

Guidelines for Drafting Policies, Regulations and Rules (PRRs)
Office of General Counsel
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I. Introduction

In January of 2002, the University created a single website (the [PRR website](#)) for the publication of all University policies, regulations and rules thereby establishing (1) a single site to facilitate the location of PRRs and (2) a uniform format and reference system. NC State University [REG 01.25.05](#) – Procedure for Formatting, Adopting, and Publishing Policies, Regulations, and Rules (PRR Protocol) addresses the authority, definitions, and procedures for developing, approving, and revising PRRs. This regulation should be reviewed for additional understanding of University PRRs. These guidelines describe the elements of the PRR template and provide guidance on how to draft clear PRRs and route them appropriately.

II. PRR Content

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.

- A. PRRs should be concise, understandable and contain only material essential to the PRR. The content of the actual PRR should only contain the essential information. Reference internal unit Standard Operating Procedures for details relevant to the PRRs. Do not repeat language from BOG or BOT language unless necessary. Instead, reference the policy or hyperlink to it.

- B. As a general rule, PRRs should be written in active voice and address the following questions, as applicable:
 - 1. Who - who is covered by the PRR, who is accountable
 - 2. What - the subject matter/policy being addressed¹
 - 3. When - time periods or deadlines²
 - 4. Where – applicable offices, business units, colleges, departments³
 - How - procedure⁴

¹ E.g., the 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 guidelines, if necessary.

5. Why - purpose

- C. PRRs must be consistent with all applicable governing authority and should reference that authority in the Introduction.

III. Headings – Common headings are listed below. Not all may be necessary depending upon the subject matter and scope of the PRR.

- A. Introduction: describes the background relevant to why the PRR exists or reasons for the policy. Some examples of the purpose or reason for a PRR are the following:
1. legal or regulatory - state or federal law or UNC requires NCSU to have a policy or procedure on the subject;⁵
 2. To resolve a conflict or a problem, ensure accountability, address expected behavior;⁶
 3. To recognize the legitimate interests/expectations of various individuals, administrative or academic units or the university;⁷
 4. Overall university benefits.⁸
- B. 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.
- C. Definitions: Defines any technical language or words used in a special sense.
- D. 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.
- E. Exclusions or exceptions: lists any locations 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.
- F. Procedures: the steps that must be followed to comply with the policy.

⁵ E.g., UNC Code and implementing BOG policies require that NC State 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.

IV. Additional Material that must be provided as part of the uniform template

- A. Title of the PRR: this should be written so that the major subject matter or class affected appears first; e.g., Procedure for Formatting, Adopting, and Publishing Policies, Regulations, and Rules rather than Policy Statement on Procedure for Formatting, Adopting, and Publishing Policies, Regulations, and Rules.
- B. The PRR number for new PRRs should be designated with placeholders and OGC will assign the next available number once the PRR is approved.
- C. Authority: Who has the delegated authority to issue the PRR according to REG 01.25.05 Procedure for Formatting, Adopting, and Publishing Policies, Regulations, and Rules
- D. History: date the PRR first enacted
- E. Last revision date: date of last substantive changes to the PRR
- F. Date of last review: date of last comprehensive review of the PRR, whether or not substantive changes were made
- G. Related Policies: any related policies that may help the reader understand the PRR.
- H. Additional References: any forms, departments, or outside resources that may help the reader understand the PRR.
- I. Contact Person: official title or department and phone number/email address that should be contacted for information about the PRR.