

## Procedure 1001-PR3: Interim Policies & Amendments

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Associated Policy: 1001, University Policy System  
Effective Date: 2025/03/17  
Latest Revision: 2025/03/17  
Category: Governance and Authority  
Subcategory: None

### POLICY STATEMENT (POLICY 1001.2.1.3)

Actions and review of University Policies must be carried out in accordance with Procedure 1001-PR1, Developing University Policies & Procedures, with further specific procedures outlined in Procedures:

- 1001-PR3, Interim Policies and Amendments

### PURPOSE

This procedure outlines the steps and tools to develop, implement, and review interim policies and amendments.

### DEFINITIONS

Definitions in this Procedure shall be as outlined in Policy 1001, Policy on University Regulations, Section 5.

### PROCEDURES

#### Initiating policy

**1. Introduce a Need for Policy**

In consultation with the Responsible Executive and Office of General Counsel, the President will determine the need to implement a policy immediately based on perceived risk or changing federal or legal regulatory requirements.

**2. Designate Policy Custodian (if applicable)**

In cases where a new policy is being introduced, the Responsible Executive under whose purview the policy would reside shall designate a Policy Custodian. The Policy Custodian shall be a USU employee reporting to the Responsible Executive.

**3. Consider Impact**

An individual submitting a 1001-F1: Policy Substantive Revision Form should consider substantive requirements in regulation or guidance from state or federal agencies and include information in a brief summary as indicated in Step 1 of the form.

The primary difference between interim policies and other policies is the presence of circumstances under which it can be reasonably asserted that the risk of delaying the adoption of a policy outweighs the risk of delaying the gathering of stakeholder feedback regarding the policy.

Interim policies shall be considered unusual, and justification shall be documented by the Policy Officer.

Some examples of cases that might justify interim action could be the adoption of new regulations, rules, or guidance that take immediate effect and require actions not anticipated by the current policy; the discovery of gaps in current policies or practices, especially if those gaps increase the risk of adverse actions against USU; judicial actions that increase USU's audit or legal risks; perceived safety risks; while awaiting approval by an external agency; or situations when the timeline required to comply to new regulations does not align with the procedural timeline outlined in 1001-PR2. Individuals working toward justifying interim policies shall coordinate with the Policy Office to complete a compliance check and consider impacts on other policies and university operations.

If a Policy Custodian or Responsible Executive anticipates needing to implement an interim policy, they should indicate this in Step 1 of the 1001-F1: Policy Substantive Revision Form.

**4. Receive Initial Approval**

The Responsible Executive and Policy Custodian shall provide approval to begin drafting policy by signing the 1001-F1: Policy Substantive Revision Form.

**5. Submit Form for Preliminary Review**

Once all required signatures are gathered on the 1001-F1 Policy Substantive Revision Form, the Policy Custodian or Responsible Executive submits the form to the Policy Officer. The Policy Officer will coordinate a preliminary review with the Office of General Counsel (OGC). The proposal will be considered for consistency with existing USU policies and evaluated based on need. If applicable, the Policy Office will assign a policy number for the proposal. A liaison from the OGC will be assigned to advise the Policy Custodian. A determination will be made on whether or not the policy should be implemented as an interim policy.

## Developing Interim Policy

**6. Designate Team**

In consultation with the OGC liaison, the Responsible Executive will determine the appropriate approach to draft the interim policy. The OGC liaison shall advise on the policy landscape regarding the scope and regulatory impact. Policies that impact the general public may be subject to the Utah Administrative Rulemaking process. The OGC member will also provide guidance on this process.

If appropriate, the Responsible Executive may task the Policy Custodian with designating key stakeholders to serve on a policy development team. The team members shall represent functional areas or compliance owners most impacted by the policy.

**7. Draft Policy**

The policy will be drafted under the leadership of the Policy Custodian using the current Policy Template and other tools available through the Policy Office.

