

Guidelines for Submission, Review and Approval of New or Revised University Policies

Purpose - These guidelines provide instructions for submitting new or revised University Policies for review and approval, per terms of the [Policy Development and Maintenance](#) policy, and includes assigned reviewer guidance and responsibilities. All policies submitted for review must be formatted using the University Policy Template. The University utilizes the DocRoute application for policy review and approval processes, so these instructions will include DocRoute app navigation.

Applicability - These guidelines apply to any member of the USA community (both the University General Division, and USA Health) who submits or reviews a new, revised or “grandfathered” University Policy.

Definitions -

University Policy - defined as having broad application across the University. University Policies extend beyond a single Division of the University, or include regulatory requirements that impact the ability of the University to perform its mission. For instance, a policy sponsored by USA Health (a Division of the University) that applies only to USA Health employees, would not be considered a University Policy. However, a policy sponsored by Research and Economic Development that applies not only to its own division but also to Academic Affairs, would be considered a University Policy since it applies beyond the originating Division. Obviously, an H.R. Dept policy that applies to all employees in the University system (including USA Health employees) would be considered a University Policy.

Grandfathered Policy – an existing policy (that went through a reasonable approval process and was recognized by the University as the authoritative written standard on a given topic) merely needing to be added to the University Policy Library; first it must be reformatted to match the University Policy Template, next, submitted for an abbreviated review process.

Procedures - USA’s process for submitting new or revised University Policies for review will involve DocRoute, a locally-developed request/approval application already in use for other processes such as computer related requests, dig permits, Faculty Senate Bill, Lab Requests, etc. Policy reviews will require the following series of review/approvals (in this order):

Process 1: Policy Owner Submits New or Substantially Revised Policy

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Process 2: Division Policy Facilitator (DPF) – assigned member of policy’s host Division reviews policy

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Process 3: Policy Committee Chair – edit if necessary, then assign to a 3-person Policy Subcommittee

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Process 4: Policy Committee – review performed by a 3-person subcommittee of the Policy Committee

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Process 5: General Counsel – review to assure any legal implications are determined reasonable

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Process 6: Division VP's – host Division's VP approves when any concerns by other VP's are resolved

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Process 7: Policy Committee Chair – assures any edits by VP's are appropriately entered

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Process 8: General Counsel (again) – assure any edits made by VP's are acknowledged & are reasonable

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Process 9: President – reviews policy, and if in agreement, gives final approval

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Process 10: Policy Committee Chair – activates the policy to the Policy Library

Note: A University Policy which undergoes only minor editing, such as fixing broken web links, reformat for consistency with other University Policies, or enter clarifying information, will only need to go through steps 1, 2, 3 & 5 above, with final approval coming from the Policy Committee Chair. If in doubt as to whether a policy should go through a full or short review process, the policy can be referred to General Counsel for their input.

Guidelines for Policy Owners/Originators

For submission of a new or revised University Policy, the policy owner/originator should submit their policy for a formal review process, per terms of the Policy Development and Maintenance Policy, via DocRoute, as follows:

New Policies

1. Draft your policy on a WORD document, and be sure formatting conforms to the University Policy Template (click [University Policy Template](#) to download the form).
 - If copy-pasting your policy material from various other sources, you may wish to use the “text only” option in order to filter-out unwanted / hidden formatting code.
 - As an alternative approach, use a Notepad document (which also scrubs a lot of unnecessary codes and tags from your content) as your source document. This process will help when you later transfer your content to DocRoute (which uses HTML).
2. Look for and select "Document Routing ([DocRoute Login](#))" in our USA website's A-Z index
3. You will be prompted to login with your J number and password
4. Select "Policy" in the menu on the left side of your screen
5. Select "University" from the dropdown choices
6. Click the “Add New Policy Request” button at the top of the web page (to start a new policy review)
7. Enter demographic information about the policy in the template:
 - a. Enter full name of policy (avoid the words “University” and “Policy” to avoid redundancy)
 - b. Select your Division
 - c. For “review cycle,” you have a choice of every 1-5 years (when policy will come up for review).
 - d. For “Originating Department,” enter the official name of your department (no abbreviations).

In all likelihood your department is already the owner of other University Policies, in which case, please use the same department title (see [Selecting by Originating Department](#) in USA's Policy Library).

e. Use the Google Doc Link only if you intend for all reviewers to have access to the link. This may come in handy if you anticipate lots of editing between reviewers. To proceed, enter the URL of your source document (Team Drive Google Doc).

f. Use the Attachments feature to upload the WORD doc version of your policy (optional), or any supplemental material you believe reviewers may need to see.

g. For the “executive summary” text box, briefly describe in your own words what the policy addresses, what state/federal laws or regulations require it, and any other pertinent history about the policy you wish to disclose. This section is for reviewers only; it will not be part of your policy.

