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

1. Purpose

These guidelines provide instructions to policy owners for how to submit new or revised University Policies for review and approval, and to policy reviewers who review and approve policies, within the DocRoute application, per terms of the Policy Development and Maintenance policy. Beginning in September of 2019, owners of all current University Policies were instructed to submit them into DocRoute for an abbreviated ("grandfathered") review process. New or revised University Policies undergo a lengthier and more formal review process. All policies submitted for review must be formatted using the University Policy Template.

2. 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.

3. 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 H.R. Dept 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 has already been through a formal review/approval process prior to the effective date of the Policy Development and Maintenance policy. A Grandfathered policy merely needs 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.

4. Policy Guidelines

The Policy Development and Maintenance Policy sets forth a required review process for any new or revised University Policy. The University's process for carrying out the policy is explained in the "Procedures" section (next).

5. 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. University Policy reviews will require the following series of review/approvals (in this order):

Policy Owner/Originator Submits New or Revised Policy

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1st Review: Division Policy Facilitator (DPF) - performed by the DPF of the policy's host Division

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2nd Review: Policy Committee – performed by a 3-person subcommittee of the Policy Committee

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3rd Review: Division VP's – host Division's VP approves when any concerns by other VP's are resolved

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4th Review: Policy Committee – sends recommendation for approval to the President

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5th Review: President – reviews policy, and if in agreement, gives final approval

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Publish to Policy Library

5.1 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:

5.1.1 New Policies

1. Draft your policy on a WORD document, and be sure formatting conforms to the University Policy Template (find in left side menu, here: https://www.southalabama.edu/departments/compliance/). If your policy material was derived from various other sources, use the "text only" option when pasting copied material to your WORD document, in order to filter-out unwanted / hidden formatting tags/commands. As an alternative approach, use a Notepad document (which also scrubs a lot of unnecessary tags/commands from your content) as your source document. This process will help when you later transfer your content to DocRoute (which uses HTML); it will result in fewer necessary reformatting adjustments. If you anticipate a lot of suggested edits by reviewers, it is recommended you save your source document to the "University Policy Google Team Drive" as a WORD doc (you will need to request access to the Team Drive from the Office of Compliance).
2. Look for and select "Document Routing (DocRoute Login)" in our USA website's A-Z index, or click here: https://jagaspx2.southalabama.edu/docroute/policyrequest.aspx
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 "Request" from the dropdown choices
6. Click the "Request a New Policy" 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
    b. Select your Division
    c. For "review cycle," you have a choice of every 1-5 years.

d. For "Originating Department," enter the official name of your department (no abbreviations)

e. Enter the URL of your source document (Team Drive Google Doc) which can be used for tracking suggested edits between you and the reviewers (your Division Policy Facilitator, Policy Committee members, applicable VP's, and the President, prior to your edits to the official DocRoute version).

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.

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

9. 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 free-hand 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.

10. 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 web links copied into DocRoute.

11. If you can't finish entering all of your policy, you have a save option at the bottom of the policy template (rather than Submit), so that you can return at a later time to complete it. NOTE: if you expect to take more than 30 minutes entering your policy into the DocRoute template, scroll to the bottom of the template and click "Update" periodically, then "Edit" to continue editing, so that the system doesn't time-out and cause you to lose your work.

12. When you have completed entering your policy and are satisfied, click "submit." The policy will route to your Division Policy Facilitator for review. For any further editing, the policy will need to be electronically returned to you by a reviewer. Alternatively, you could inquire with the Office of Compliance *Student Assistant* for help with additional editing.

13. If anyone in the review process has concerns about the policy, they should engage you (and your DPF if desired) in a conversation, which may or may not result in necessary edits to your policy content. As stated earlier, reviewers may use the Google Doc for suggesting edits. But only you (the policy owner/originator) can enter agreed-upon edits in the DocRoute content. When concerns are resolved, edit the DocRoute version of your policy based on agreement with the reviewer, then "submit." The policy will then advance again to your DPF, etc., per the review sequence outlined earlier in this guide.

14. Upon review and final approval by the President, the policy will be published to the Policy Library.

5.1.2 Revised Policies

1. Look for and select "Document Routing (DocRoute Login)" in our USA website's A-Z index, or click here: https://jagaspx2.southalabama.edu/docroute/policylibrary.aspx

2. Select "Policy" in the menu on the left side of your screen

3. Select "Library" from the dropdown choices

4. Enter the policy ID number in the "Request ID" box (under "Existing Policy"). The Policy ID can be found in the Policy Library, a unique 4-digit number associated with each policy. Or, scroll down to the search section where you can query policies by Division, etc.

