

# 1001-G2 Policy Lifecycle: New & Substantively Amended Policies

Utah State University



- **Assess** need, consider substantive requirements, and federal or state regulations
- **Acquire** approval to draft policy from Responsible Executive
- **Submit** Policy Substantive Revision Form (step 1) to the Policy Office for review. The Office of General Counsel will advise on policy landscape regarding scope and regulatory impacts

- **Engage** stakeholders, compliance partners, and OGC liaison (policy development team) in drafting the revision or proposal
- **Research** how other peer institutions address this issue
- **Revise** draft considering feedback received
- **Submit** a clean version of the policy, a red-lined copy, the completed Policy Substantive Revision Form, Executive Summary, and Policy Implementation Plan to the Policy Office

- Policy Office **prepares** documents by making editorial recommendations & verifying key stakeholders were included
- Office of General Council **conducts** final review
- Policy documents **posted online** for public comment period
- Responsible executive reviews all feedback & **recommends** policy for approval or revision by the University Leadership Council and President.
- President consults with Board of Trustees **or recommends final approval.**

- **Submit** approved policy to Policy Office for posting in Policy Library
- **Implement** Communication Plan, Training Plan (Policy Custodian)
- **Schedule** required review in Policy Review Calendar (Policy Office)
- **Update** procedures, standards, guidance etc as needed.

- **Evaluate** effectiveness
- **Monitor** compliance
- **Review** as required in Policy Review Calendar
- **Modify** based on reviews, changes in regulations and non-compliance events.
- **Consider** retirement during regular policy review, or based on regulatory changes

# 1001-G3 Policy Lifecycle: Interim Policies and Amendments

Utah State University



- **Assess** need and identify urgent requirement for policy response
- **Designate** Policy Custodian and subject matter experts to serve on policy development team
- **Consider** substantive requirements, analyze impact on stakeholders, consider other policies
- **Acquire** approval to draft policy from Responsible Executive or President
- **Submit** Policy Justification and Suggestion Form to the Policy Office. The Policy Office will submit the form to General Counsel for legal advice regarding scope and regulatory impacts

- **Draft** Policy
  - Use Policy template
  - Use Executive Summary of Proposed Policy Template
- **Collaborate** with compliance partners (if needed)
- **Revise** drafts considering input received
- **Acquire** consensus from interim policy development team and Responsible Executive to continue
- **Partner** with Policy Office to submit revised draft to the Office of General Counsel

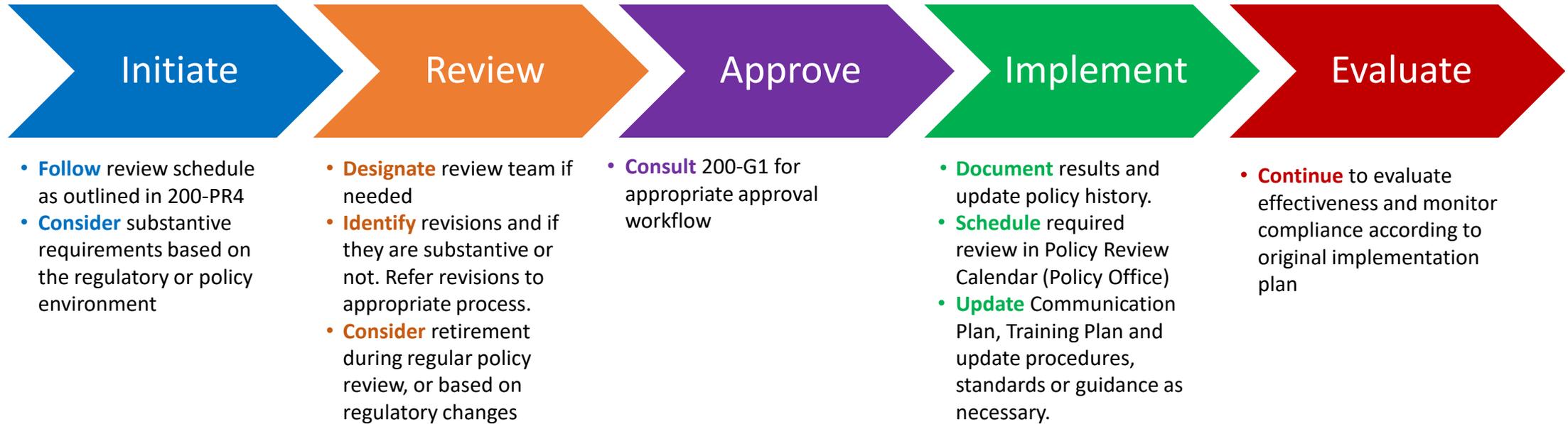
- **Use** Policy Routing Worksheet to guide policy through approval workflows which may include:
  - President
  - Board of Trustees

- **Submit** approved policy to Policy Office for posting in Policy Library
- **Implement** Communication Plan, Training Plan (Policy Custodian). Expedite as necessary
- **Initiate** development of permanent policy within 60 days so that it is completed within effective term. The Policy Office shall track the review dates in the Policy Review Calendar.

- **Evaluate** effectiveness
- **Monitor** compliance
- **Review** only if interim effective date is extended. Term extensions, not to exceed six months, may be requested by the Policy Custodian and Responsible Executive, or by General Counsel. A request must include a justification, and must be approved by the President.

## 1001-G4 Policy Lifecycle: Scheduled Review of Existing Policies

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# 1001-G5 Policy Lifecycle: Non-substantive Amendments

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- **Document** necessary changes

- **Acquire** approval of revisions from Policy Custodian and Responsible Executive
- **Collaborate** with compliance partners (if needed)
- **Submit** revised draft or edits to General Counsel for legal review

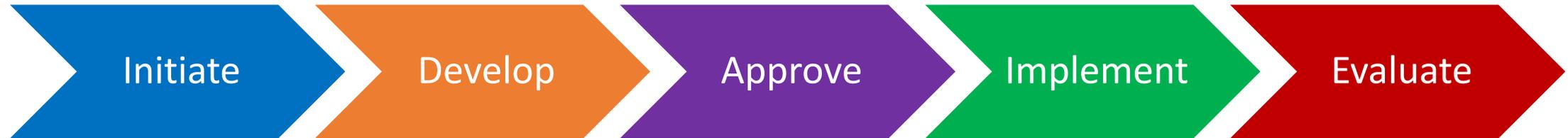
- **Use** Policy Routing Worksheet to guide policy through approval process if necessary

- **Update** Communications and training materials with edits and revisions
- **Submit** policy for posting
- **Update** policy history
- **Document** review outcomes

- **Evaluate** effectiveness
- **Monitor** compliance
- **Review** as required in Policy Review Calendar (Minor revisions and edits do not trigger a new review cycle.)

## 1001-G6 Policy Lifecycle: Retirement of Policies

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- **Assess** need for retirement either at regularly scheduled review or based on changes in the regulatory or policy environment
- **Consider** impact on stakeholders and other policies that may be affected
- **Collaborate** with Policy Office on proposal. The Policy Office will submit proposal to the Office of General Counsel for legal advice regarding any regulatory impacts

- **Engage** affected stakeholders and/or compliance partners
- **Draft** Retirement Recommendation, using Policy Retirement Form
- **Acquire** approval from Policy Custodian and Responsible Executive

- **Use** Policy Retirement Form to guide policy through approval workflow

- **Submit** approved Policy Retirement Form to Policy Office for removal of policy from Policy Library
- **Implement** Communication Plan and Training Plan as necessary

- **Monitor** for any unintended consequences based on retirement of policy