

UPP Coordinators:

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What needs to be a policy?

Issues that rise to a level needing to be addressed through the university policy process share a number of characteristics, that include and are not limited to:

- Endure across time and administrations; change infrequently and set the course for the foreseeable future.
- Manifest and operationalize the university's mission, vision, values, and principles.
- Apply broadly across the institution.
- Ensure compliance with applicable laws and regulations.
- Promote operational efficiency and reduce bureaucracy.
- Reduce institutional risk

Questions to consider when revising existing or writing new policies:

- Are there new mandates (state or federal law, case law, rule changes) that require that a policy change or a new policy be written?
- Have changes occurred in best practices, customer needs, university culture or social trends to suggest policy changes or the need for a new policy?
- Can this issue be integrated with or addressed by other policies, rules or documents?
- Are terminology, office names/numbers/websites/hotlinks and cross references current and correct?

Revision means the policy will undergo substantive content changes. At its discretion, a policy owner may solicit feedback through the UPP; this is not required for revisions. Revisions must minimally be signed off on by Legal Affairs.

Edits are merely style, format or grammar changes and/or correction of error, and can be coordinated by the policy owner, who is responsible for updating the UPP database.

Review means the policy was reviewed and confirmed that the content was found to be current.

****All superseded policies (revised, edited, reviewed), signature forms, and their associated documents must be archived with the University Archives**



Predevelopment

1. **Identify issue.** Issues may emerge from trends within a VP unit, through federal or state legislation or regulation, changes in best practices, as a result from an incident on campus, or in a variety of other ways.
2. **Identify responsible executive.** This position is responsible for the content and accuracy of a policy. Different offices can own pieces of the policy or procedures, and one individual carries the overall responsibility. If disputes arise, this individual is the one who ultimately decides the outcome or the process that will be used for resolution.
3. **Assemble a team.** Involve individuals with topical and process expertise, policy users, those impacted by the policy, and others.

_____ Contact the UPP coordinator and determine a plan of action and a timeline. Check out the resources on the University Policy Web Site.

_____ Benchmark best practices as necessary, using policies, practices, and programs from Ohio State’s benchmark institutions and other organizations.

_____ Form a policy writing group. Consider how to select the team members (content and process experts, users, those impacted, etc.). Get explicit about member roles, expectations, etc.

_____ Review applicable university bylaws, rules, regulations; university policies; and state and federal laws/regulations. Policies must remain consistent with all. Consider whether the issue can be addressed in a current policy.

_____ Familiarize yourself with the UPP Policy Template, available on the policy website.

4. **Submit policy proposal to Senior Management Council (SMC).** The responsible executive submits a policy proposal to the SMC. The SMC decides if an official position is needed on the issue, and if so, if it should be in the form of a policy or rule.

- _____ Prepare a Policy Proposal, which includes a list of stakeholders from which you will solicit input/feedback
- _____ Review the Policy Proposal with the UPP coordinator(s) and schedule through your VP to go to the SMC when ready. This is the point at which they will decide if it should be a policy or a rule, or if we even want a to address the issue with an “official document.”
- _____ Get approval (or not) from SMC to proceed with policy development.

Development

5. **Draft Policy.** The writing group drafts the policy, using benchmarking and best practice information as appropriate.

- _____ Discuss major policy changes with stakeholders prior to proposing them.
- _____ Keep the policy as short and succinct as possible.
- _____ Does the policy accurately state current practice?
- _____ Are terms in the policy adequately defined?
- _____ Is your use of terminology consistent across policies for which you are responsible and throughout the draft?
- _____ If two policies are interrelated, is it clear when each policy will apply?
- _____ Is it clear to whom the policy applies?
- _____ Check related policies to ensure your policy is not in conflict with another university policy.
- _____ Has the law in this area changed? Check with Legal Affairs for questions on whether or not the law has changed.
- _____ Internal administrative procedures should generally not be part of the policy document. Consider pulling out the procedures and placing them in separate documents that can be linked to from the policy.

