

Developing Policies at Cornell University

List of Responsibilities of the Responsible Office Representative

❖ Propose

❖ Develop and Draft

❖ PAG Review

❖ EPRG review

❖ Promulgate

❖ Train

❖ Feedback

❖ Maintain

Propose New Policy

- Obtain approval of the appropriate responsible executive (vice president or dean of the unit) to move forward with developing the proposed policy.
- Attend a briefing by University Policy Office (UPO).
- Form small editorial committee of colleagues, stakeholders, and/or customers to assist with the development and drafting of a full policy.
- Become familiar with the items in the UPO's [Policy Toolkit](#).
- Prepare an Impact Statement (IS) and submit it to the UPO.
 - Include identification of appropriate stakeholders (See “**List of Recommended Stakeholders**” of the [Impact Statement template](#)).
 - Carefully consider what are the principles governing this policy vs. the supporting procedures to direct implementation.
- Note date of the [Executive Policy Review Group \(EPRG\)](#) meeting at which the IS to be reviewed/approved.
- Determine and advise UPO of who will present the IS at the EPRG meeting.

Note: Upon approval of the IS by the EPRG, the UPO will assign a volume and chapter number to the policy.

Develop and Draft Policy

(An iterative process, engaging others' inputs)

- Include your responsible executive in considering methods for approaching your identified stakeholders (i.e., appropriate ways and timing for sharing your draft. You may wish to use the “[Sample Cover Letter to Stakeholders](#),” which is posted on the UPO website), and in assessing how to incorporate their inputs.

- With the editorial group, draft the policy using the [Simplified Policy Template](#), which is posted on the UPO website.

- Submit the completed draft to the UPO for conversion to official policy template and editing and formatting.

- Provide the UPO with an indication of whether identified stakeholders have been consulted.

- Work with the UPO on final editing and reformatting of the draft to be distributed for review to the [Policy Advisory Group \(PAG\)](#).

First Review:
Policy Advisory Group (PAG) Meeting
(See "[List of PAG Members](#)")

- Before the meeting:
 - Note the date of PAG Meeting
 - Determine and advise the UPO of who will present draft at the meeting (typically the responsible office representative, i.e., you).

- During the meeting, the presenter (you) should do the following:
 - Briefly introduce the policy by providing background on what gave rise to its development; what weakness in university operations or what risk to university interests the policy was developed to address; stakeholder concerns during the development process; how the policy is set out, etc.
 - Consider and respond to questions, comments, and issues raised by PAG members, clarify the intent of the policy and explain any technical aspects.
 - Carefully document PAG recommendations and note general concerns.

- After the meeting:
 - Consult with the UPO to resolve any ambiguous issues that are raised in the meeting. If necessary, take the policy back to your stakeholders and/or the editorial group.
 - Enlist the responsible executive's, as well as the editorial committee's, input on how to accommodate the PAG's recommendations.
 - Work with the UPO on final editing and reformatting of the policy document prior to distribution to the EPRG members.

Final Approval: Executive Policy Review Group (EPRG)

Meeting: (See "[List of EPRG Members](#)")

- Before the meeting:
 - Ensure that any required operation systems and training are in place.
 - Note date of the EPRG meeting.
 - Determine and advise the UPO of who will present the policy (preferably, the responsible executive and the responsible office representative).

- During the meeting:
 - The presenter (you or responsible executive) should briefly recall background on what gave rise to policy, weakness in university operations or risks to university interests policy addresses, and how the policy is set out. Mention any special stakeholder or PAG concerns. If the responsible executive is a member of the EPRG and is not making the presentation, he/she will likely give support.
 - Again, consider and respond to questions, comments, and issues raised by EPRG members, clarify the policy's intent and explain any technical aspects. If the responsible executive is a member of the EPRG and is not making the presentation, he/she will likely give support.
 - Along with the UPO attendee, take note of agreed changes.

- After the meeting:
 - Along with UPO, amend the policy document reflecting the EPRG's changes. In a few cases, this may involve further consultation with relevant authorities or experts.
 - The UPO will perform the final editing and reformatting of the document and send this final version to you for approval.
 - Upon your approval, the UPO will send the policy document, now reflecting EPRG's changes and any final revision you have made, to EPRG members for a "Week to Object." Failing any further EPRG concerns/revisions at the end of this time, the policy will be ready for promulgation. If there are still EPRG concerns, they will be addressed and the policy will be "polished" as outlined above and will then be ready for promulgation.

Promulgation

- Provide UPO with a brief introduction of the policy to the university community, highlighting its purpose and main features.
- If your unit has its own website, you may wish to link from it to the policy that will be posted on the UPO website. The UPO will provide you with the URL.

Communication and Training

- Directly advise your related customers of the existence of the new – or significantly revised – policy.
- If appropriate, develop a training program for any special constituents most affected by the policy and advise the UPO “FYI” of this effort (e.g., via “e-mail cc” of announcement to constituents).

Feedback

- Complete responsible office survey provided by UPO, if any, and return to UPO.

Maintain

- Monitor compliance and update the policy as necessary.
- Advise the UPO of any textual changes to be made to the policy hosted on the UPO website, which is the location of record of all university policies. In future, you would also advise the UPO of any substantive changes to the content of the policy that may require a recycle through the policy-creation process.