

## Policy and Procedure Template

If document is a Policy or Procedure, only use the template. Link is at [University Policy Office: Policy Creation](https://westernu.ct.mediaregs.com)

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.mediaregs.com>



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

**Document Information**

**#21: must click on this when done to save the information**

Use Internal Editor ☐ Use External Editor ☒ Use Form Designer ☐ Database ID: 0

Document #: **#1** Title: **#2** Created By: Trena Rich Owner: Trena Rich **#3**

Description: **#4** Organization/Entity/Department: Academic Support **#5** Category/Sub-Category: **#6**

Document Type: **#7** Effective Date: **#8** Review Date: **#9** Expiration Date: **#10**

Keywords: **#11**

Editors: **#12** Editors' Status List: Reset All Editor Status To Reviewing

Current Version: 0 **#13** Status: Unpublished

Current Revision: 0 Committee Approving: Date of Committee Approving:

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 2<sup>nd</sup> part of the “Create New Document” page

The screenshot shows the 'Custom Fields' section of a 'Create New Document' page. It contains several form elements, each labeled with a green box and a number:

- Applies to:** A list of checkboxes for 'College/Department Specific', 'Employees', 'Students', 'University Wide', and 'Visitors'. A green box with '#14' is next to the 'Students' checkbox.
- Committee Review and/or Approval:** A list of checkboxes for 'Academic Senate', 'Biosafety Committee', 'Board of Trustees', 'Chief Financial Officer', and 'Clinic Administration'. A green box with '#15' is next to the 'Biosafety Committee' checkbox.
- Document Type:** A dropdown menu with a green box with '#16' next to it.
- Edit History:** A text area with a green box with '#17' inside it.
- Origination Date:** A date picker with a green box with '#18' next to it.
- Previous Review History:** A text area with a green box with '#19' inside it.
- Published Publicly:** A dropdown menu with a green box with '#20' next to it.

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.

## Phase 2: Uploading a document to the Record.

The screenshot shows a web-based form titled "Document Information (Click Icon To Hide)". The form contains various fields and buttons for document management. Numbered callouts highlight specific areas:

- #1: Points to the "Document Information (Click Icon To Hide)" header.
- #2: Points to the "Database ID: 733" field.
- #3a: Points to the "Document #: 0000000733" field.
- #3b: Points to the "Created By: Matthew Tapping" field.
- #4: Points to the "Approve Document Draft" button.
- #5: Points to the "Editors' Status List" section, which includes a "Reset All Editor Status To Reviewing" button and a table of editors.
- #6: Points to the "Current Revision: 2" field.

Other visible fields and buttons include: "Save", "Delete", "Attachments", "Email Reminders", "Security", "Publish", "Copy", "Audit Trail", "Use Internal Editor", "Use External Editor", "Use Form Designer", "Title: \* Faculty Committees (General Provisions)", "Owner: \* Phillip Nelson", "Description: Defines the conditions for which a grievance can be filed.", "Organization/Entity/Department: Office of the Provost, College of Veterinary Medicine (CVM), Faculty Affairs: CVM", "Category/Sub-Category:", "Document Type:", "Effective Date: 2/13/2017", "Review Date: 11/13/2020", "Expiration Date: 12/11/2020", "Keywords: CVM", "Current Version: 1", "Status: Unpublished", "Committee Approving:", "Date of Committee Approving:", "Editors: Adela Bejarano, Adriana Aguirre, Alex Berger, Alissa Craft, Amy Padoongpatt", and "Editors Audit Trail".

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.

**Custom Fields**

Applies to:

- ☐ College/Department Specific
- ☐ Employees
- ☐ Students
- ☒ University Wide
- ☐ Visitors

Committee Review and/or Approval:

- ☒ Directors of Operations
- ☒ Emergency Management Committee
- ☐ Environmental Health & Safety
- ☐ General Counsel
- ☐ IACUC

Document Type: Policy

Edit History:

Origination Date: 4/2/2008

Previous Review History: 5/12/2011; 05/15/2017

Published Publicly : Yes

This just shows how the information can be filled out.