5. Upon opening the policy, click the "Start Review Request" button.

6. Original demographic information for your policy (per section 5.1.1.6) should be intact, but you can edit if necessary. Select either Full or Short route type: Full should be used for revisions with impactful content updates, whereas Short can be used for minor, insignificant content changes (and will result in an abbreviated review process that does not involve the VP's and President).

7. For minor changes, you may prefer to edit the content directly from within the DocRoute template.

8. For substantial editing and/or reformatting, you may prefer to copy the existing policy to a WORD document to complete your revisions. When complete, simply copy-paste from the WORD doc to the DocRoute policy template. You may also upload your WORD doc to the University Policy Google team drive – for attaching to your DocRoute policy template (for the benefit of reviewers, to see the specific revisions). Enter "submit" when complete. Your policy will route to your Division Policy Facilitator (DPF) for review.

9. Be sure to click "Update" periodically (then re-enter your policy for editing by clicking "Edit"), to avoid being timed-out and losing your work. DocRoute times-out after 30 minutes.

5.2 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 the policy ID # in the email title, and brief instructions for where you can find DocRoute in the USA website's A-Z index.

2. Look for and select "Document Routing (DocRoute Login)" in our USA website's A-Z index, or click here: https://jagaspx2.southalabama.edu/docroute/policyrequest.aspx

3. Select "Policy" in the menu on the left side of your screen

4. Select "Request" from the dropdown choices

5. Enter the 4-digit policy ID number (provided in the subject line of DocRoute's system-generated email) in the "Request ID" box under "Existing Requests" (right/center of your screen), then click the "Open" button.

6. 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.

7. If you are in agreement with the policy and have no suggested edits, scroll down below the policy content to the Review section, and click the green "approve" button to advance the policy to the next review step (the University Policy Committee).

8. 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. For numerous suggested edits, the use of an attached Google Doc, or independent WORD doc is suggested. Upon agreement between policy owner and reviewer, 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).

5.3 Guidelines for Policy Subcommittee Members

1. When a new or revised policy is routed to you for review, you'll receive a system generated email from DocRoute with the policy ID # in the email title, and brief instructions for where you can find DocRoute in the USA website's A-Z index.

2. Look for and select "Document Routing (DocRoute Login)" in our USA website's A-Z index, or click here: https://jagaspx2.southalabama.edu/docroute/policyrequest.aspx

3. Select "Policy" in the menu on the left side of your screen

4. Select "Request" from the dropdown choices

5. Enter the 4-digit policy ID number (provided in the subject line of DocRoute's system-generated email) in the "Request ID" box under "Existing Requests" (right/center of your screen), then click the "Open" button.

6. 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.

7. You will be part of a 3-person subcommittee of the Policy Committee (assigned by the Chair of the committee) to review the policy. The subcommittee members should enter into an email conversation led by the assigned subcommittee leader to share their thoughts on the policy, and either utilize an attached Google Doc for suggested edits, communicate them to the policy owner by e-mail, or enter suggested edits into the policy's DocRoute comments section.

8. Upon agreement between the reviewing subcommittee and the policy owner, the policy owner/originator will edit the DocRoute source material with the agreed changes. Any time the policy owner/originator edits the policy content in the DocRoute template, the policy will advance again through each review step as outlined earlier.

9. When the subcommittee is satisfied with the policy content as displayed in the DocRoute template, one designated member of the subcommittee should be identified to represent the group (typically the subcommittee leader) by clicking the green approval button. The other two members will enter the text, "approved" in the comment text box. The policy will then advance to the VP review step.

To save time, <u>minor</u> formatting adjustments can be made by the Chief Compliance Officer (or student assistant), so that the policy does not have to be routed through all approval nodes again by the originator.

5.4 Guidelines for VP's

1. When a policy advances to the host Division VP for review/approval, the VP will receive a DocRoute system-generated email, and will have the ability to select "approve." First however, the VP should allow other VP's (whose divisions are impacted by the policy) a 7-day comment period to voice any concerns. VP's whose Divisions are impacted by the policy will also receive a system-generated email to alert them of the needed policy review (but only the host VP can actually click "approve" in DocRoute).

2. Please follow steps 1-6 from section 5.3.

3. 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). Alternatively, the policy's Google Doc version (if link is attached to the policy in DocRoute) can be used for policy edit suggestions.

4. If no comments or concerns are voiced by reviewing VP's within the given 7 days, the host Division VP may approve the policy. It then routes back to the Policy Committee, for final recommendation to the President.

5. If there are necessary edits, the policy owner should enter the agreed-upon changes to the policy in the DocRoute template (or copy from the Google Doc), using the "edit" function found at the end of the policy content. Then click "submit."

