

## Policies and Procedures

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| Policy Title       | Policy Governing University Policies             | Policy Number      | 101         |
| Section            | Governance, Organization, General Information    | Approval Date      | 5 June 2024 |
| Subsection         | Governance and Organization                      | Authorizing Entity | BoG         |
| Responsible Office | VP Institutional Effectiveness and Accreditation | Effective Date     | 9 June 2024 |
| Distributed To     | All staff and faculty                            | Next Review Date   | 9 June 2026 |

### 1.0 PURPOSE

1.1 The American University of Bahrain supports a framework which allows members of the university community to participate in and provide input on policy development through their specific governance entities. This process ensures institutional integrity by promoting transparency, collaboration, and efficiency.

1.2 This policy describes the responsibilities of the individuals and entities involved in the policy development, approval, and revision process.

1.3 This policy governs the processes of creation, approval, deletion, and revision of all official American University of Bahrain policies.

### 2.0 DEFINITIONS

2.1 Approval Date: The date the policy is approved by the AUBH Board of Trustees.

2.2 Effective Date: The date the policy goes into effect. The effective date must be on or after the date the policy is approved by the Board of Trustees.

2.3 Non-substantive Revision: Changes to a university policy or proposed policy that corrects typographical or grammatical errors, alters policy format, and/or updates reference information. Non-substantive revisions do not alter the purpose, scope, meaning, or application of an existing policy or proposed policy.

2.4 Policy Archive: The main repository for all archived policies and past policy revisions. The policy archive will be maintained by the Document Repository Manager.

2.5 Policy Manual: The main repository for all approved university policies.

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2.6 Policy Sponsor: The individual who proposes the development and advancement of a new policy, a policy revision, or a policy deletion through the appropriate Vice President. The Vice President advises the policy sponsor through the university policy approval process.

2.7 University Council: The body of individuals representing entities across the university who are convened by the university president. A central function of the University Council is policy development and maintenance. The University Council consists of the university president, provost, vice presidents, and the presidents of the Faculty Council and the Student Association. Other members representative of the university community may be invited to serve on the University Council as deemed necessary by the president.

2.8 Regular policy approval process: The policy approval process that engages the university community and governance agencies in the development, revision, and deletion of policies.

2.9 Responsible Office: The university entity responsible for the interpretation, implementation, communication, and enforcement of a specific policy.

2.10 Substantive Revision: Changes to a university policy that change the purpose, scope, meaning, or application of a university policy or proposed policy.

2.11 Temporary policy approval process: The approval process for temporary new policies, revisions, and suspensions of existing policies. This process is limited to policy changes that the University Council deems to be critical and time-sensitive.

2.12 University Policy: Authorized by university governance entities, university policies prescribe standards, requirements, restrictions, rights, or responsibilities and support the mission, values, and operation of the University. Policies are maintained by the Office of Institutional Research and all policies must be approved by the Board of Trustees. University policies are contained in the Policy Manual and exist at the university level. Entities such as divisions, departments, colleges, etc. may have rules and regulations, guidelines, procedures, handbooks, and manuals which support and align with university policies.

2.13 University Procedure: The operational processes necessary to implement institutional policy. Procedures define the specific instructions for performing tasks associated with university policies and are approved by the president or his/her designee. Together, approved policies and procedures implement the mission, values, and operation of the American University of Bahrain.

### 3.0 POLICY

3.1 The university president has the authority to establish university policies, subject to the approval of the Board of Trustees. The Board of Trustees shall consult and advise the president generally and approve or disprove policy proposals.

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3.2 American University of Bahrain policies are the official policies of the university and unless stated otherwise, they are binding on all university employees, students, and persons visiting or using the facilities or resources of the university.

3.3 Policies exist with a hierarchy of authority with:

- 1) Bahrain Law, Statutes, and Regulations
- 2) American University of Bahrain Policies
- 3) Division, office, department, and program guidelines, practices, and standard operating procedures

3.3.1 All guidelines, practices, standard operating procedures, forms, checklists, protocols, criteria, deadlines, or any other means of implementing or complying with a university policy must be consistent with university policy. In the event of a conflict between documents at different levels in the hierarchy of authority, the higher-level authority governs and lower level documents must be revised to that effect.

3.3.2 In the event of conflicting university policies, the University Council will determine which policy is to be withheld and which needs to be revised in order to resolve the conflict. In the absence of a determination, or in the time before the Council's revision is complete, the most recently approved policy governs.

3.3.3 In the event of a disagreement on interpretation, implementation and/or compliance with a specific policy, the president, in consultation with the University Council, makes the final decision.

3.4 Alleged violations, misinterpretations, or misapplications of university policies may be addressed in accordance with university policies and Bahraini law.

3.5 Policies will be enforced beginning on the effective date as it is written in the policy. Policies may not be enforced retroactively unless mandated by law.

## 4.0 PROCEDURES

4.1 Policy Approval Process: University policies adopted, revised, or deleted after the effective date of this policy must be approved through the following approval process. Any college employee, entity, or student may make recommendations regarding university policy and become a policy sponsor.

4.1.1 A proposed policy or a proposed revision shall comply with the American University of Bahrain Policies and Procedures policy format and include the use of the following sections: purpose, definitions, policy, procedures, related documents and references and policy history. The policy template document may be found in the documents section in SharePoint or by contacting the Document Repository Manager.

4.1.2 Policy proposals must contain the policy in its entirety. (i.e., the entire text of a proposed policy, the entire text of an existing university policy and all proposed revisions, or the entire text of an existing university policy being proposed for deletion). Policy proposals may contain supporting documentation to aid the individuals and entities that are reviewing and approving the proposal.

