|  |  |
| --- | --- |
| **University Policy Office logo** | **POLICY IMPACT STATEMENT**  **SUBMISSION GUIDELINES**  Handbook of Operating Procedures  Administrative/Operational Policies |

Department heads and divisional management may determine a need for creating or revising a university policy which belongs in the Handbook of Operating Procedures (“HOP”). The process for adoption of HOP policies involves a series of approval steps.

The Policy Owner (“PO”) is responsible for advancing new/revised policy proposals through UT Austin’s policy process by following these steps. Those individuals bringing forward policy submissions are required to gain support from his/her executive level leader (VP or Provost level) and consult with knowledgeable stakeholders and governance representatives (faculty, staff, and/or students) for those campus community members who will be most affected by the requirements established in the policy. Steps in the *initial process* include:

1. Review the policy process flowchart depicting the policy review/approval process at: <https://compliance.utexas.edu/media/77>. Electronic versions of the Policy Impact Statement and Policy Template are located at <https://compliance.utexas.edu/policy-process> (Other Resources).
2. PO completes the Policy Impact Statement. A preliminary draft of the new policy or copy of the existing HOP policy is to accompany the completed Policy Impact Statement.
   * The policy template can be found at the link referenced in item 1 above.
3. **Electronically attach the Policy Impact Statement and Policy draft to the UPO workbench at:**  <https://secure4.compliancebridge.com/utexas/portal>.
4. After receipt of these documents, the Policy Office will review them and contact the PO about the next step.

**DEFINITIONS RELEVANT TO THE POLICY IMPACT STATEMENT FORM**

**Policy:** A directive meeting the following criteria:

* Has broad application throughout the university or affects a broad range of the campus community.
* Contains governing principles which mandate or constrain action or articulates desired outcomes and provides procedures for implementation.
* Enhances the university’s mission, mitigates institutional risk, and/or promotes operational efficiency and/or helps further compliance with applicable laws, regulations, UT System Board of Regents’ Rules and Regulations, or UT System policies.
* Does not require frequent changes.
* Has been approved by the president or his/her designee after completion of the policy development process, and received UT System and/or Board of Regents’ approval where necessary.

**Policy Owner:** Office designated by the executive level sponsor to develop and/or administer a policy, communicate with and train university community in its requirements, and execute its timely updating and revisions.

**Executive Level Sponsor**: Divisional executive leader (typically VP, Provost or his/her designee) having organizational responsibility for the office designated as the Policy Owner.

**Questions related to completing this form may be directed to:**

**University Policy Office: 512-471-0426 or via email** [policyoffice@austin.utexas.edu](mailto:policyoffice@austin.utexas.edu)

**POLICY IMPACT STATEMENT**

Please submit one Policy Impact Statement for each policy under consideration.

Responsible Policy Owner Title:       Policy Owner Phone:

Executive Level Sponsor Title:       Submission Date:

Proposed Policy Title (if new policy):

Existing Policy Title & HOP # (if revision):

1. **Background and Policy Rationale**
2. **Is this policy new, a substantial revision, or a minor revision?**

New   Substantial Revision  Minor Revision

1. **Why is this policy or revision necessary?**

Legal  Regulatory  U.T. System driven

Financial  Social Requirement  Operational/Operational Efficiency

Current University policy is outdated  Technological

Other:

1. **Please provide a brief supporting explanation:**

1. **What foreseeable advantages will this policy bring to the University?**
2. **Policy Impact**
3. **List entities, offices, and other University community members as well as operational activities affected by this policy:**
4. **How will this policy reflect University’s mission and values?**

Retention of faculty and staff  Mitigate risk

Responsible stewardship of resources (fiscal, human resources, physical assets)

Peer institution values  Other: ­­­­­­­­­­­­­­­­­­­

1. **What resources (human, financial, physical, operational, technological or other) will be needed to implement and maintain compliance with this policy?**

* **If financial resources will be required, estimate approximate amount: $**

1. **Proposed Policy Development**
2. **As part of the HOP policy process, key stakeholders should be engaged early in the policy draft process to provide adequate time for advisory input to the policy owner. Identify key stakeholders, affected parties and/or governance groups who have been consulted, or will be consulted in developing policy.**

* **List the stakeholders, affected parties, and/or governance groups already consulted:**
* **List the stakeholders, affected parties, and/or governance groups you plan to consult with**:
* **List Subject-Matter-Experts you will include in policy drafting:**

Legal Affairs  Internal Audit  Risk Manager:

Other:

1. **List compliance mechanisms existing or which need to be created (i.e., forms, technological):**
2. **Communications and Training**
3. **What types of communication and training activities will your office provide to build awareness and enable implementation of the policy?**
4. **Will initial or periodic training be required by law?**       **If so, please explain how you will accomplish.**
5. **Review Policy Ranking by Criticality or Priority**

|  |  |  |
| --- | --- | --- |
| High |  | Policy considered to have a medium to high probability of adverse effects to UT Austin either as a whole or to a significant college/school/unit level or has not been revised in 11+ years |
| Medium |  | **Policy considered to have a low to medium probability of adverse effects to UT Austin either as a whole or to a college/school/unit level or has not been revised in 6-10 years** |
| Low |  | **Policy considered to have minimal probability of adverse effects to UT Austin either as a whole or to a college/school/unit level or has not been revised in 1-5 years** |

**Submitted by:**

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_*

*Policy Owner Name and Title*

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Authorized Signature- Responsible Policy Owner Date*

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Executive Sponsor Name and Title*

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_ \_\_*

*Authorized Signature – Executive Level Sponsor (VP/Provost level) Date*

**Route electronic document form to:** [**policyoffice@austin.utexas.edu**](mailto:policyoffice@austin.utexas.edu)

**Questions may be directed to: Betty Brooks,** [**betty.brooks@austin.utexas.edu**](mailto:betty.brooks@austin.utexas.edu)**, or by calling 512-471-0426**