POLICY DEVELOPMENT AND SUBMISSION GUIDE

UNT Policy Office

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1. **Office of General Counsel (OGC)** represents the UNT System, including its Board of Regents and its institutions, in all legal matters. OGC reviews new policy drafts and substantive changes to the existing UNT policy for legal sufficiency.

2. **Policy Advisory Group (PAG)** is a standing committee established in 2008 by then UNT President Gretchen Bataille. Currently, the committee reviews and approves all policy submissions, to include policy revisions, new policies, and those submitted for deletion or review. It is composed of representatives from the UNT community, namely Vice President level administrators at UNT. The official mission of the group is to "establish the administrative policy framework to ensure policies support UNT's mission, values, initiatives, and strategic goals. The PAG also addresses policy issues that may impact the University and make recommendations to executive Cabinet for policy improvements."

3. **Policy Working Group (PWG)** is a resource for policy writers, established in 2015; PWG is not an approving body. PWG reviews policies under development and "reality-tests" drafts in preparation for PAG review. PWG members are responsible for cross-checking for overlap or duplications of content in other policies and providing subject matter expertise on factors that could affect policy development or implementation such as financial issues, human resources work flow, legal concerns, and compliance items (SACSCOC, audit, etc.).

4. **President** is the final approving party in the UNT policy process; only those policies approved by the President are the official policies of the UNT. The policies adopted by the President of the UNT apply only to UNT. These policies are adopted pursuant to authority delegated to the President by the UNT System Board of Regents, subject to the approval of the OGC and the requirements of the Regents Rules.

5. **"UNT"** is the University of North Texas, including **all property owned and under lease by UNT**.

6. **University Policy Office (UPO)** manages the administrative responsibilities of the development, routing, approval and dissemination of UNT's official policies. The UPO also assists subject matter experts and senior leadership in identifying and drafting appropriate policy positions that align with UNT values, culture, and mission. Vision – The UPO will facilitate accurate, timely, and efficient policy development, review, and dissemination. The UPO will support UNT's strategic plan and Four Bold Goals by enhancing the University's operational effectiveness with policies that UNT can successfully implement with relevant training and compliance mechanisms.

1. Policy owner identifies a need for policy action (new, review, revise, delete) and submits the routing request to the UPO

2. UPO sends to PWG for feedback*

3. PAG reviews and votes on draft

4. OGC reviews for legal sufficiency

5. President signs the final draft

6. UPO publishes the signed draft

*Upon request of policy owner; this step is not required.

Figure 1 Diagram of Policy Development Process at UNT[1]

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[1] In clock-wise order

POLICY SUBMISSION REQUIREMENTS

Submit the following required documents to the UPO via *e-mail* @ Deena.Merrill@unt.edu, cc Anna.Pechenina@unt.edu. For the e-mail subject line, use: UNT Policy # and Action (e.g: UNT Policy 02.001 – Deletion).

1. **POLICY DRAFTS.**

   a. For new, review, or deletion submissions, provide UPO with a Clean Policy Draft <u>only</u>.

   b. For revision submissions, provide UPO with a Redline Draft <u>only</u> showing tracked changes to most recent approved version of the policy. If changes are so substantial that a Redline Draft would be ineffective, provide the UPO with a clean draft and a memo outlining the major changes.

   c. New, review, or revision submissions must be in a .doc or .docx format of the official UNT policy template.

   d. Deletion submissions may be in Word or PDF; official template style not required.

2. **POLICY ROUTING REQUEST.**

   a. Complete all required fields of the form; refer to the Policy Routing Request Instructions (see below) or contact the UPO with any questions. The UPO will return incomplete Routing Requests to the policy owner, which will delay the routing.

   b. Ensure appropriate signatures are in "Policy Contact" <u>and</u> "VP Area of Responsibility" fields. The UPO will accept electronic signatures.

   c. The UPO requires a PDF scan (at highest resolution possible) of the completed, signed Routing Request. The UPO may request the hard copy with original signatures if the scan quality is poor.

