Policy and Procedures
The who, what, why and how to do them

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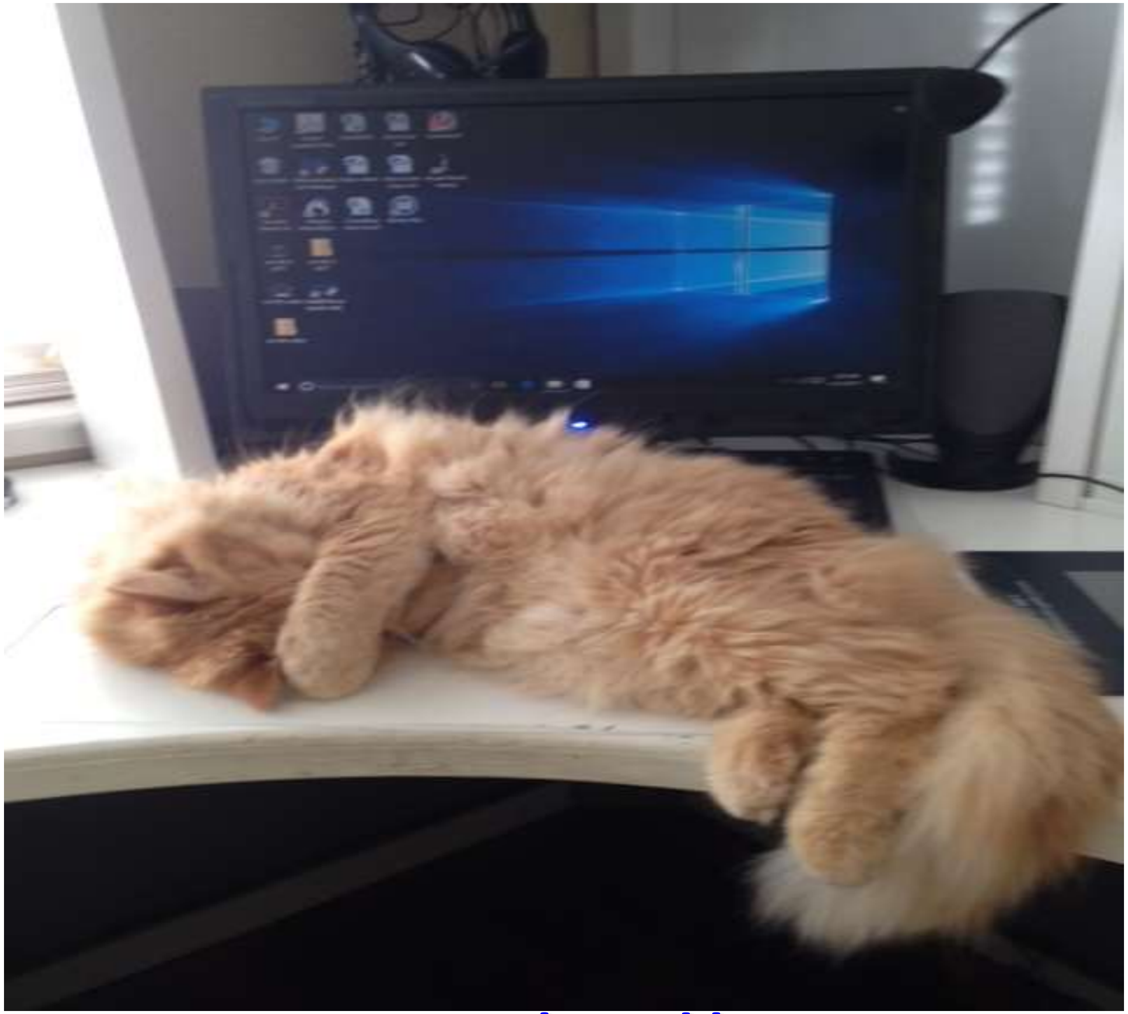

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Notice how he is covering his eyes to avoid distractions!

Definitions

- Policy: Explains why we do it this way. Details the rules as to why we do things in a certain way. It is the governing principle, plan, or understanding that guides the action.
- Procedures: How to do it. A procedure is like a recipe—a set of instructions that clearly states who does something, when it should be done, how it's done and what the result should be.

Why we do them

- To set a protocol of standards or rules allowing uniformity in how you conduct business.
- Allows everyone to be on the "same page" creating an efficient work flow.
- Reduces the risk of liability by ensuring all circumstances are treated in the same unbiased manner.
- Creates a stress free environment for staff. Allows them to know exactly what to do.

Who we do them for

- Our customers
- Our staff
- The Auditors
- External examinations
- Internal inquiries
- Ourselves

In the Beginning

- Which comes first? The policy or the procedure?
- You can't have a procedure without a policy
- Policy dictates why you do it, and the procedure directs you on how to get it done
- Decide who is going to be the author/officer of authority of the policy and procedures manual

Writing a Policy
Step by Step Guide

- Decide who is going to do it.

Are you going to volunteer, or will you designate an “officer of authority”. It must be someone who is able to compile information in clear and simple language. They are responsible to create and review the policy, and maintain updates as needed.

Writing a Policy
Step by Step Guide

What is the subject of your policy? Compose a brief synopsis of what this policy is going to be about. A concise summary of the objectives helps to clarify the subject matter.

Gather research material. This can be a law you are quoting, a related policy, or why this policy was created.

Writing a Policy
Step by Step Guide

- Develop an outline, listing the key points you want your policy cover. Your outline will help format the sequence of information being presented in your policy.
- Once you have completed these steps, review this information with a higher authority to ensure your policy is accurate.