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:

Check In Check Out Undo Check Out

**External Document Details** Checked Out - Trena Rich

Step 1: Use Browse button to locate the latest version of the file on your computer. Double-click the filename.

Step 2: With the filename in the Browse box click the Upload Latest Version button.

Document:  Browse

☐ Convert Word Doc / RTF to PDF?

The progress bar will appear here when you begin the upload process.

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:

rk Evaluations for Staff 4/17/2015 12:54 PM Internet S 1 KB

PCC Flood 4/3/2018 7:35 AM File folder

File name: Policy & Procedure-template information.docx

All Files

Open Cancel

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.

Check In

Check Out

Undo Check Out

External Document Details

Checked Out - Trena Rich

Step 1: Use Browse button to locate the latest version of the file on your computer. Double-click the filename.

Step 2: With the filename in the Browse box click the Upload Latest Version button.

Document:

Policy & Procedure-templa

Browse

Upload Latest Version

☐ Convert Word Doc / RTF to PDF?

The progress bar will appear here when you begin the upload process.

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:

Check In

Check Out

Undo Check Out

External Document Details

Checked Out - Trena Rich

Step 1: Use Browse button to locate the latest version of the file on your computer. Double-click the filename.

Step 2: With the filename in the Browse box click the Upload Latest Version button.

Once you click on “Upload Latest Version” you will see “Current Document”

Document:

Browse

Upload Latest Version

☐ Convert Word Doc / RTF to PDF?

The progress bar will appear here when you begin the upload process.

Current Document: Policy & Procedure-template information.docx (Checked In By: Trena Rich on 4/4/2018 @ 8:57 AM)

Check In

Check Out

Undo Check Out

External Document Details

Checked Out - Trena Rich

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.

Check In

Check Out

Undo Check Out

External Document Details

Checked In

Please Note: Changes to the document will not be saved because it is Checked In.

Current Document: Policy & Procedure-template information.docx (Checked In By: Trena Rich on 4/4/2018 @ 8:59 AM)

Document History:

File Name	Checked In By	Check-In Date	Revision
Policy & Procedure-template information.docx	Trena Rich	4/4/2018 8:59:50 AM	2

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.

The interface shows a list of editors on the left and a table of their status on the right. A green arrow points to the 'Approve Document Draft' button.

Editors	
<input type="checkbox"/>	Adela Bejarano
<input type="checkbox"/>	Adriana Aguirre
<input type="checkbox"/>	Alex Berger
<input type="checkbox"/>	Alissa Craft
<input type="checkbox"/>	Amy Padoongpatt
<a href="#">Update Editor List</a>	
<a href="#">Approve Document Draft</a>	

Editors' Status List:	
<a href="#">Reset All Editor Status To Reviewing</a>	
Editor	Status
Trena Rich	Reviewing

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.

The toolbar contains buttons for Save, Delete, Attachments, Email Reminders, Security, Publish, Copy, and Audit Trail. A red arrow points to the 'Email Reminders' button.

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

The window shows a table with columns: Subject, Scheduled Date, Email Sent, Recurring, and Delete. It displays 'No records to display.' and 'Displaying page 1 of 1 (Items 1 through 0 of 0)'. A green arrow points to the '+ Create' button.

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.

The form includes fields for Subject, To, Email Recipients, Email Body, and Reminder On. A blue arrow points to the 'Email Body' section.

<i>Name (Click To Select)</i>	<i>Description</i>	<i>Created</i>	<i>Modified</i>
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 .

Email Body:

[[Document\_Title]], [[Document\_Description]], will be expiring on [[Expiration\_Date]]. Please begin the review process so that any revisions made to the document can be reviewed by the appropriate individuals and/or committees.

Kindest Regards,  
[[Document\_Owner]]

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.

