORY

Version 1:

SECTION 9.   RELATED POLICIES/GUIDANCE DOCUMENTS

Policy Flowchart;

Policy Template;

Statement of Need and Impact Template.