Policy and Procedure Template

If document is a Policy or Procedure, only use the template. Link is at [University Policy Office: Policy Creation]

The template has all 3 types of documents on it: policy, procedure and standard operating procedure (SOP).

If a policy, delete procedure and SOP templates.

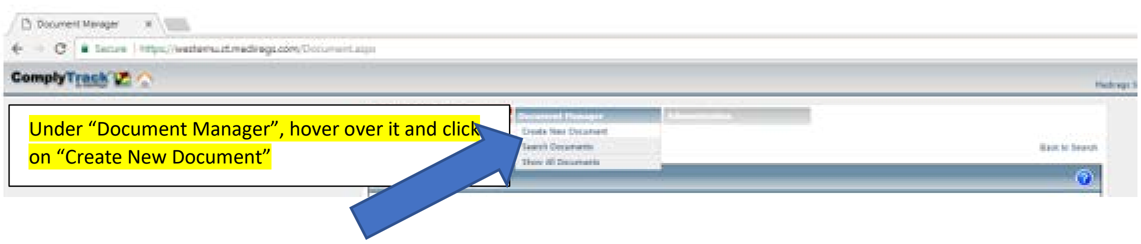
If procedure, delete policy and SOP templates.

If SOP, delete policy and procedure templates.

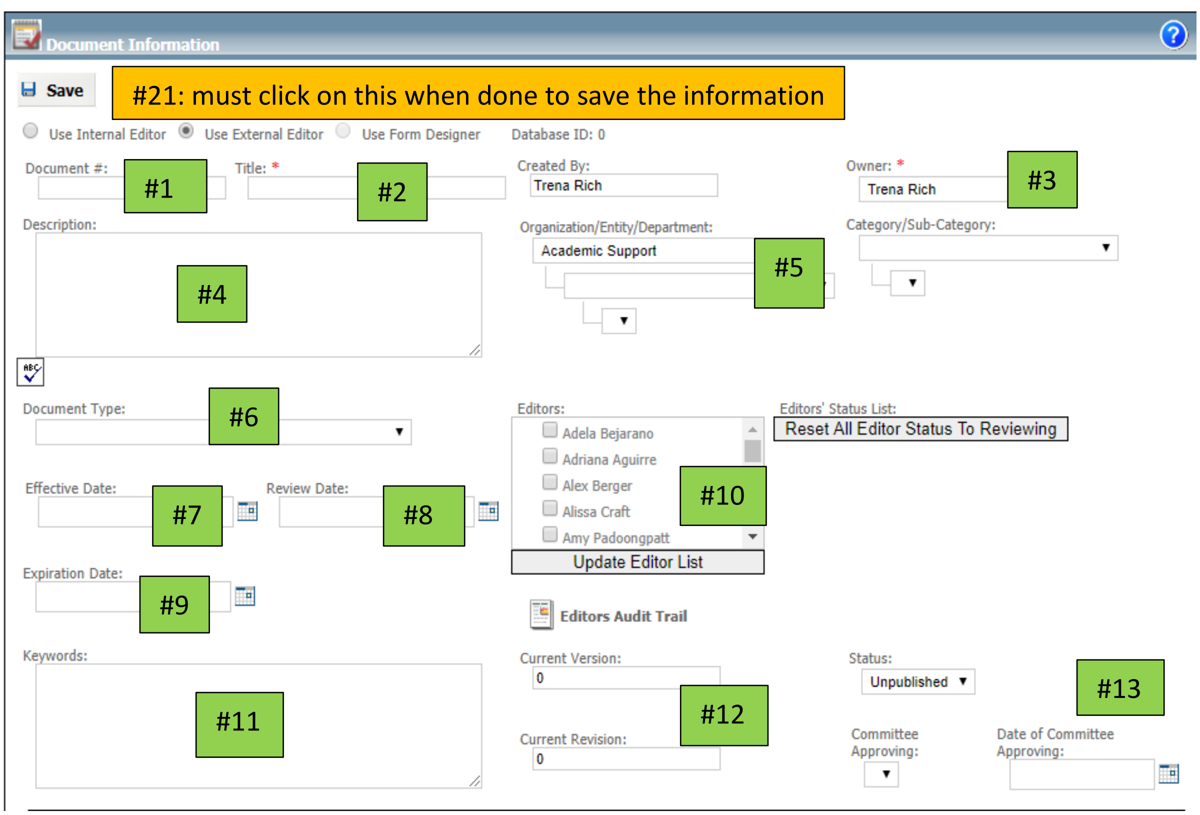
Then proceed with writing the document.

Creating a New Record

Phase 1: CREATING a new Comply Track Document: Log into Comply Track at https://westernu.ct.mediregs.com

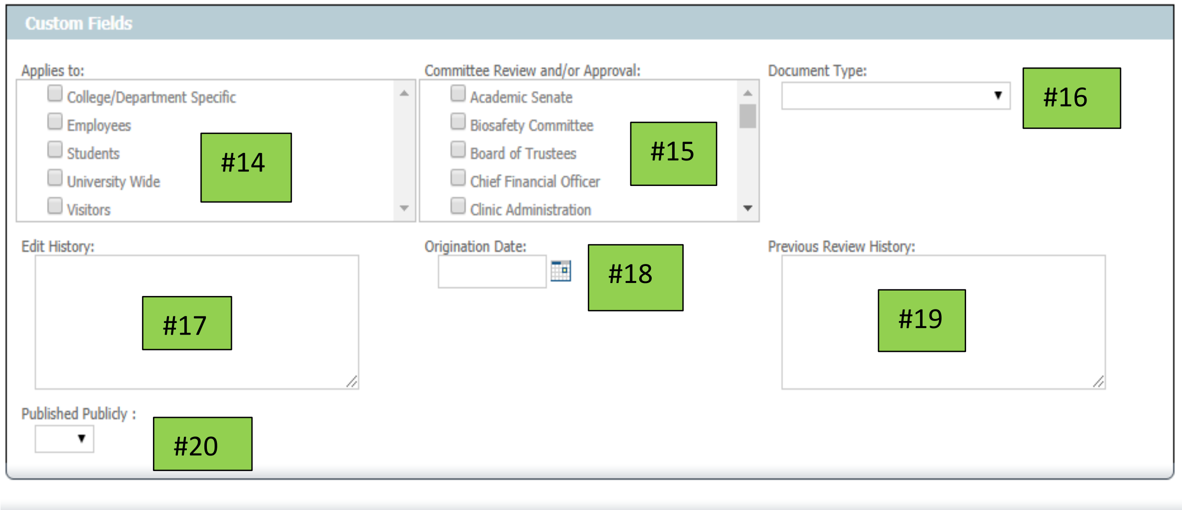


Create New Document Page: the following appears (this is the 1st part of the page):



1. Leave blank, auto populates once “Save” is clicked.
2. Name of document, do not include “policy” in title
3. Put name of person who will be responsible for enforcing policy.
4. *Briefly* state what document is for, use the “Purpose” of the policy.
5. Click on each down area to find your primary org, your primary operating unit and the department.
6. Leave blank.
7. Date the newest version of document takes effect.
8. Next review date-click on calendar icon
9. This date is 30 days from the Review Date.
10. Select editors to review the document
11. Words that a user could use to help locate the document. Do not include words that are in the title of the document.
12. Auto populates.
13. Use calendar icon to populate date.