The goal is to draft the policy expeditiously and provide a framework for rapid implementation and flexibility. Further development of processes, procedures, and guidance should occur within the first 60 days of implementation. The Policy Custodian and Responsible Executive should also recommend an effective policy term not exceeding 12 months.

**8. Acquire Approval and Finalize Documents**

The Responsible Executive must approve the draft interim policy before continuing the policy process. Once approved, the Policy Custodian will submit the 1001-F1: Policy Substantive Revision Form, the 1001-F3: Interim Policy Justification Form, a clean copy of the proposed interim policy, and a redlined version to the Policy Officer for final review.

**9. Conduct Final Review**

The Policy Officer will review the proposal for content, consistency, and relevancy. The proposal is prepared by:

- Making editorial recommendations based on the style guide
- Verifying participation from key stakeholders and compliance owners
- Verifying that benchmarking or research on best practices was conducted
- Verifying that procedural documents and a policy implementation plan are drafted
- Reviewing for consistency with existing USU policy

Any suggested edits or revisions will be shared with the Policy Custodian. The OGC Liaison will also approve the proposal.

Acquiring approval

**10. Present Proposal**

The President, members of the Office of General Counsel, and the Responsible Executive will review the proposal and determine if the interim policy is approved. If approved by the President, the President shall issue an executive memo. The executive memo will summarize why the interim policy must be implemented immediately, what changes were included, the effective term, and the contact information for the Responsible Executive.

Implementation

**11. Update Policy Website**

The Policy Officer will post the policy in the University Policy Library upon approval. The Policy Office website will be updated to notify the university. An email notification will be sent to all individuals who subscribe to policy notifications.

**12. Initiate Development of Permanent Policy**

The Policy Custodian initiates the implementation plan, including training and internal and external communication activities. These activities must begin within 60 days of the interim policy's approval.

Following the implementation of the interim policy, the Policy Custodian and Responsible Executive will complete the policy review process according to Policy 1001: Policy on University Regulations and 1001 PR-2: New & Substantively Amended Policies.

Evaluation

**13. Evaluate Effectiveness and Monitor Compliance**

The Policy Custodian and the Responsible Executive will implement and coordinate ongoing monitoring controls to evaluate the policy's effectiveness and track compliance. Enforcement efforts shall begin upon publication of the policy.

**Review and Modify as Needed**

Members of the USU community may submit feedback online for any USU policy regardless of review cycles. This feedback is collected by the Policy Officer and shared with Policy Custodians. A file of any feedback received will also be shared with Policy Custodians at the time of the scheduled review.

The effective term of the interim policy may be extended up to 6 months upon justification by the Policy Custodian, the Responsible Executive, and the Office of General Counsel. The President must grant the extension. If an extension is granted, the Policy Custodian, in collaboration with the Policy Office, shall review the interim policy as appropriate in accordance with 1001-PR4: Scheduled Review of Existing Policies.

## HISTORY

2027/03/17 Procedure approved for implementation at the time of publication of Policy 1001, University Policy System

## ADDITIONAL INFORMATION

### Related USU Policies, USHE Rules, or Regulations

- Policy 1001: University Policy System

### Related Procedures

- 1001-PR1: Developing University Policies
- 1001-PR2: New and Substantively Amended Policies
- 1001-PR4: Scheduled Review of Existing Policies
- 1001-PR5: Non-substantive Revisions of Existing Policies
- 1001-PR6: Retirement of Policies

### Guidance

- 1001-G1: USU Flowchart for Policy Consideration and Approval
- 1001-G2 through G6: Policy Lifecycles
- 1001-G7: USU Policy Style Guide
- 1001-G8: USU Policy Categories
- Policy Template

### Related Forms and Tools

- 1001-F1: Policy Substantive Revision Form
- 1001-F2: Policy Routing Worksheet for Non-substantive Revisions
- 1001-F3: Interim Policy Justification Form
- 1001-F5: Executive Summary
- 1001-F6: Policy Retirement Form
- Policy Review Calendar
- USU Compliance Framework