POLICY DRAFT CHECKLIST

Please check the following before submitting a policy draft to the UPO:

☐ Format policy content per UNT Policy Template.

1. <u>If the policy is new</u>, ensure that all items below are checked.
2. <u>If the policy is a revision</u>, use the word version of the latest approved draft to track changes for Red Line

☐ Fill out every section of the policy template to ensure:

1. <u>POLICY STATEMENT</u> addresses:

   ☐ the purpose of the policy (what issue it addresses);
   ☐ why it is important; and/or
   ☐ how the policy relates to institution's mission.

2. <u>DEFINITIONS</u> are:

   ☐ in alphabetical order;
   ☐ formatted per UNT Policy Style guide; and
   ☐ relevant to and/or referenced in the body of policy.

3. <u>PROCEDURES AND RESPONSIBILITIES</u> are:

   ☐ clearly outlined using short simple sentences;
   ☐ written in active voice;
   ☐ free from gender specific pronouns such she/he; when not practical to restate the subject (the student, the individual, etc.), use the appropriate gender neutral plural such as they or their.
   ☐ organized in logical categories;
   ☐ clearly identifying the responsible party;
   ☐ referencing applicable federal, state, and institutional laws and regulations, including Regent Rules and System Regulations.

4. <u>REFERENCES AND CROSS-REFERENCES</u>:

   ☐ list applicable federal, state, and institutional laws and regulations, including Regent Rules and System Regulations in the order they are cited in the body of the policy; and
   ☐ are formatted per UNT Policy Style guide.

5. <u>FORMS AND TOOLS</u>:

   ☐ link to appropriate forms and tools in the order they are referenced in the body of the policy.

6. <u>Spelling and Grammar</u>. Check the body of the document for the following:

   ☐ split infinitives
   ☐ incorrect use of semicolons and commas
   ☐ misplaced or dangling modifiers
   ☐ incorrect use of impact (noun), effect (noun), affect (verb)

Page 1. Required for all policy actions. The first includes a general summary of basic information and rationale behind requested actions.

Page 2. For specific policy actions only; complete according to requirements. This information stays internal, and serves as a guided work plan for proper policy development. The UPO will share this page with PAG and OGC upon request if reviewers need further context or clarity on policy elements.

1. All fields on Page 1 are required and the information must be:

   a. accurate and as comprehensive as possible;

   b. written in complete sentences; and

   c. free of grammatical and syntax errors.

2. Fields on Page 2 are required depending on the policy action.

   a. For **New Policies**: Section I. is required.

   b. For **Policy Deletion** or **Review without Revision**[2]: Section II. is required.

3. If the section is not applicable to the requested policy action, enter NA into the field.

4. **The UPO will return incomplete requests to the policy owner, resulting in a delay of the policy approval process.**

5. Contact the UPO for questions regarding the form or the following instructions. We understand policies vary in complexity and may require additional resources and support.

PAGE 1.

Policy Information:

1. Enter Policy Number (leave field blank if policy is new);

2. Policy Title; and

3. Chapter Number and Title where the policy fits in the Policy Manual (clarify with UPO if needed).

4. Check the box corresponding to the type of action requested on the policy.

5. Enter preferred implementation date (if action is time sensitive, use Section 3. below to describe timing requirements for the policy).

Routing:

1. **Vice President for Academic Affairs only**: The UPO requires the Faculty Senate Chair's signature to acknowledge the Faculty Senate reviewed and recommended the requested policy action.

2. The UPO requires the VP's (responsible for the policy) signature to acknowledge their awareness of the requested policy action. **The UPO will not route the policy documents unless the VP signs and dates the request.**

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[2] to meet the 6 year review requirement as per UNT Policy on Policies 02.001 and Regents Rule 02.200

Policy Summary:

Use the following items to justify the policy action requested:

1. *State Reasons for Policy Action*

   a. Outline the events or conditions that give rise to this policy action. (Why is this policy action necessary?)

   b. Identify the policy advantages for UNT, or absence of thereof.