This is the 2nd part of the “Create New Document” page



14. Indicate who/what the policy applies to.
15. Indicate what committees or departments need to review the document. If there are none, leave unchecked.
16. Drop down menu, choose correct type of document. Click on down arrow and choices will appear.
17. If any changes are made to the document, briefly indicate the change, e.g., updated links; updated procedure.
18. This is the date that the document was *originally written and activated*. For example, if the policy was originally written April 20, 2007. This is the date you will enter.
19. Enter date the document was reviewed. Each year followed by a semi-colon, e.g., 10/3/2010; 7/24/2014.
20. Click yes if this is a document that can be available to the campus at large, otherwise, leave as is.
21. Once all the information has been entered, you need to click on enter. Once you do that, the next screen will show up.

Document Type

Bylaws: a rule adopted by an organization chiefly for the government of its members and the regulation of its affairs

Catalog: provides information about a college for prospective students and those already enrolled at the university.

Form: a document with spaces in which to write or select with similar contents.

Guidelines: general rules on how something should be done.

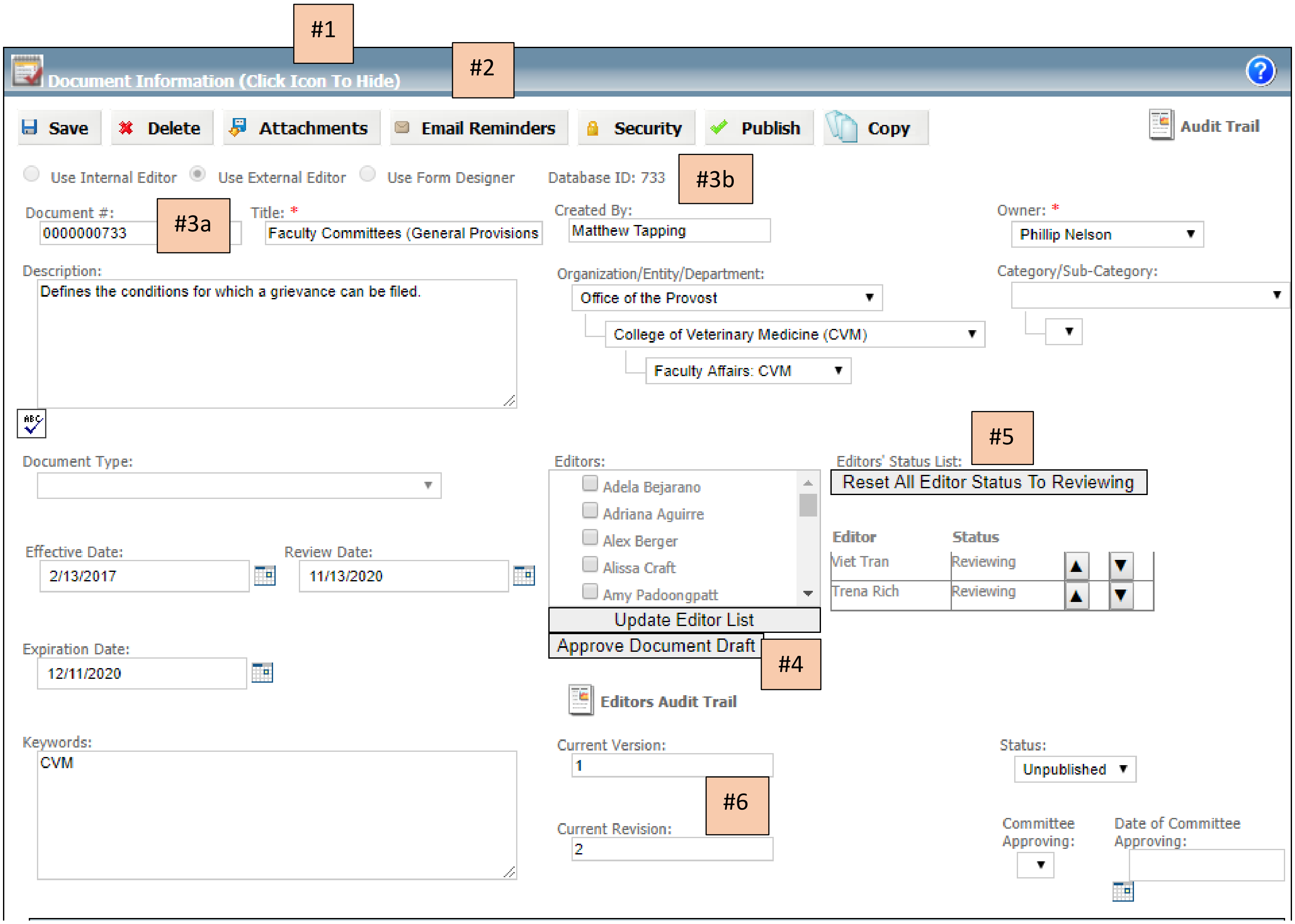
Handbook: provides facts on a particular subject/department.

Policy: defines a course of action.

Procedure: defines how to perform an action.

