

**Procedure 1503 PR.01****Development or Revision and Posting of University Policies, Procedures and Forms****DRAFT**

Revision Date: 1/24/12

Need to Update once finalized

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**1. Overview**

This procedure describes the work steps involved in developing or revising and posting University policies, procedures and forms as outlined in Policy 1503.

Policies are short, concise statements of the scope and facts of the policy--what you can and cannot do. The "how to" is detailed in the associated procedure. Forms are created to provide an easy way for University employees to enter, submit, document, and utilize information specific to a business process and in support of a policy. If possible, forms should allow the user to enter information, electronically, directly into the form.

**2. Initiation of a New or Revised Policy**

Any individual or unit may identify the need for a new policy or a revision to an existing policy; however, new or revised policies must be sponsored by a Policy Sponsor, who is a Unit or Department Head. Once the potential need for a new or revised policy is identified, the Policy Sponsor will contact the Manager of Policy and Procedure Development to ensure that the proper process for developing or revising a policy is understood and followed.

The Policy Sponsor will provide the Manager of Policy and Procedure Development with the following information:

- a description of the proposed new or revised policy;
- the review and approval process for the proposed policy; and
- the proposed online location of the policy if it is not the PPDev website.

The Manager of Policy and Procedure Development will provide the Policy Sponsor with the following information:

- the online location of the policy and procedure templates to be used for all University policies and procedures;
- the number of the policy (all policies must follow the standard University numbering system); and
- any other policies or stakeholders that the Policy Sponsor should be aware of because they may affect or be affected by the proposed policy.

The Manager assigns a number to the new policy based on the area to which it applies. It will either fall into an existing series of numbers or a new series of numbers will be issued.

### 3. Drafting a New Policy

Based on an identified need for a new policy, a draft policy is prepared by the Policy Sponsor (or his/her designee), in consultation with the appropriate process owners and stakeholders. The Policy Sponsor is responsible for actively soliciting comment and input from the key stakeholders during the drafting process.

The draft policy will be prepared using the template on the Yale University Policy and Procedure Development (PPDev) website (link). This template comes with full instructions on the type of information that may be needed for each policy and the appropriate layout to ensure consistency among policy documents. Only include the sections of the template that are relevant for the specific policy.

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### 4. Revising an Existing Policy

Based on an identified need for revising a policy, a draft policy is prepared by the Policy Sponsor (or his/her designee), in consultation with the appropriate process owners and stakeholders. The Policy Sponsor is responsible for actively soliciting comment and input from the key stakeholders during the drafting process.

The revision should be made by editing the original document in PPDev.

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### 5. Review and Approval Process

This section applies to all Finance and Business Operations and Facilities policies and to some Human Resources and Administration and Information Technology Services policies. All other policies are subject to comprehensive review and approval processes established by other areas of the University.

Once the new policy or revision is drafted, it will go through a review process. The process will be determined by whether it is a new policy, a minor revision or a major revision.

- a. New Policy:
    - i) The Policy Sponsor submits the proposed policy to the Manager of Policy and Procedure Development, who reviews it for content, consistency with other policies, and formatting.
    - ii) The Manager of Policy and Procedure Development submits it to the Controller for his/her review and approval,
    - iii) If the Controller approves the draft, then s/he will direct the Manager of Policy and Procedure Development to schedule the policy for a PRC meeting, which are typically held monthly.
    - iv) If the PRC approves the policy and the policy does not have a campus-wide impact or directly affect faculty, then proceed to the next step. If the PRC approves the policy and the policy has a major, campus-wide impact or directly affects faculty, then the policy is submitted by the Controller to the relevant University Officers for review and approval.
    - v) When the policy has received approval from the PRC and/or the relevant University Officers, the Manager of Policy and Procedure Development posts it to the PPDev website draft page for a 30-day (usually) review period by the general community.
    - vi) The Manager of Policy and Procedure Development issues a communication to the Yale community requesting comments on the document.
    - vii) The Controller reviews the comments and revises the policy as appropriate.
    - viii) If the Controller determines that the changes are significant, s/he will ask the PRC to review and approve the document again and to determine whether it should be re-posted for review. If there are no comments or if the Controller determines that the changes are minor, then no further review and approval is necessary.
  
  - b. Revised Policy:
    - i) The Policy Sponsor submits the revised policy to the Manager of Policy and Procedure Development, who reviews it for content, consistency with other policies, and formatting.
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- ii) If the Controller determines that there are significant revisions, the policy is scheduled for a PRC meeting, and continues through the process listed above for a new policy. If the Controller determines that the changes are minor, then no further approvals are necessary.

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## 6. Posting Approved Policies

Once the proposed policy is approved, the Manager of Policy and Procedure Development posts the policy on the Yale University Policy and Procedure Development website and ensures that the appropriate form of communication is issued. The type of communication may vary based on the impact of the new policy or change. The communication is generally an announcement in the Controller’s Newsletter and/or an appropriate communication by the Policy Sponsor, but it may also include announcements at meetings with the affected groups and/or training sessions. Changes to the policy are highlighted for at least 30 days after final approval and posting.

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## 7. Development or Revision and Posting of Procedures and Forms

Although not required, some policies have associated procedures and forms to facilitate understanding of and compliance with that policy.

To initiate the process of developing a new or revised procedure or form, the Policy Sponsor starts with Step 2 above, which involves contacting the Manager of Policy and Procedure Development to coordinate the process for developing, reviewing, approving and posting the procedure or form.

Next, the Policy Sponsor or their designee creates or revises the procedures or forms. Newly created procedures should use the templates available on the PPDev website to ensure consistency (link) . Revised procedures should be made by editing the original documents in the PPDev website.

All procedures and forms will follow the same numbering scheme as the related policies.

Typically procedures and forms that are associated with Finance and Business Operations and Facilities policies and some Human Resources and Administration and Information Technology Services policies are reviewed and approved by the Policy Sponsor and the Controller without going through the PRC. However, there are two exceptions:

- a) For major new policies or major policy revisions, the Controller may decide that it would be appropriate to have the associated procedures and forms go through the review and approval process along with the policy.
- b) For procedures or forms with significant impact, the Controller may decide that the procedures or forms should go through the process described above for policies.

### Contact Information

<a href="mailto:Controllers.office@yale.edu">Controllers.office@yale.edu</a>	Manager of Policy and Procedure Development
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The official version of this information will only be maintained in an on-line web format. Any and all printed copies of this material are dated as of the print date. Please make certain to review the material on-line prior to placing reliance on a dated printed version.

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