Send Reminder On:  #1

Optional Recurrence #2

☒ Recur every:  Days; ☐ Recur on the  of every month; ☐ Recur quarterly

Discontinue Recurrence: #3 ☐ After Specific Date:  ☒ When Published

#4

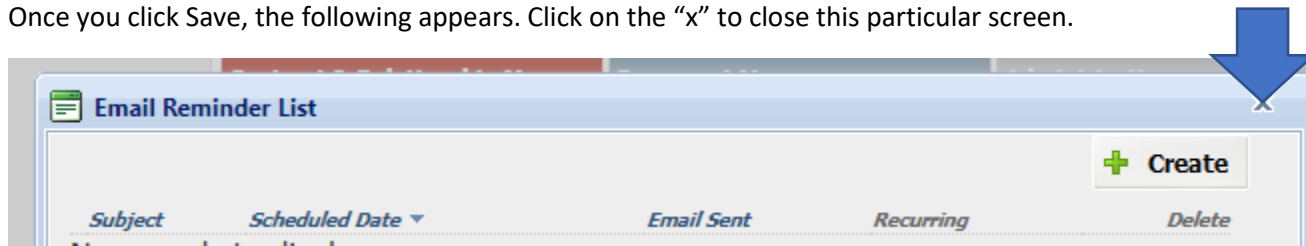
#1 You want to send the reminder 1 month before the review date.

#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"

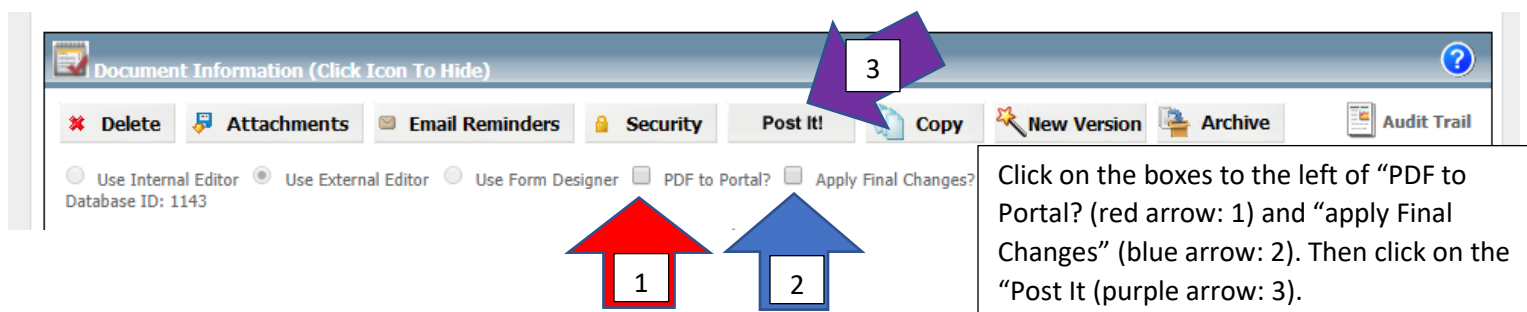
Once you click Save, the following appears. Click on the "x" to close this particular screen.



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:



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



Document Information (Click Icon To Hide)

Archive

This document has been added to your Policies Portal. This document will be added to your Document Portal within 2 hours.

☐ Use Internal Editor
 ☒ Use External Editor
 ☐ Use Form Designer
 ☐ PDF to Portal?
 ☐ Apply Final Changes?

Database ID: 1143

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:

Document Search

Search Description:


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	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>
0000000849	Abuse, Neglect &/or Domestic Violence: Reporting	Archived from BanWeb.	1	Archived	Clinical Affairs, University/Patient Care Centers (PCC)	6/4/2010		External	<input type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>

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

Document Information (Click Icon To Hide)

The following will appear:

Attachments

	Description	File Name	File Size
		Accounting for Clinics Policy.docx	0.03 mb

Links

Documents

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.