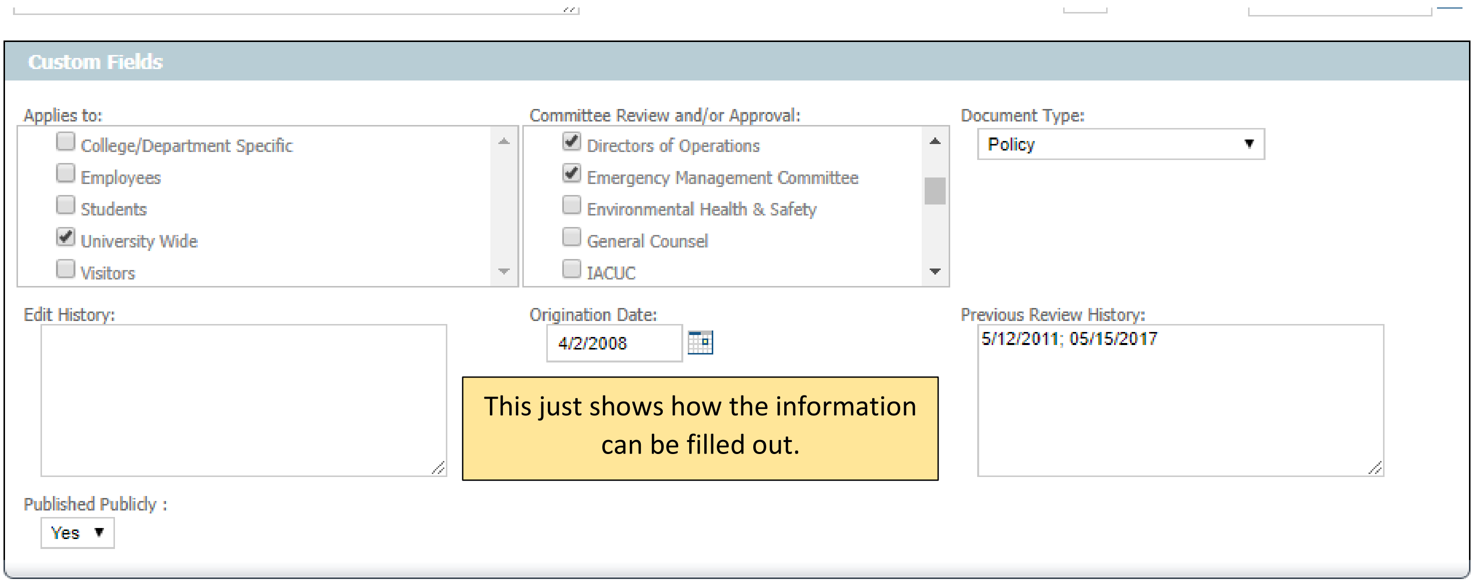
Standard Operating Procedure: a set of step-by-step instructions written that tells how to carry out a complex, routine operations.

<u>Phase 2:</u> Uploading a document to the Record.



The following applies to only those areas not previously discussed in the "Create New Document" section.

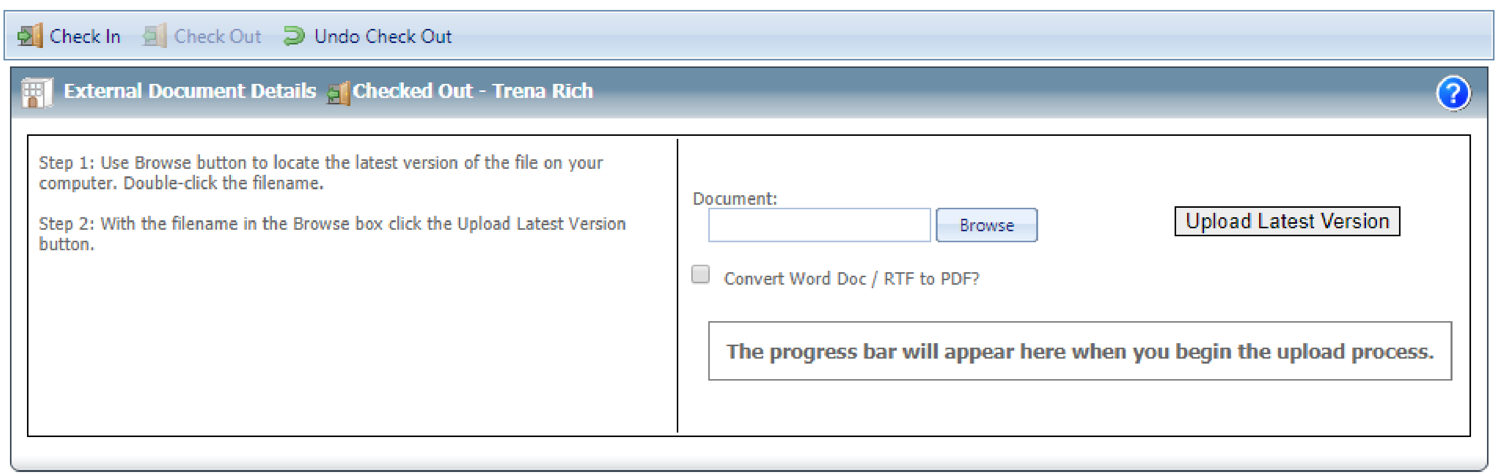
1. This is what the screen will look like once you have saved it in the "Create New Document" section. Note that there are several other small boxes with icons just below the "Document Information (click Icon to Hide) line on this page.
2. Email Reminders. You must enter one for every document you enter into the system (more instructions to follow).
3. 3a and 3b. Note that a document number has been assigned (#3a). It is the same number as the "Database ID" (#3b) just above the "Created by" box.
4. Approve Document Draft: click on this once you have completed your review of the document. This will send an automatic email to the next person in line under #5.
5. Editor's status list: shows who has been assigned to review the document. Can move the names of the editors up or down by clicking on the arrow to the right of the name. You must follow the name you want to move. So, if you move it down 3 lines, you need to keep clicking the down arrow immediately to the right of the name you want moved until it is where you want it to be.
6. Auto populates based on the version of the document and how many revisions was made to the version. This shows the document is the first version in Comply Track but has been reviewed (revision) twice so far.



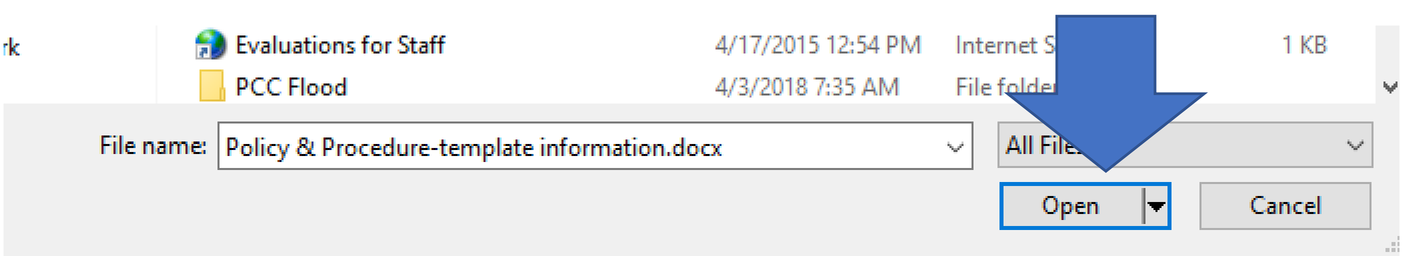
To finalize the upload process, you will need to check in the document.