Writing a Policy
Special Note

- Use a current policy template if available, or create a template. Your policies should all be written in the same format, font size, and style to maintain uniformity, and reduce confusion to the reader.
- Policies should be written in the third person. It allows the reader to relate one on one with the material.

Special Notes

- When it comes to writing policy, less is more.
- Keep your statements clear and to the point
- Use strong action words, such as; will, must, cannot, etc..
- Avoid including information that changes frequently. Instead of using an individual's name, use the position title. Instead of a building name, use to the department name

Writing a Policy
Flow chart of document information

- Policy Title: Identify the key purpose
- Brief Description: Short summary of the policy. Do NOT include specific details
- Applies To: List of who this policy is targeting
- Reason for Policy: Lists why this policy exists
- Policy Statement : Specific directions including; who is the primary audience? Who needs to follow the policy, in what situation. What are the major conditions or restrictions? What is expected of the employee or student? Are there exclusions or special situations?
- Forms/Links: Links to forms used in following this policy and information quoted/related to your policy on another site, such as a federal or state websites.
- Definitions: Define unfamiliar or technical terms, and terms with special meanings. Acronyms must be if spelled out completely. The first time you use an acronym in your document use the entire name.

Policy is written..
Now What?

- It’s time to write your procedure
- A procedure is like a recipe—a set of instructions that clearly states who does something, when it should be done, how it's done and what the result should be.
- Keep in mind you are the expert, but your reader will not be, and staff referring to your policy may be new to their current position, or new to the campus.
- You need to keep your procedures as simple and straight forward as possible. Provide enough information for users to understand, but not so much that they become confused.

Starting the Procedures

- You need to decide who will write the procedure.
- Gather information. What does it take to do the procedure? What steps/equipment are needed. List what access is needed for any systems. Survey potential procedure users, make a list of operational problems if you're creating procedures from scratch.

Starting the Procedures

- Establish your manual's layout.
- Write a rough draft. Using a two column layout, in the left column list the person responsible for the procedure. In the right column, list the steps in order that person performs. If the procedure involves multiple people, they should all be able to clearly see where they fit in the process and what they need to do

Procedure Layout

Header Box: Procedure title, related policy title, date issued, Office of Origin, and Procedure

Approval Authority: The procedure title should be simple and clearly expresses the procedure’s content.

Procedure description: List your objectives, functions, or tasks to accomplish and the conditions when to use the procedure.

Procedure Layout

- Areas of responsibility: List departments, offices, and individual job titles for those who have responsibility for the procedure. Who has the authority to approve exceptions, modifications, or updates to the procedure.

Procedure Layout

- Procedure details: Style format should be organized using a chronological series of steps to accomplish a task. Can be organized as a lists of tasks done by individuals or a department. You can do an outline of each step required, a to do checklist, explanations of how to complete the necessary forms or screens—including copies of the forms or screens. A transaction flow chart might also be included in this section.
- Provide the reader with the necessary procedural and “how to” information. Include definitions of unique terms or terms subject to different interpretation and copies of all forms needed to complete the procedure.

Procedure Layout

- References: List any University-wide and campus-specific, federal and state laws and regulations, or other references directly applicable to the procedure.
- Help page: Direct users to training programs, classes, related offices, or additional University documentation. Include other sources of help completing forms or carrying out procedures.
- Footer: Bottom of page list the date done, or revised, and page number

Finalizing your Procedures

- Test the procedures. Get someone unfamiliar with the procedures to follow them from the draft. It’s important to use someone inexperienced, so the person won't take any habitual shortcuts or gloss over unclear points another reader wouldn't understand.
- Revise the draft. Clarify, add, delete and rearrange steps until the procedures can be followed by anyone reading the manual.
- If needed have a higher authority review your documents for approval.

Finalizing your Policy and Procedures

- Now you can publish your procedures.
- Keep all Policy and Procedures in a centralized folder/binder etc.
- Create a simple table of contents so readers can quickly locate the policy and procedures as they are needed. Remember, the staff member, maybe be under stress when trying to locate the information.

Special Notes

- Forms and supplemental information should be maintained on the department's own Web site. By keeping it separate the information is easier to change or update.
- All policy and procedures must be reviewed and updated. Best practice is at least once a every 2 years.
- Update the documents showing the date it was reviewed, and if changes were made the date they were made for historical records.

Special Notes

- Keep all Policy and Procedures in a centralized folder/binder etc. with a table of contents listing each topic. Make sure staff knows where to find the manual containing all the policy and procedures
- Have employees sign any new drafts of your policies and procedures. New staff should be required to agree to and sign the policies and procedures document. Any changes made should be re-signed by all employees. Should any legal action be taken by either party in the future it holds staff accountable to honor these policies.
- Have the staff initial a form stating they know where the policy and procedures are found.
- Create a calendar reminder when a review is due.

Any Comments or Questions?

Coming Up

Collector's Corner

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The National Student Clearinghouse

October 18 @ 11:00 am - 12:00 pm

You are invited to join us the 1st Wednesday of every month for this online discussi sponsored by Second Alliance.

Each month experts will answer questions and lead discussions on the Hot Topics they relate to Compliance, Strategy and Collections.

This will be a live LISTSERVE and the topics will be up to those who participate. Ne rules, old requirements or just "How do you handle_____?

Please join us for one question or every month's entire discussion. If you have a top us know in advance or bring it up as we go. All are welcome to participate or just lis

Bring any questions you like. Share experiences or jus

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