## The American University of Kurdistan
## Policy of Policy Management

Policy Number:GA007
Effective Date: June 6, 2022

1. **Policy:** This policy, set forth by the Board of Trustees, shall be followed for developing, revising, and managing AUK's policies to protect the integrity of the University's mission, reputation and operations; encourage accountability; and support the management of major institutional risks. Policies inform the University community and third parties about the major risks that the University seeks to address and communicate risk tolerance in key areas. They must be kept current, reviewed on a regular basis, and available to all relevant operating units in a timely manner.
   a. **Purpose:** This policy delineates an effective and consistent process of development, revision, and management of AUK's policies and procedures. The policy's scope applies to all units of the University.
   b. **Scope:** This policy applies to all individuals and Issuing Units that seek to submit a Policy Proposal Form in order to begin the process that ultimately leads to approval by the Board of Trustees.

2. **Definition of Terms:**
   - Policy: A set of general guidelines that outline a plan for addressing an issue with an expected outcome.
   - Procedure: A series of step-by-step instructions for specific tasks that support the policy.
   - OIEP: The Office of Institutional Effectiveness and Planning at AUK.
   - Issuing Unit: The University office or program that initiates, develops, and assesses the New Policy
   - Interim Policy: That period between acceptance of the Policy Proposal by the University Cabinet and approval by the Board of Trustees when the Issuing Unit can pilot and assess the effectiveness of the policy and utilize the data to help support the proposal to the Board of Trustees.

3. **Responsibilities:**
   a. **Issuing Unit:** The Office of Institutional Effectiveness and Planning (OIEP) will hold primary responsibility for maintaining, sustaining, and overseeing policies and procedures. University policies will be presented in categories with unique codes. Each code contains two upper letters that represent a category, followed by three digits representing the sequence of policies within that category.
   b. **Other Stakeholders:**
      AUK Board of Trustees: Final Approval

4. **Procedures:** The University office or unit that initiates, develops and reviews the new Policy shall be identified as the "Issuing Unit." The following procedures shall be followed.
   Proposals for new policies or for policies' review must use the "Policy Proposal Form,"
   Prior to submission to OIEP:
   - The Issuing Unit must develop a draft policy for new proposals or revise a current Policy by first seeking input from all constituents and stakeholders knowledgeable about the subject to ensure that

the Policy aligns the mission of the University, promotes efficiency, reduces risk, and encourages accountability.

- The Issuing Unit must submit the first draft of the Policy Proposal Form to OIEP.

The role of OIEP:

- The OIEP shall notify President Council, Academic Council, Faculty Senate, Staff Senate, and Student Representatives as appropriate, and seek input from them for a period of ten (10) working days after notification. In the event no responses are received by the end of the 10 working days, the policy will be considered "accepted as submitted."
- If, however, stakeholders have comments within the 10 working days, they should submit their comments using "track changes" and submit to OIEP.
- After OIEP has collected all comments, it will seek a meeting with the Issuing Unit to discuss comments and concerns to make recommendations for continuance.
- After drafting the final version incorporating all comments and signing the Policy Proposal Form, OIEP shall send the Proposal to the University Cabinet.

The role of the Cabinet:

- The University Cabinet shall review the Proposal. It has the right to request a briefing on the Proposal by the Issuing Unit in a Cabinet meeting.
- After the review, the University Cabinet may: a) require further information, b) request substantive changes, or c) revisions to the proposed Policy.

Next step:

- The Issuing Unit will have ten (10) business days to respond. The University Cabinet shall review the resubmitted Policy and either accept or reject it.
- After acceptance by the University Cabinet, the Policy shall be used as an Interim Policy until approved by the Board of Trustees.
- During the period the Interim Policy status is in effect, the Issuing Unit may pilot the Policy to determine its effectiveness to support its approval by the Board of Trustees, using data collected during this period from OIEP.

The Board of Trustees:

- The President shall submit the Policy to the Board of Trustees and seek their approval at the next regularly scheduled Board meeting.
- The Policy will be effective on the date of approval by the Board of Trustees and note the date at the bottom of the new Policy.

After Board approval:

- The OIEP is expected to promptly publish the approved Policy on the AUK website, as part of its duties and responsibilities.
- The OIEP must approve any policy content uploaded on the website.
- The OIEP will organize seminars or workshops whenever a new Policy requires a briefing for the University community.

Issuing Unit responsibilities after approval:

- At any time after the Policy goes into effect, should the Issuing Unit determine that Procedures need to be updated or amended, it may do so simply by informing OIEP, which must approve or consult with the Issuing Unit on the changes. Documentation of these changes must be reflected within the proposal form.
- The Issuing Unit is responsible for collecting documentation related to all measurement metrics that demonstrate the effectiveness and success of the policy. Documentation must be submitted to OIEP at least once each year.

5. **Timeline and Communication/Implementation Plan:** None

6. **Related Documents**
   New Policy Proposal Form and Template
   Revision or Decommission of Current AUK Policy Proposal Form

7.  **Ways to measure success:** Policies and procedures are reviewed every three years unless otherwise specified in the policy. Upon approval of a policy by the Board, the OIEP shall require Issuing Units to review all policies that became effective, three years previous. If, after the review, the Issuing Unit wishes to make substantive changes, it will submit a Policy Proposal Form to be reviewed by the University Cabinet, according to the procedures noted below.

    The following objectives will serve as measurable outcomes:
    - All new policies and procedures submitted to OIEP will follow all required elements identified in the Policy Proposal Form.
    - All new policies and procedures must be current and reviewed on a regular basis as well as being submitted to OIEP within six months of the third year after the effective date of approval by the Board of Trustees, if they require.
    - All University policies must be developed, modified, approved and published in accordance with the standards outlined in this Policy and must be published on the AUK website.

8.  **Policy History**
    a. **Approved by:** Board of Trustees
    b. **Adopted:** June 6, 2022
    c. **Revised:** June 1, 2025