8. For text boxes 1-7 in the DocRoute template (1. Purpose; 2. Applicability, etc.), you will copy each corresponding section from your source document and paste into these text boxes, unless you prefer the more time-consuming process of typing freehand into the text boxes. Do not copy the policy headings, i.e., “1. Purpose,” because those are already built-in to the template in DocRoute; just copy-paste the content pertaining to each of your headings. After pasting your content you will likely need to do some content formatting in DocRoute to assure your pasted content complies with the University Policy Template (spacing, indentations, outline numbering, etc.). The Policy Committee Chair can assist with this if needed.

9. To successfully copy and paste content from your source document into the DocRoute text boxes, use the right-click “paste as plain text” option. If you need to reactivate weblinks copy-pasted into DocRoute, or do any other editing, use the editing tools available at the top of each of the text boxes.

10. Check the box of each Division your policy applies to (located between “1. Purpose” and “2. Applicability”).

11. **IMPORTANT:** If you have more than a few minutes of editing, you must click “Save w/o Submitting” at the bottom of the policy template (rather than Submit), to avoid losing your work. You should save every 5-10 minutes, especially if you need to leave your desk even for only a short time.

12. Review the appearance of your content, then click “Submit” when satisfied that it is ready for the review process.

13. Reviewer suggestions: they should engage you (and your Division’s DPF if desired) in a conversation, which may or may not result in necessary edits to your policy content. As stated earlier you may use your Google Doc for suggesting edits. For any necessary editing, the reviewer may need to return the policy to you in DocRoute, unless the Policy Committee Chair agrees to do the editing.

14. Upon resolution of any reviewer concerns (including any necessary editing of the policy content), and approval by the President, the policy will be published to the USA Policy Library.

Revised Policies

When a policy owner determines a review cycle for their policy (between 1-5 years), the DocRoute system will generate an email to the policy owner (on record) to notify them the policy should be reviewed. It is important to communicate any ownership changes to the Policy Committee Chair. If no changes are needed, enter a comment to that effect (scroll down to bottom of the page for the comment box) and Submit. If the policy needs a revision, Policy owners should:

1. Look for and select "Document Routing ([DocRoute Login](#))" in our USA website's A-Z index
2. Select "Policy" in the menu on the left side of your screen
3. Select "Library" from the dropdown choices

4. Search for your policy by checkmarking “active” in the Browse Policies area, and enter the policy ID number, policy title, or originating department; you can also search by owner name or originating division. Click the 4-digit Request ID number of your policy in the search results.
5. Click the green-colored “Start Review Request” button.
6. Most of the demographic information for your policy should be intact, but feel free to edit if necessary. You may need to select your Division from the dropdown menu if it is not indicated, or if the division your dept belongs to has changed; also, confirm the length of your policy’s review cycle.
7. For very minor changes, you may prefer to edit the content within the DocRoute text boxes, in which case, please also enter a comment in the comment box at the bottom of your screen to describe exactly your changes and the purpose for the changes – for the benefit of the reviewers.
8. For substantial editing and/or reformatting, please enter those changes to your original WORD copy of the policy using “track changes” and save to your files. Next, upload it to your policy request in DocRoute using the “Upload a file” feature (right before the Executive Summary section). In this way, reviewers will see the specific changes you’ve made via the track changes on your WORD doc.
9. Either copy/paste revisions from your WORD doc into the DocRoute policy template, or edit the content in the DocRoute template consistent with the revisions you entered in the WORD doc.
10. Save w/o Submitting if you need to finish later, or Submit if it is ready to begin the review process.

Guidelines for Division Policy Facilitators (DPF’s)

1. When a new or revised policy is advanced to you in the review process, you’ll receive a system generated email from DocRoute with a link to the policy, and brief instructions pertaining to your role.
2. Review the policy for the following:
 - (a) correct grammar/spelling,
 - (b) policy formatting follows the University Policy Template,
 - (c) clear, understandable content,
 - (d) content does not conflict with other policies you are aware of,
 - (e) appropriate University Divisions are included in the Applicability section,
 - (f) impact of the policy on employees appears reasonable and consistent with applicable law,
 - (g) for revisions, review the actual edits per uploaded redline WORD doc, or owner comments.
3. If you are in agreement with the policy and have no suggested edits, scroll down below the policy content in DocRoute to the Review section, and click the green “Approve” button to advance the policy to the next review step (next step is the University Policy Committee).
4. If you have any concerns or suggested edits, direct them to the policy owner/originator, who can discuss and/or edit the policy in DocRoute if you “return” it to them. Upon resolution of any concerns, and upon resubmittal of the edited policy to you in DocRoute, you should click the green “approve” button to advance the policy to the next review step (the Policy Committee).

