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| Stacked Baylor Brand mark | **POLICY IMPACT STATEMENT**  **SUBMISSION GUIDELINES** |

Consistent with the Compliance, Risk, and Ethics Charter, Baylor University develops and maintains University Policies in accordance with a uniform Policy process. The Policy process is described in the University’s Policy on Policies.

University leadership, department heads, and/or divisional management may determine a need for creating, revising, or retiring a University Policy. The process for adoption or retirement of University Policies involves a series of approval steps.

The Policy Owner is responsible for advancing new, revised, or retirement Policy proposals through Baylor University’s Policy process by following these steps. Each individual bringing forward a Policy submission is required to gain support from his or 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 and the Policy template.
2. Policy Owner completes the Policy Impact Statement. A preliminary draft of the new Policy or copy of the existing Policy is to accompany the completed Policy Impact Statement.
   * At this point, you do not have to gain your vice president’s sign-off on the Policy Impact Statement.
   * The Policy template can be found at the link included in item 1 above.
3. **Electronically attach the Policy Impact Statement and Policy draft to University Compliance & Risk Services at:**  policy@baylor.edu.
4. After receipt of these documents, University Compliance & Risk Services reviews them and contacts the Policy Owner 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 that 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, or University Policies.
* Does not require frequent changes.
* Has been approved by the president or his/her designee after completion of the Policy development process.

**Unit-specific Policy:** A policy developed by a University unit which only impacts or concerns that unit.

**Policy Owner:** Office designated by the executive-level sponsor to develop and/or administer a Policy, communicate with and train the 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:**

**policy@baylor.edu**

**POLICY IMPACT STATEMENT**

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

Submission Date:       Responsible Policy Owner/ Sponsor:

Phone:

Executive Level Sponsor:

Proposed Policy Title:

Existing Policy Title & Policy # (if revision):

Future Policies Planned in this Subject Area (list titles if available):

1. **Background and Policy Rationale**
2. **Is this Policy new, a substantial revision, a minor revision, or in need of retirement?**

New   Substantial Revision  Minor Revision  Retirement

1. **Is this Policy a Unit-specific Policy?**

Yes  No

1. **Why is this Policy, revision, or retirement necessary?**

Legal  Regulatory  Operational/Operational Efficiency

Financial  Social Requirement  Technological

Current University Policy is outdated  Other:

**Please provide a brief supporting explanation:**

1. **For new Policies: Create a Policy draft using the Policy template. Complete as much of the Policy template as feasible understanding further refinement can be done during the workflow process.**

**For revisions to an existing Policy: Open the current Policy as a Microsoft Office Word document and create a new draft. Enable Track Changes, make changes to your Policy, and save the new draft as version 2 of the Policy.**

1. **Policy Impact**
2. **Describe how this new or revised Policy is different from any existing University Policies:**
3. **List foreseeable advantages and potential challenges or issues creating, revising, or retiring this Policy will bring to the University:**
4. **List entities, offices, and other University community members affected by this Policy:**
5. **Describe what this Policy will require of the University community:**
6. **Describe the operational activities of the University that will be affected:**
7. **Describe how creating, revising, or retiring this Policy supports the University’s mission and strategic plan:**
8. **Describe 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. **Describe strategies to implement and operationalize new or updated requirements provided in the Policy:**
2. **Describe what changes to the University’s culture and/or behaviors may be involved:**
3. **List existing University Policies and external regulations (laws, codes, etc.) that are related to this Policy:**
4. **Proposed Policy Development**
5. **As part of the 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 or retiring this 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 development or retirement:**

1. **List compliance mechanisms existing or which need to be created (i.e., forms, technological):**
2. **Specify any timing requirements for developing or retiring Policy:**
3. **Communications and Training**
4. **What types of communication and training activities will your office provide to build awareness and enable implementation or retirement of the Policy?**
5. **Will initial or periodic training be required?**       **If so, please explain how you will accomplish.**

**Submitted by:**

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*Authorized Signature – Responsible Policy Owner Date*

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

**Route electronic document form and questions to:** [**policy@baylor.edu**](mailto:policy@baylor.edu)

**University Compliance and Risk Services Review:**

1. **University Compliance and Risk Services review:**

**Does the proposed Policy conflict with an existing University Policy?**

**Can the proposed Policy be combined with an existing University Policy?**

1. **Policy feedback:**