Checking in a new document:

At the bottom of the page you will see the following:

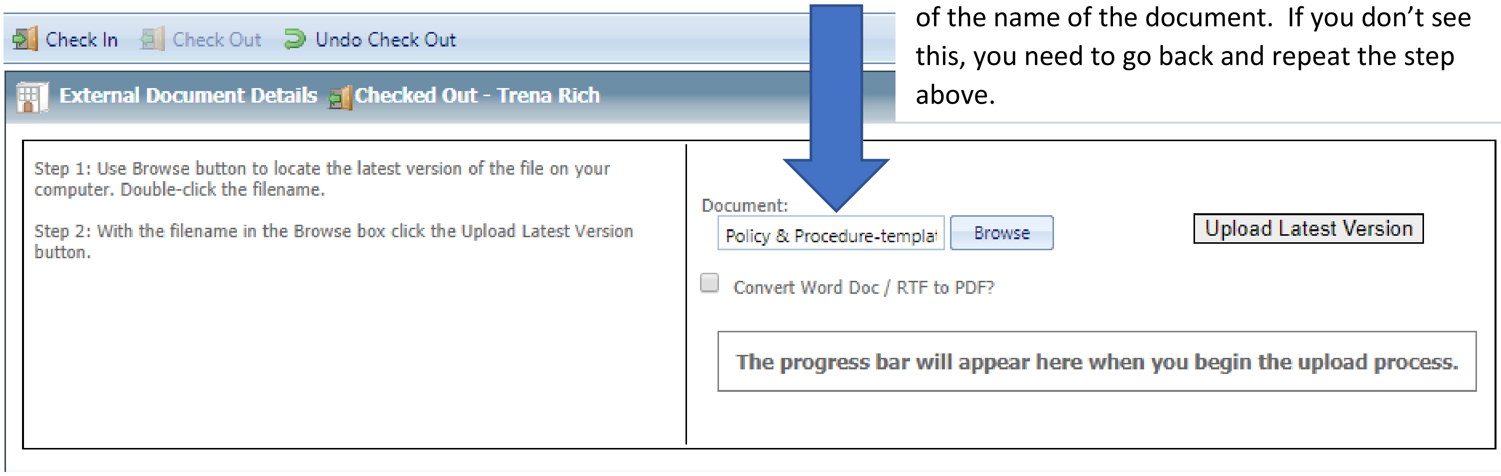


Note that “Check In” on the far left is clearly visible, “Check Out” is faded; and “Undo Check Out” is clearly visible. To upload the document, click on browse. Once you have chosen the document, click on the Open tab:

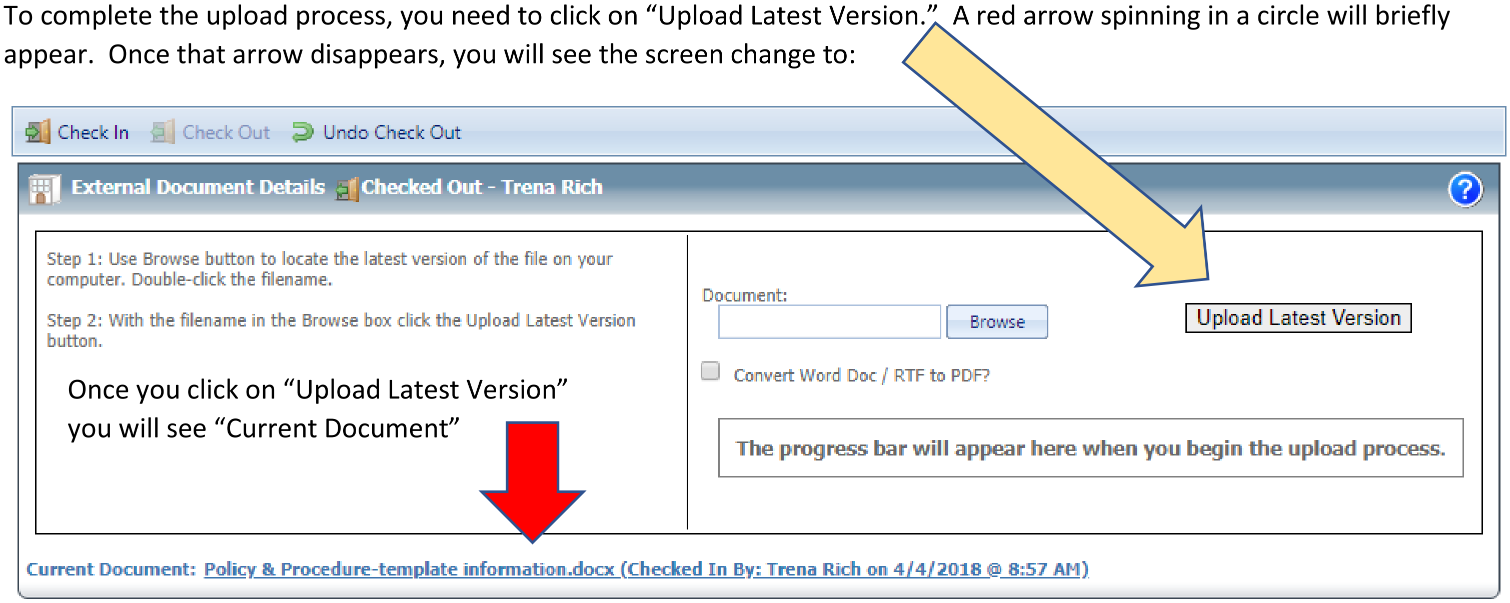


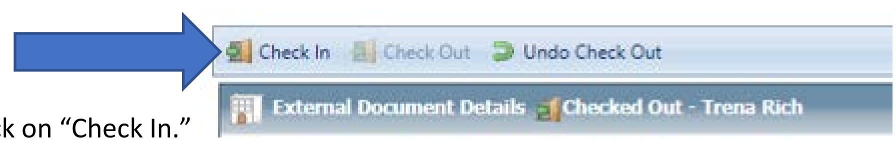
Once you click on “Open”, the next screen appears:

You will notice that you will be able to see part of the name of the document. If you don’t see this, you need to go back and repeat the step above.