2. *Provide Summary of Changes (**required for "Revision" only**)*

   Outline major points or items added in revisions (once you click on the field, you will able to type over the text in the box).

3. *Timing Priority (check one).*

   a. Identify whether the policy priority status is "HIGH" or "STANDARD."

   b. For "HIGH" priority, provide a detailed explanation for the expedited request. Make sure to provide requested date in Section 5. above. **If explanation is missing the UPO will route "STANDARD."**

   c. For "STANDARD," no explanation is required. Allow 12+ weeks for policy to route, depending on complexity and revisions requested.

Policy Contact:

1. Provide policy writer/contact information:

   a. Name;

   b. Division/Department;

   c. E-mail address;

   d. Phone Number; and

   e. Enclosures, if any (examples include clean and redline drafts).

   f. Sign and Date the form.

PAGE 2.

Depending on action requested, complete Section I for **New Policy**; or Section II for **Deletion** or **Review without Revision**.

Section I. – New Policy

1. *Policy Statement.*

   a. State UNT's commitment to a relevant principle (optional).

   b. State the requirement(s) this policy establishes for the UNT community.

2. *Consistency with UNT's Mission, Goals, Other Policies, and Related External Documents.*

Cite relevant official statements of UNT's mission and values, complementary UNT <u>policies, and related external legislation, codes, etc.</u>[3]

3. *Entities, Offices, and other UNT Community Members Affected by this Policy.*

   List all parties with duties or responsibilities related to the application or implementation of the policy.

4. *Stakeholders consulted in Developing this Policy.*

   a. List the UNT departments you will consult in formulating this policy.

   b. Consult Faculty Senate for all Academic Affairs related policies[4].

   c. Consult relevant individuals on the LIST OF RECOMMENDED STAKEHOLDERS below **prior** to submitting documents to the UPO.

5. *Systemic Changes Required.*

   Consider any investment into any new resources this policy will require, either within your area of jurisdiction or beyond.

6. *Communications and Training Activities to Build Awareness and Enable Implementation.*

   a. UPO requires this information to assess the need for a communications and training plan for entities, offices, and other UNT community members.

   b. Use "Policy Communication Plan" form to expand on this section. We will work with you and the Operations Training Specialist to develop the necessary materials.

7. *Compliance Mechanisms Existing and/or Needed.* Provide clearly outlined compliance mechanisms

<u>Section II. – Policy Deletion or Review Only</u>

Use the following items to further justify the requested policy action.

1. **Deletions**. List policies that contain duplicated content or policies the owner plans to consolidate, necessitating the deletion request. Consult relevant individuals on the LIST OF RECOMMENDED STAKEHOLDERS below **prior** to submitting documents for policy deletion to the UPO.

2. **Review without Revision**. Verify the policy is up to date with all current laws and regulations and provides clear and sufficient guidance for responsible parties to satisfy policy objectives and compliance requirements. Consult <u>OGC Legal Sufficiency Review Guide</u> for further criteria on policy reviews. Contact UPO and OGC with any questions.

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[3] Items 1. & 2. serve as a brief summary of the policy and will be posted on-line on the policy page.
[4] See the "List of Recommended Stakeholders" below.

UNT POLICY OWNER CHANGE FORM INSTRUCTIONS

To initiate a policy owner change, the current policy owner should fill out and sign the "Policy Owner Change Form" and route to the proposed owner for signature. Once both parties have signed, either office may submit the form via email in pdf format to UPO.

1. Suggested email title: "UNT Policy ## - Ownership Change Request"

2. The email should be addressed to Deena.Merrill@unt.edu, cc Anna.Pechenina@unt.edu

3. Upon receipt of the signed form UPO will assign the new policy number, and will send a confirmation email to both parties once UPO updated its records.

LIST OF RECOMMENDED STAKEHOLDERS

Depending on the subject matter of your policy, the UPO recommends consulting with members of the PWG and/or the following offices of the UNT community:

- Office of General Counsel (OGC)
- University Accreditation
- Risk Management Services
- Budget Office
- Human Resources
- Dean of Students
- Institutional Equity & Diversity