



Policy Development Tool

October 2012

Introduction

This tool describes a process for developing or revising a policy. It includes a form for documenting the development of a policy. This tool is *not required* for developing and approving any specific policy at Tufts. It is merely a tool that a manager *may opt (but is not required) to use* to support his or her policy development work. The tool is designed to help people think through a variety of issues and questions early in the policy development process.

The tool prescribes a rather formal policy development and approval process. *No policies at Tufts are required to go through this development and approval process.* This tool describes such a formal process only to help managers determine the most appropriate process for developing and approving their policies.

Policy Development Process

1. *Policy Leader* identifies the need for a new or significantly revised policy.
2. *Policy Leader* submits a **Policy Development Plan** (see page 3) to appropriate senior leadership for their approval. This document:
 - a. Describes the existing policy gap and the risks/problems the gap brings
 - b. Describes the new policy and how it addresses the gap and mitigates the risks/problems
 - c. Outlines an implementation plan for the policy
 - d. Identifies Tufts entities covered by the policy and describes how the policy will affect those entities.
 - e. Identifies the
 - i. *Policy Leader(s)*
 - ii. *Review Entity(ies)*
 - iii. *Executive Sponsor(s)*
 - iv. *Responsible Office(s)*.
3. *Policy Leader* drafts the policy with input from appropriate stakeholders.
4. *Policy Leader* submits the policy along with a completed **Policy Development Plan** to *Review and Approval Entities*.
5. *Review Entities* approve policy or send it back to the *Policy Leader* for revision or reconsideration, which would bring the process back to Step 3.
6. *Policy Leader* submits approved policy to *Executive Sponsor* and *Responsible Office*.
7. *Responsible Office* disseminates policy as appropriate.



Policy Roles

Each role may be held by multiple offices or individuals, and an office or individual may have multiple roles.

Policy Leader(s)

- Responsible for developing a policy and securing the review and approval of the policy from the appropriate stakeholders.

Review Entity(ies)

- Reviews pending policy.
- Their consent provides a policy with its enabling warrant—allowing a policy to be in effect and active.

Executive Sponsor(s)

- Once a policy is approved and becomes effective, the Executive Sponsor becomes the executive with the ultimate responsibility for the policy.

Responsible Office(s)

- Takes over the management of the policy from the Policy Leader once the policy is approved and becomes effective. The Policy Leader and the Responsible Office may be the same entity.
- Disseminates the policy to appropriate audiences.
- Manages a periodic policy review process.
- Manages policy updates and versioning.
- Determines the implementation, training, monitoring, and enforcement framework for the policy.
- Develops and manages supporting procedures as needed.
- Provides interpretations and answers questions about the policy.



Policy Development Plan

POLICY OVERVIEW		
Proposed Policy Title		
New or Significantly Revised Policy		
For Revised Policy only	Current Title	
	Current Location (Where people access the policy)	
	Current Responsible Office	

POLICY JUSTIFICATION	
Existing policy gap and risks (Includes a list of current policies related to the issue to be addressed by the proposed policy)	
Describe how proposed policy closes gap and mitigates risks	

POLICY DEVELOPMENT PLAN SUBMISSION	
Plan Submitter	
Submission Date	

POLICY DEVELOPMENT PLAN APPROVAL	
Plan Recipient	
Response (Approval or return for further consideration)	
Response Date	

POLICY ROLES	
Policy Leader(s)	
Review and Approval Entities	
Executive Sponsor(s)	
Responsible Office(s)	



POLICY IMPACT	
Tufts entities governed by proposed policy	
Describe the affect the proposed policy would have on these entities	

POLICY IMPLEMENTATION	
Outline an implementation plan for the proposed policy	
Review Cycle	