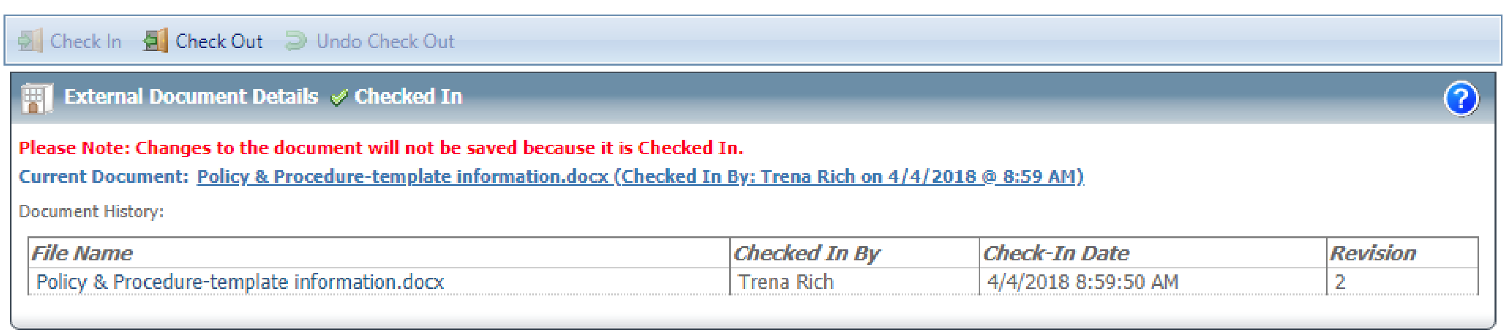
To complete the upload process, you need to click on “Upload Latest Version.” A red arrow spinning in a circle will briefly appear. Once that arrow disappears, you will see the screen change to:



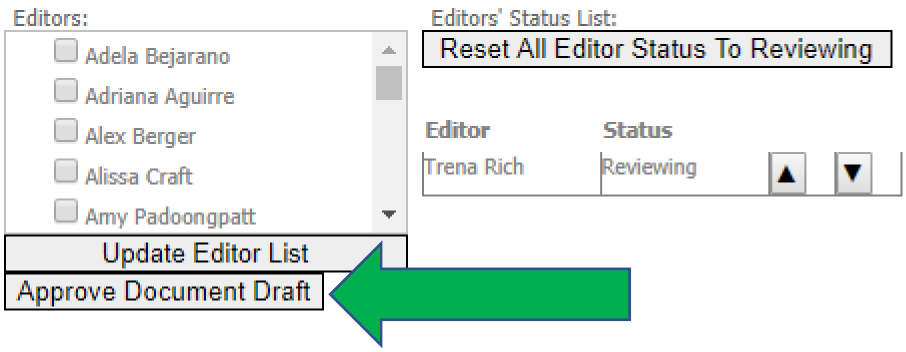


You will then need to click on “Check In.”

Once you do that, the phrase “Check Out” is now easier to read and the option to browse and upload latest version is no longer visible. It also shows the title of the document, who checked it in and the date/time it was checked in as well as the revision number.



You then need to scroll back up to the "Editors" box. You will need to click on "Approve Document Draft" to change the "Editors Status" list to "Approved" to the right of your name.



You then need to scroll up to the top of the main screen and click on "Save." This completes the initial upload/entering of your document.

Entering Email Reminders

Next, you will want to enter an "Email Reminder" that will automatically be sent to you when the document is coming up for review/renewal.

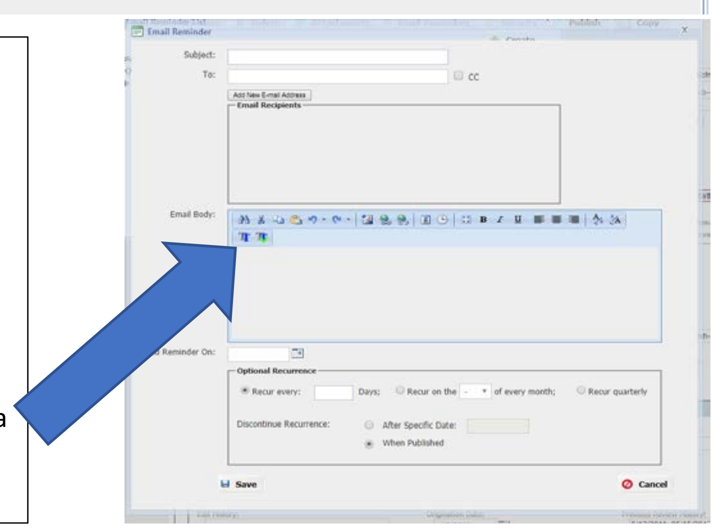
You will click on the "Email Reminders" icon.