Guidelines for Policy Subcommittee Members

1. When a new or revised policy is advanced to you in the review process, you’ll receive a system generated email from DocRoute with a link to the policy, and brief instructions pertaining to your role.
2. Review the policy for the following:
 - (a) correct grammar/spelling,

- (b) policy formatting follows the University Policy Template,
 - (c) clear, understandable content,
 - (d) content does not conflict with other policies you are aware of,
 - (e) appropriate University Divisions are included in the Applicability section,
 - (f) impact of policy on employees appears reasonable and consistent with applicable law,
3. A three-person subcommittee of the Policy Committee will be assigned by the Policy Committee Chair on a rotating basis to review new or substantially revised policies (but not policies with only minor, non-substantial edits).
 4. The subcommittee members should discuss any necessary thoughts or concerns about the policy and share with the policy owner (consider including the assigned DPF). The comments section of the policy in DocRoute can also be used for review comments, but probably best to use email.
 5. In the case of any necessary edits, the reviewer must return the policy to the owner/originator to enter the edits, after which the policy would need to advance through each of the review process levels again. For convenience, the Policy Committee Chair can also enter the edits without having to return the policy to the owner, which would negate the need for the policy to repeat the review process levels.
 6. When the subcommittee is satisfied with the policy content as displayed in the DocRoute template, ONLY the assigned, leading member of the subcommittee should click the green approval button. The other two will enter the text, "approved" in the comment text box. The policy will then be advanced to the VP review step by the Policy Committee Chair.

Guidelines for VP's

1. When a policy advances to the host Division VP for review/approval, the host VP (who resides over the division where the policy is owned) will receive a DocRoute system-generated email ("Requested") instructing them to review and approve the policy. Other VP's will also receive a system-generated email ("Notice Only") to alert them of the needed policy review. The host VP should allow other VP's (whose divisions are impacted by the policy) a 7-day comment period to voice any concerns prior to approval.
2. The reviewing VP's (those other than the host Division VP) should share any policy concerns via phone or email to the host Division VP, policy owner/originator, and may include the host Division's DPF, whose names will be evident within the policy's DocRoute template (in the "Reviews" section following the policy content). The policy's Google Doc version (if link is attached to the policy in DocRoute) can be used for new policy edit suggestions. For smaller or single edits, the comments section of the policy in DocRoute can be used, or, email suggested edits directly to the policy owner (copy other reviewers as needed).
3. If no comments or concerns are voiced by reviewing VP's within the given 7 days, the host Division VP (the only one in the group with ultimate approval authority) may approve the policy. It then routes back to the Policy Committee Chair to assure any edits requested and agreed-upon by VP's are correctly entered.
4. A summary of the concerns, and how they are resolved, should be documented in the "Comment" box below the "Reviews" section in DocRoute (located after the end of the policy), for posterity. The policy owner/originator is the only person who can edit the policy (aside from the Policy Committee Chair).

Guidelines for President

Should be very similar to that for Division Policy Facilitators (DPF's), above:

1. When a new or revised policy is advanced to you in the review process, you'll receive a system generated email from DocRoute with a link to the policy, and brief instructions pertaining to your role.
2. Review the policy, and feel free to send it back for any of the following reasons:
 - (a) grammar/spelling,
 - (b) policy formatting follows the University Policy Template,
 - (c) clear, understandable content,
 - (d) content does not conflict with other policies you are aware of,
 - (e) appropriate University Divisions are included in the Applicability section,
 - (f) impact of policy on employees appears reasonable and consistent with applicable law,
3. If you are in agreement with the policy and have no suggested edits, scroll down below the policy content in DocRoute to the Review section, and click the green "approve" button. The Policy Committee Chair will then publish it to the Policy Library.
4. If you have any concerns or suggested edits, please direct them to the policy owner/originator and consider copying the sponsoring Division VP, and others in the review process if you wish (you will see their names in the Reviews section under the policy). There are 2 suggested ways of communicating comments or concerns about the policy:
 - (a) E-mail - probably the best way to communicate any concerns to the policy owner and others - particularly if you have substantial concerns that need to be talked-through.
 - (b) Comments - There is a "Comment" box under the "Reviews" section of the DocRoute request where you may share your concerns.
5. If the policy is edited by the policy owner/originator during this review process (rather than the Policy Committee Chair), it will repeat its movement through each review step for follow-up approvals per the outline on page 1 of this document (Procedures)