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4.1.3 Proposals for policy revision must use strikethrough for deletions of existing language and underline for additions to existing language. In cases where extensive revisions are proposed, two documents are required: one document containing the proposed policy language with no revision marks, and one document containing the existing policy language with strikethrough and underline showing the proposed deletions and additions, respectively.

4.1.4 Policy proposals do not have the weight of policy and will not be implemented prior to the effective date established by the Board of Trustees.

### 4.2 Proposal of a new policy:

4.2.1 Upon fulfillment of the above requirements, the policy proposal will then be taken to a vice president where a determination will be made as to whether or not the proposed policy is appropriate and necessary.

### 4.3 Legal Review

4.3.1 The vice president under which the proposed policy would fall will send the proposed policy to university legal counsel for initial review.

### 4.4 University Council Review

4.4.1 Once reviewed by university legal counsel, the proposed policy will be submitted to the University Council. The University Council will review the proposed policy and make one of two recommendations:

4.4.1.1 If no substantive revisions are necessary, the University Council will recommend that the proposed policy be sent out for thirty-day campus review. (See 4.5)

4.4.1.2 If substantive revisions are necessary, the proposed policy will be sent back to the policy sponsor for revision. Upon making the recommended changes, the policy sponsor may resubmit the proposed policy to the University Council for review.

### 4.5 Thirty-Day Review

4.5.1 Once the proposed policy has been approved by the University Council, the designated vice president shall send the proposed policy to university employees at large for review.

4.5.2 Employees have thirty days to review the proposed policy and submit written feedback to the policy sponsor and the University Council.

### 4.6 Second Review by the University Council

4.6.1 University Council will review all feedback from the thirty-day review and either:

4.6.1.1 Approve the proposed policy without suggestions received during the thirty-day review

4.6.1.2 Send the policy back to the policy sponsor along with recommended revision(s) from feedback received during the thirty-day review.

4.6.1.2.1 The proposed policy must continue this process until it is deemed by the University Council that no additional substantive revisions are required.

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### 4.7 Second Legal Review

4.7.1 The designated vice president shall send the proposed policy to legal counsel for final review or prepare the proposed policy for trustee approval, whichever action is deemed appropriate.

4.7.2 If changes are made by legal counsel, the policy shall return to the University Council for additional review.

### 4.8 Review by the Board of Trustees

4.8.1 The president or designee shall present the policy proposal to the Board of Trustees for its review and may withdraw it at any time prior to a vote on the policy proposal. The Board of Trustees shall consult and advise the president generally and (a) approve or (b) disapprove policy proposals.

4.8.2 If the Board of Trustees disapproves a policy proposal that would likely be approved with non-substantive revisions, the president may (a) make the non-substantive revisions at the Board of Trustees meeting and request approval of the revised policy proposal or (b) remand the policy proposal to the policy sponsor and to an appropriate stage of the approval process.

4.8.3 If the Board of Trustees disapproves a policy proposal that would likely be approved with substantive revisions, the president may remand the policy proposal to the policy sponsor and to an appropriate stage of the approval process.

4.8.4 The actions of the Board of Trustees shall be recorded in the minutes of that body.

### 4.9 Policy Review and Maintenance

4.9.1 Annually, the Office of the Vice President and COO shall coordinate a regular review of universities policies with the University Council. Each policy shall be reviewed on five-year intervals from its effective date, at a minimum. The reviews shall assess whether policies are still (a) in compliance with applicable laws, statutes, and regulations, etc.; (b) consistent with other university policies addressing similar subject matters; (c) current with the university policy format, personnel, position, and entity information; and (d) advisable in meeting the needs of the American University of Bahrain.

4.9.1.1 If it is deemed that a policy does not align with the above requirements, it shall be proposed by the University Council that the policy be updated or archived, whichever action is found appropriate for that policy. The update or archival of any policy must go through the policy approval process as outlined above.

4.9.2 The Office of Institutional Research shall maintain the policy manual as well as a policy archive. This office shall also facilitate the policy approval process and notify the university community of policy proposals that are approved by the Board of Trustees.

4.9.3 Printed versions of policies that occur in university handbooks, catalogs, etc., shall include a disclaimer that official university policies are located in the policy manual and are subject to change via the policy approval processes. University websites that contain policies shall link to the official policies in the policy manual instead of posting separate copies of policies.

### 4.10 Post Approval Process

4.10.1 Once a policy proposal has been approved by the Board of Trustees, the Office Institutional Research shall notify faculty and staff in a timely fashion.

4.10.2 If the approved policy is new, the Office of the Director of Institutional Research shall post the new policy in the policy manual.

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4.10.3 If the approved policy is for the revision of an existing policy, the Office of Institutional Research shall post the revised policy in the policy manual in the place of the existing policy that it is replacing. The existing policy shall be placed in the policy archive.

4.11.4 If the policy proposal is for the deletion of an existing policy, the Office of Institutional Research shall delete the policy from the policy manual and maintain it in the policy archive.

### 5.0 RELATED DOCUMENTS AND REFERENCES

#### 5.1 American University of Bahrain Policies and Procedures Template

#### POLICY HISTORY

| Date of Last Action | Action Taken/Changes   | Authorizing Entity | Effective Date   |
|---------------------|--|--------------------|------------------|
| 31 May 2023         | First Approval of the policy   | BoG                | 3 September 2023 |
| 5 June 2024         | Change 'thirty-day' to 'fifteen-day' in 4.4.1.1, 4.5, 4.5.2, 4.6.1, 4.6.1.1, 4.6.1.2 | BoG                | 9 June 2024      |