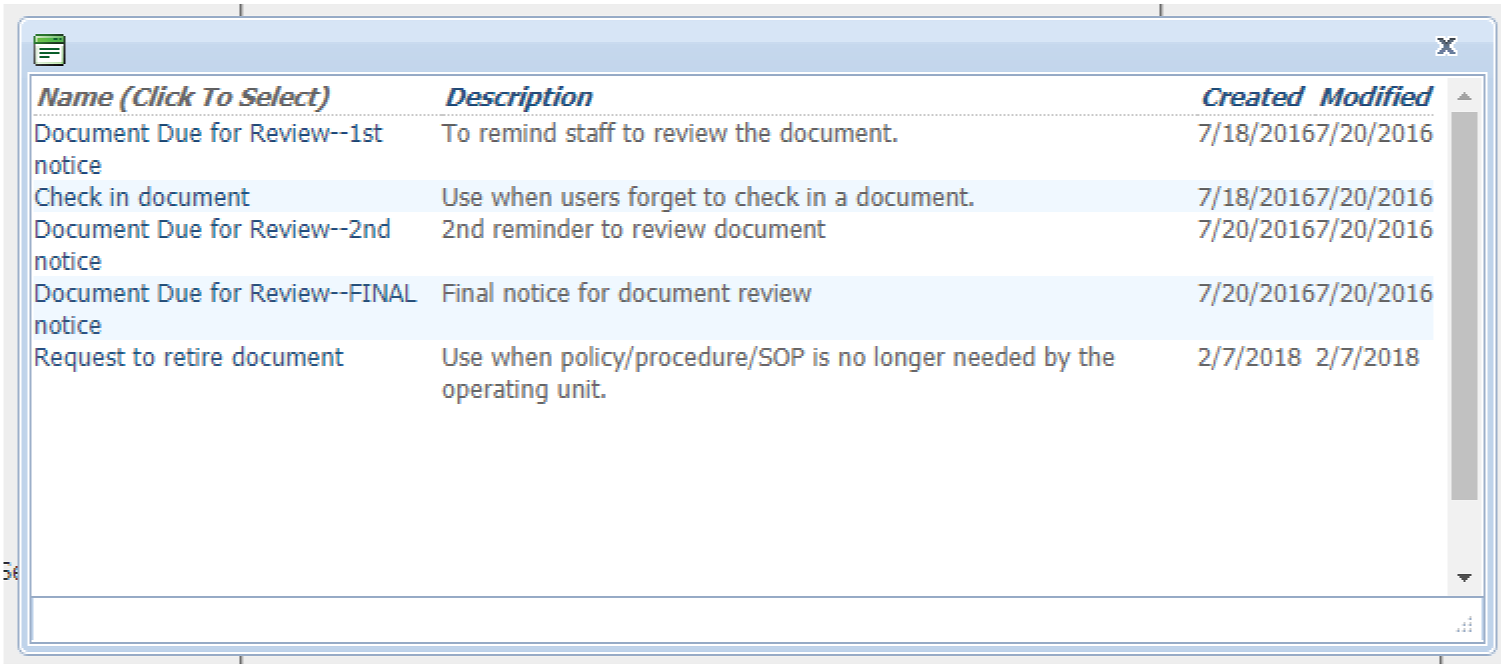
And the following appears. You will then click on "Create" next to the green plus sign (green arrow).

The screen to the right will appear. On the Subject line, enter "Policy Review Reminder: [enter name of policy]. If it is a procedure, put "Procedure Review Reminder" instead.

The next line "To" means who should be made aware the document needs to be reviewed. Start typing in the name of the person. If the name is in the system, it will appear. Click on the name. Repeat this step as needed.

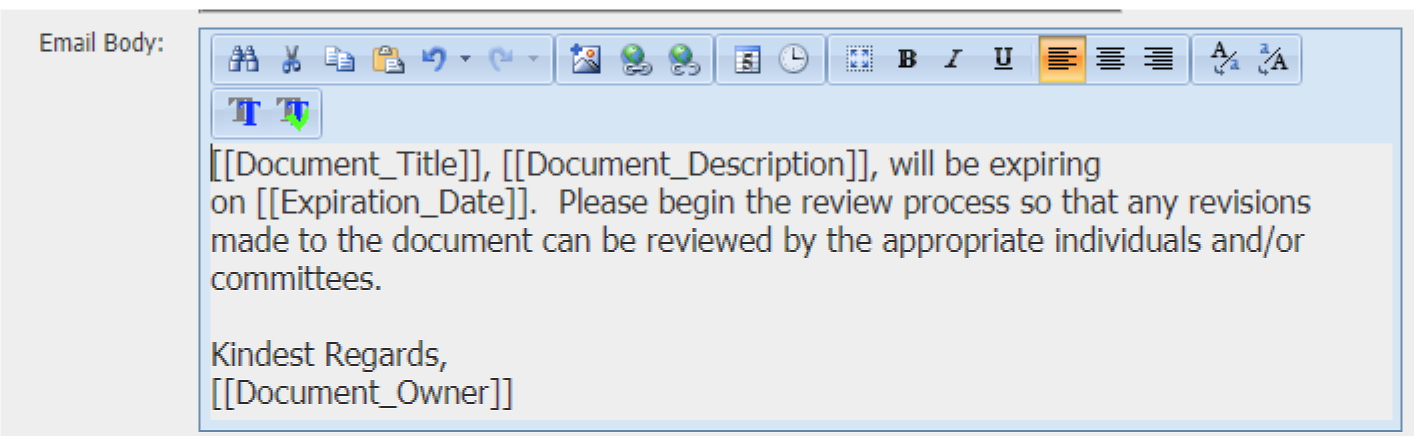
"Email Body" We have set templates already loaded into the system. To use those, click on the "T" that is grey with a blue "T" in front of it. A list of preset messages with a description of each will appear.