Grandfathered Policies (see definition)

Owner/Originator

Upon submission into DocRoute by the policy's owner (originator), a Policy Committee member will be assigned by the Policy Committee Chair to review the policy to assure correct formatting, etc.; when any review concerns are resolved, the policy will route to General Counsel. Upon their approval, the Policy Committee Chair can activate the policy (publish to the University Policy Library). Follow these steps to submit a "grandfathered" policy:

1. Be sure your policy conforms to the University Policy Template (click [University Policy Template](#) to download the form).
2. Look for and select "Document Routing ([DocRoute Login](#))" in our USA website's A-Z index
3. You will be prompted to login with your J number and password
4. Select "Policy" in the menu on the left side of your screen
5. Select "University" from the dropdown choices
6. Click the blue "Add Grandfathered Policy Request" button at the top of the web page

7. Proceed to enter demographic information about the policy in the template:
 - (a) Enter full name of policy (do NOT use “University” or “Policy” in the title)
 - (b) For “Originating Department,” enter the official name of your dept (please duplicate the [Policy Library precedent](#) if your dept already sponsors other University Policies)
 - (c) Enter last review date of the policy (or check the “unknown” box)
 - (d) In the “Approved By” block, indicate who approved the current version of your policy
 - (e) Indicate “Last Review Date” by the person above (d)
 - (f) For the “executive summary” text box, briefly describe in your own words what the policy addresses, what state/federal laws or regulations require it, and any other pertinent history about the policy you wish to disclose. This section is for reviewers only; it will not be part an official part of your policy.
8. Prior to copy-pasting policy content from your source document, you may wish to first copy your source material to “Notepad,” which scrubs unseen/unwanted formatting codes, then apply desired formatting within the DocRoute template after you paste your content there. Or, copy-paste your source material to a clean WORD doc using the “keep text only” paste option.
9. To successfully copy and paste content from your source document into DocRoute, use the right-click “paste as plain text” option. You may need to re-activate any weblinks copied into DocRoute.
10. For text boxes 1-7 in the DocRoute template (1. Purpose; 2. Applicability, etc.), you will copy each corresponding section from your source document and paste into these text boxes, unless you prefer the more time-consuming process of typing freehand into the text boxes. Do not copy the policy headings, i.e., “1. Purpose,” because those are already built-in to the template in DocRoute; just copy-paste the content pertaining to each of your headings. You may need to do some content formatting in DocRoute to assure your pasted content complies with the University Policy Template (spacing, indentations, outline numbering, etc.).
11. Check the box of each Division your policy applies to (located between “1. Purpose” and “2. Applicability”).
12. For any special editing in each text box, use the editing tools available at the top of each of the text boxes.
13. **IMPORTANT:** If you have more than a few minutes of editing, you must click “Save w/o Submitting” at the bottom of the policy template (rather than Submit), to avoid losing your work. You should save every 5-10 minutes, or especially if you need to leave your desk even for only a short time.
14. Review the appearance of your content, then click “Submit” when satisfied that it is ready for the review process. After clicking Submit, you will no longer be able to edit unless the Policy Committee Chair returns it to you.
15. The Policy Committee member assigned the review may engage the policy owner/originator with any concerns about the policy. Upon resolution of any concerns (including any necessary editing of the policy content in the DocRoute template), the Policy Committee member should click Approve. The Policy Committee Chair will then route to General Counsel for final review.

Policy Committee Reviewer

Grandfathered Policy Review Process (by 1 member of the Policy Committee, selected by the Policy Committee Chairperson)

1. When a Grandfathered policy is advanced to you in the review process, you'll receive a system generated email from DocRoute with a link to the policy, and brief instructions pertaining to your role.
2. Click the link to enter the policy, and review for the following:
 - (a) correct grammar/spelling,
 - (b) policy formatting follows the University Policy Template,
 - (c) clear, understandable content,
 - (d) content does not conflict with other policies you are aware of,
 - (e) appropriate University Divisions are included in the Applicability section,
 - (f) impact of policy on employees appears reasonable and consistent with applicable law,
3. Share any concerns you may have with the policy owner/originator.
4. If any editing is needed, return the policy to the owner/originator to enter the edits and resubmit to you for final approval.