- 6. Solicit and integrate feedback.** The unit policy coordinator works with the University Policy Coordinators to solicit feedback from stakeholder groups identified on the policy proposal, the policy writing group then evaluates and integrates the feedback into a refined policy draft.
- _____ Review the draft policy with your Legal Affairs designee before distributing broadly for feedback. The policy owner sets the direction of the policy; Legal Affairs stops us from making mistakes.
 - _____ Work with the University Policy Coordinator to put together the request for feedback to all stakeholders identified on the approved policy proposal (additional stakeholders can be added), in addition to the specific groups below, as needed. The request for feedback is sent out from the University Policy Coordinator.
 - _____ **University Compliance Officers Committee (COC).** For policies that directly address regulatory concerns. Provide drafts and solicit input/feedback at points at which it can be meaningfully integrated. Contact: Todd Guttman, guttman.6@osu.edu, 614 292 4283.
 - _____ **University Senate.** For policies that apply to faculty. Provide drafts and solicit input/feedback at points at which it can be meaningfully integrated. Contact: Chris Zacher, zacher.1@osu.edu, 614-292-2423.
 - _____ **University Staff Advisory Committee.** For policies that apply to staff. Provide drafts and solicit input/feedback at points at which it can be meaningfully integrated. Contact information can be found at: <http://usac.osu.edu/index.php>
- 7. Take drafts to University Policy Review Committee (UPRC).** The writing group and responsible executive take drafts to the PRC for feedback.
- 8. Integrate feedback.** Feedback is solicited and integrated from stakeholders identified on the policy proposal as well as the PRC.
- _____ Contact the university policy coordinator(s) to arrange to take draft to UPRC, at least a month in advance of the meeting if possible.
 - _____ Provide policies, associated documents, and any specific questions to guide feedback (if desired) to the university policy coordinator(s), in Microsoft word format, 15 days prior to the scheduled policy review committee meeting.
 - _____ Highlight or used “track changes” so that proposed changes are apparent.
 - _____ Refine the draft policy based on feedback from the UPRC.
 - _____ If substantive changes were made, solicit further feedback from stakeholders and committees listed above, as appropriate.
 - _____ Ensure that policy is consistent with university bylaws, rules, regulations; university policies; and state and federal laws/regulations.

_____ **Legal Affairs must sign off on the policy before it goes to PRC for final review.**

_____ Take “final” policy draft, showing changes, to Policy Review Committee for final endorsement. The final policy should note the proposed “effective” date.

9. Submit to SMC. After the PRC endorses it, the responsible executive submits the final policy draft to the SMC.

10. SMC approves (or not). The SMC may approve the policy immediately, ask for substantial revisions or for additional time to review the policy, or determine that a policy is not needed or desired on the subject.

_____ **Legal Affairs and the University Policy Coordinator must sign off on the Policy Approval and Sign Off Form before it goes to SMC for final approval.**

_____ Prepare a SMC cover sheet, review it with the UPP policy coordinator(s) and schedule through your VP to go to the SMC when the policy is complete.

_____ Get approval (or not) from SMC.

_____ If approved, get signatures on Policy Approval and Sign Off Form. Provide a copy to the UPP coordinator(s) and keep a copy for the university archives and your files.

11. Plan communication. The policy writing group plans communication and training on the new policy.

_____ Develop a communication plan for the policy roll-out, which should include communications to all stakeholders, individuals and groups impacted by the policy, administrators, etc. For advice and assistance, contact: Karen Patterson, patterson.118@osu.edu, 614 688 4270, <http://relations.osu.edu/>.

12. Post to website. Unit policy contacts enter policy data into the database that feeds the university policy website. Policies are actually housed on the owner’s server and website.

_____ Enter the policy data into the database. Instructions and access can be provided by the UPP coordinator(s), who approve the policy data after it has been entered into the database and before it is posted to the website. The website is maintained by Ted Hattermer, hattermer.1@osu.edu, 614-292-8538, <http://relations.osu.edu/>.

Implementation

13. Communicate and train. The responsible executive/office communicates and trains according to their communication plan.

14. Archive superseded policy. The superseded policy, policy approval and sign-off form, and all associated documents are shared with University Archives upon approval of the new policy.

_____ Share information and tools needed to implement the policy with stakeholders and individuals who are expected to carry out or enforce the policy. Consider on-line training or tools, as well as face-to-face training.



University Policy Process *Policy Development Checklist*

Updated as of January 2011

_____ Send the superseded policy, the Policy Proposal, SMC Cover Sheet, Policy Approval and Sign off Form via e-mail to: Dan Noonan, Noonan.37@osu.edu

15. Encourage feedback. Policy owners should encourage and collect feedback about their policies for use in the next policy revision.

16. Review policy. Policies should be reviewed and updated or confirmed current on a 5 year cycle.

_____ Collect all feedback you receive on the policy as it is implemented, and on an ongoing basis. Retain for the next revision of the policy.

_____ Create a process, or make a note on your calendar that the policy needs to be reviewed and either updated or confirmed current every 5 years. If substantive changes need to be made, this process is followed.