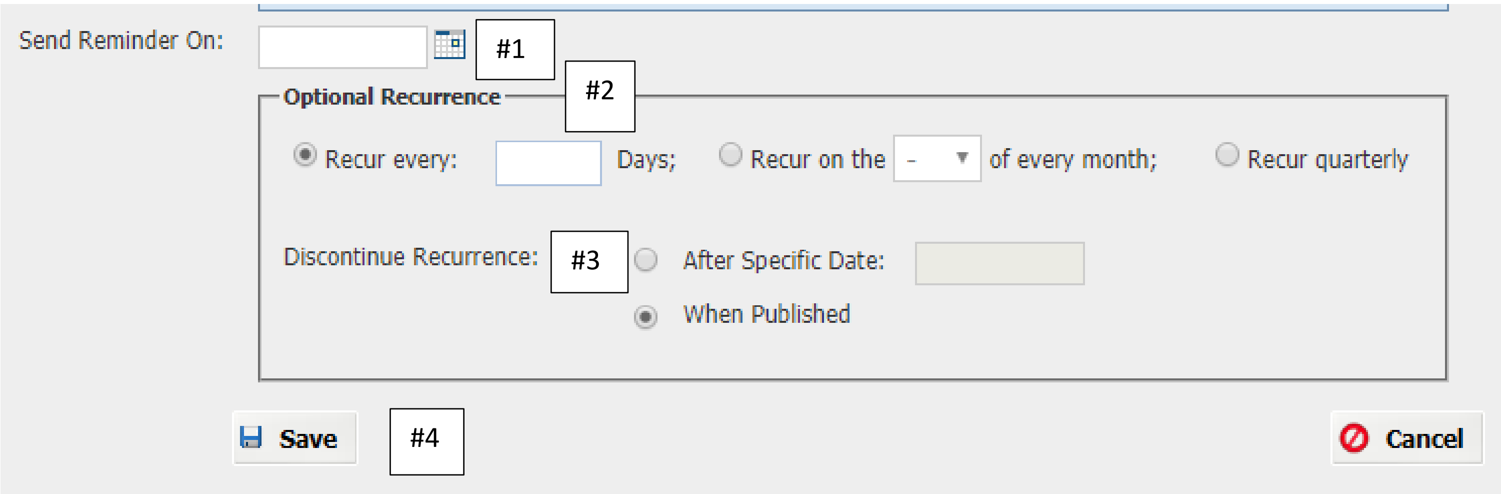


Name (Click To Select)	Description	Created	Modified
Document Due for Review--1st notice	To remind staff to review the document.	7/18/2016	7/20/2016
Check in document	Use when users forget to check in a document.	7/18/2016	7/20/2016
Document Due for Review--2nd notice	2nd reminder to review document	7/20/2016	7/20/2016
Document Due for Review--FINAL notice	Final notice for document review	7/20/2016	7/20/2016
Request to retire document	Use when policy/procedure/SOP is no longer needed by the operating unit.	2/7/2018	2/7/2018

The double “[[ ]]” will auto populate with the information .



The other half of this box requires you to use the “Effective Date”, “Review Date”, and “Expiration Date” on the main record page for the document.



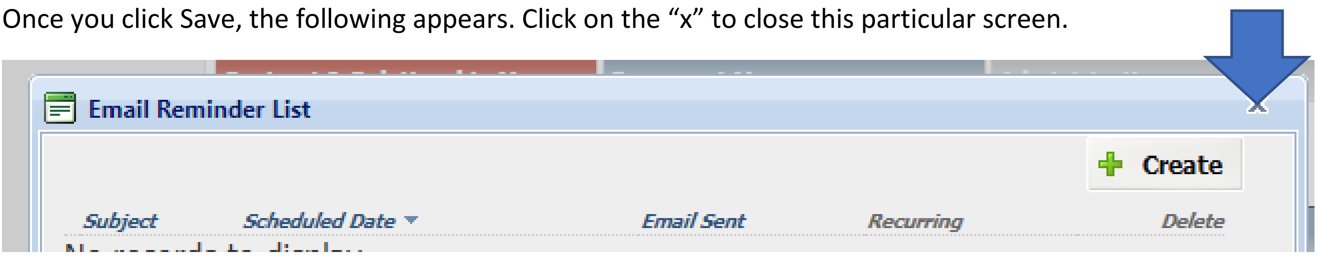
#1 You want to send the reminder 1 month *before* the review date.

#2 enter the number 14. This means every 2 weeks until the expiration date, email reminders will be sent out to those you have listed.

#3 In the "Discontinue Recurrence" section, click on the dot to the left of "After Specific Date" and enter the "Expiration Date" that is on the home page for the document.

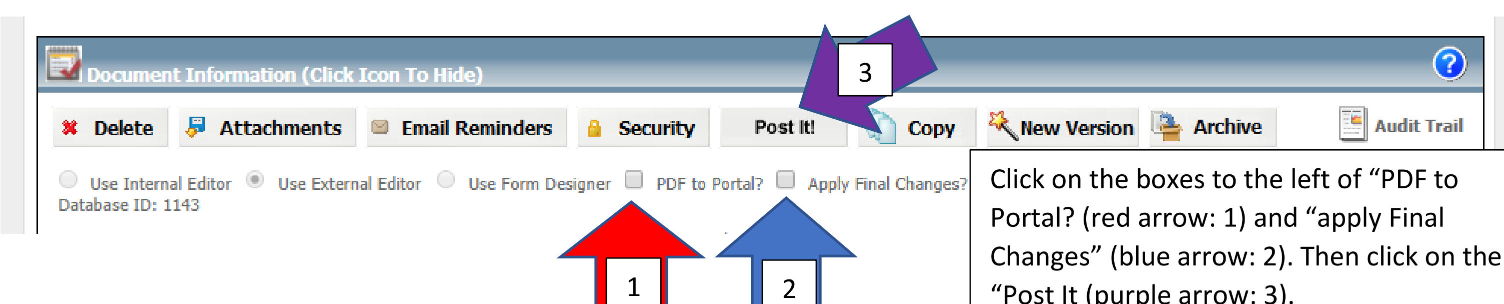
#4 Click on "Save"

Once you click Save, the following appears. Click on the "x" to close this particular screen.



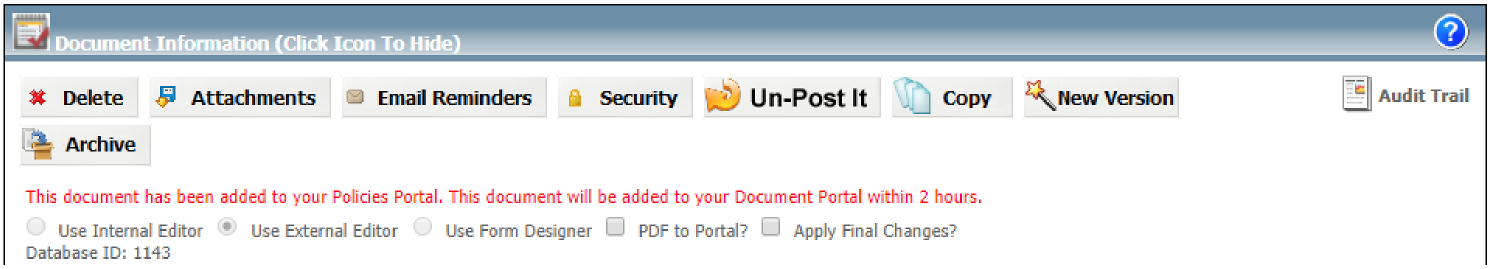
Scroll up to the top of the document and you will click on "Save" (blue arrow below) again. If the document is ready to be published and posted, click on the green check mark with "Publish" (green arrow).

Once you click "Publish" a message will appear asking if you are sure you want to publish...." Click "Ok" if you are, otherwise click "Cancel." When you click "Ok" the following appears:



Click on the boxes to the left of "PDF to Portal? (red arrow: 1) and "apply Final Changes" (blue arrow: 2). Then click on the "Post It (purple arrow: 3).

A "Select PORTAL Collection(s)" will appear. Click on the "Post It!" button. The following will appear:



You will have completed the creation, editing, reviewing, approving, posting and publishing of the document if this message (in red) appears.

