APPENDIX 2 – UNIVERSITY POLICY APPROVAL TRACKING SHEET

Step 1. Fill out this section for all university policies:

1. Policy Name and Number: ____________________________
2. Responsible Official: ____________________________
3. Check one:   _____ Revision          _____New Policy
   _____ Reviewed without Changes (i.e. this policy is still current and accurate)
   If this is a review without change, please sign this form and send to
   Director of Compliance (Section 2 and 3 are not required).

Step 2. Attach a short memorandum, signed by the Responsible Official, which discusses the
following:

1. Discuss/describe the reason for this new policy or policy change (e.g. law change; add clarity;
   reorganization; etc.).
2. Discuss what stakeholders have been involved in the drafting/vetting of this policy/revision. Have
   these stakeholders raised any issues or concerns, and if so have these been resolved?
3. Discuss any budgetary impacts this policy or policy change may have, including monetary costs
   and time burdens.
4. Discuss updated procedures, training and necessary communications that have been prepared.
5. Provide other comments as necessary.

Step 3. Email the approval package to the Director of Compliance. A completed package will
include the following.

   | Cover   | University Policy Approval Tracking Sheet (this sheet) |
   | Tab 1   | Memorandum signed by Responsible Official (pdf)       |
   | Tab 2   | Policy to be signed (an unmarked clean copy in Word)  |
   | Tab 3   | For Revisions, provide detail of changes. This can be accomplished with an |
   |         | annotated version highlighting major changes, or with a “track changes” version. |
   | Tab 4   | Supplemental materials (as may be necessary)          |

Step 4. Reviewed and Approval:

   X ____________________________________________   ____________________
   Director of Compliance                      Date Reviewed

   X ____________________________________________   ____________________
   For the Executive Compliance Committee       Date Review/Comment Completed

   X ____________________________________________   ____________________
   For the Office of General Counsel            Date Approved

Step 5. Final Approval and Dissemination

1. President: Sign the policy at Tab 2, and return the package to Director of Compliance (Allen Center 425).
2. Director of Compliance will notify Responsible Official, and post to the policy website
3. Responsible Official will send an All Depts email, in addition to other communications as necessary.