6. A summary of the concerns, and how they are resolved, should ideally be summarized 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. Any edits will trigger the policy to advance through each review step again.

5.5 Guidelines for President

1. When a new or revised policy is advanced to the President in the review process, he/she will receive a system generated email from DocRoute with the policy ID # in the email title, and brief instructions for where to find DocRoute in the USA website's A-Z index.

2. Look for and select "Document Routing (DocRoute Login)" in our USA website's A-Z index, or click here: https://jagaspx2.southalabama.edu/docroute/policyrequest.aspx

3. Select "Policy" in the menu on the left side of your screen

4. Select "Request" from the dropdown choices

5. Enter the 4-digit policy ID number (provided in the subject line of DocRoute's system-generated email) in the "Request ID" box under "Existing Requests" (right/center of your screen), then click the "Open" button.

6. 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.

7. 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. This will return it back to the Policy Committee for activation. It will then be published in the USA Policy Library.

8. If you have any concerns or suggested edits, please direct them to the policy owner/originator and consider copying the sponsoring Division VP, and even others in the review process if you wish (you will see their names in the Reviews section under the policy). There are 3 suggested ways of communicating comments or concerns about the policy:
   (a) E-mail/phone - probably a better way to communicate any concerns to the policy owner and others - particularly if you have substantial concerns that need to be talked-through.

(b) Utilize the Google Doc version of the policy for suggesting edits (if link to a Google Doc is attached).

(c) Comments - There is a "Comment" box under the "Reviews" section of the template where you may leave your comments. You are encouraged to summarize any concerns you may have in this text box, so that it remains with the policy review for posterity.

9. If the policy is edited by the policy owner/originator during this review process, it will repeat its movement through each review step for follow-up approvals (as follows):

      a. Level 1 - Division Policy Facilitator

      b. Level 2 - Policy Committee

      c. Level 3 - VP's

      d. Level 4 - Policy Committee sends final recommendation to President

      e. Level 5 – President

5.6 Grandfathered Policies

5.6.1 Owner/Originator

Effective September 2019, owners of current University Policies must reformat them using the University Policy Template, then enter them into DocRoute. Upon submission by the policy's owner, a Policy Committee member will be assigned to cursorily review the policy to assure correct formatting, etc.; when any review concerns are resolved, the policy will be published to the University Policy Library after a review by the Chair of the Policy Committee (and/or student assistant) to assure formatting is correct and consistent. Follow these steps to submit a "grandfathered" policy:

1. Be sure your policy conforms to the University Policy Template formatting (find in left side menu, here: https://www.southalabama.edu/departments/compliance/).

2. Look for and select "Document Routing (DocRoute Login)" in our USA website's A-Z index, or click here: https://jagaspx2.southalabama.edu/docroute/policygf.aspx

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 "Grandfathered" from the dropdown choices

6. Click the "Request a Grandfathered Policy" 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

      (b) For "Originating Department," enter the official name of your dept (no abbreviations)

      (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) 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.

8. From here, follow steps outlined in section 5.1.1, steps 7-11.

9. The policy will route to an assigned Policy Committee member for review, who will engage the policy owner 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 will "approve"

the policy, whereupon the Chair of the Policy Committee (and or a student assistant) will review for correct formatting and consistency, then publish to the Policy Library.

5.6.2 Policy Committee Reviewer

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

1. When a grandfathered policy is advanced to you in the review process, you'll receive a system generated email from DocRoute with the policy ID # in the email title, and brief instructions for where you can find DocRoute in the USA website's A-Z index.
2. Look for and select "Document Routing (DocRoute Login)" in our USA website's A-Z index, or click here: https://jagaspx2.southalabama.edu/docroute/policygf.aspx
3. Select "Policy" in the menu on the left side of your screen, then select "Grandfathered" if the notification email indicated "Grandfathered."
4. Enter the 4-digit policy ID number (provided in the subject line of DocRoute's system-generated email) in the "Request ID" box under "Existing Grandfathered Requests" (right/center of your screen), then click the "Open" button.
5. 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.
6. Share any concerns you may have with the policy owner/originator. Upon agreement of any necessary edits, the owner/originator will enter the edits and resubmit to you for final approval.
7. Upon your approval, the policy will be sent for publishing to our Policy Library.

NOTE: For use of Google docs, there are 3 ways to enter your edits (as indicated on the menu bar in the upper right of your Google doc screen):
       (a) editing
       (b) suggesting
       (c) reviewing
It is strongly recommended to use the "suggesting" function, so that all edits are trackable on the WORD version of the file.