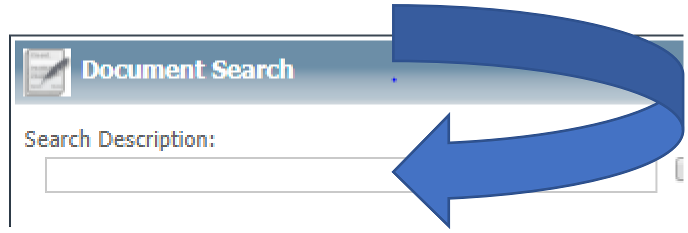
Searching for a Document

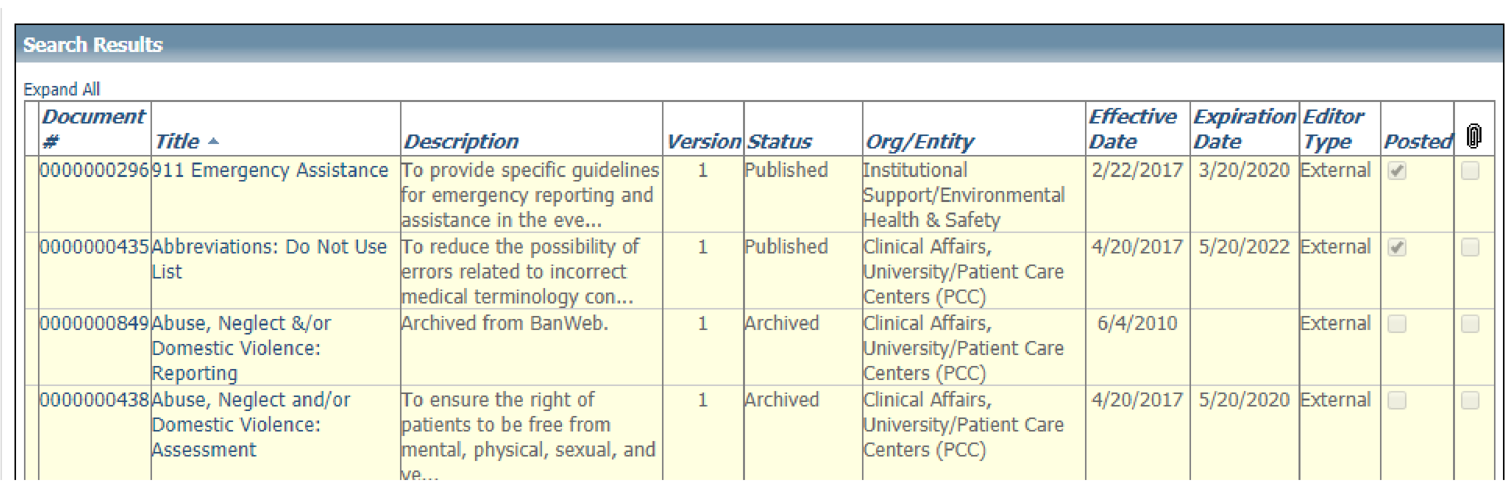
To Search for a document, click on “Document Manager” then “Search Documents”

Type in the key words you think will help you to find the document here:

Once you have typed in the words, press the “Enter” key or scroll down and click on “Search” (bottom of page, on the left).

The following will appear toward the bottom of your screen:

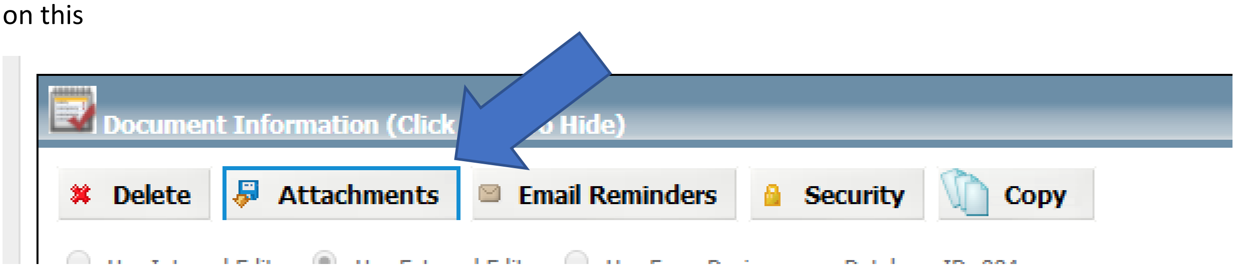



Search Results

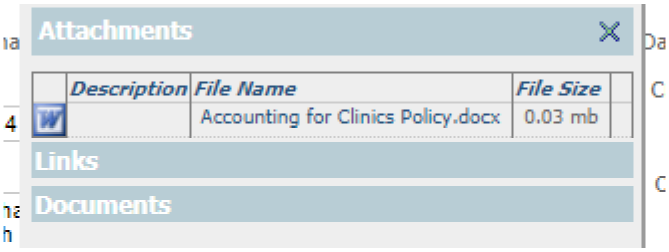
Expand All

Document #	Title	Description	Version	Status	Org/Entity	Effective Date	Expiration Date	Editor Type	Posted	
0000000296	911 Emergency Assistance	To provide specific guidelines for emergency reporting and assistance in the eve...	1	Published	Institutional Support/Environmental Health & Safety	2/22/2017	3/20/2020	External	✓	
0000000435	Abbreviations: Do Not Use List	To reduce the possibility of errors related to incorrect medical terminology con...	1	Published	Clinical Affairs, University/Patient Care Centers (PCC)	4/20/2017	5/20/2022	External	✓	
0000000849	Abuse, Neglect &/or Domestic Violence: Reporting	Archived from BanWeb.	1	Archived	Clinical Affairs, University/Patient Care Centers (PCC)	6/4/2010		External		
0000000438	Abuse, Neglect and/or Domestic Violence: Assessment	To ensure the right of patients to be free from mental, physical, sexual, and ve...	1	Archived	Clinical Affairs, University/Patient Care Centers (PCC)	4/20/2017	5/20/2020	External		

To open the document, click on either the document number ***or*** the title of the document. It will appear. Note the “Description” should provide you with basic information on the document. “Status” shows how it is in the system: archived, published, unpublished. “Org/Entity” tells you what Operating Unit owns the document. The rest is self-explanatory, except for the paper clip. This indicates there are attachments tied to the document. To access the attachment, click on the document number or title. You will note when it opens the document screen, the “Attachments” tab is outlined in blue. Click on this



The following will appear:



You need to click on the file name to open the attached document.

To close this screen, click on the "X" in the upper right corner. This will take you back to the home page of the primary document.