

Automated Policy and Procedure System

Scope: CITYWIDE

Policy Contacts

Howard Chan, Assistant City Manager, Office of the City Manager
(916) 808-7488 HChan@cityofsacramento.org

Dawn Bullwinkel, Automated Policy and Procedure System Manager, Office of the City Clerk
(916) 808-7267 DBullwinkel@cityofsacramento.org

Policy Statement

The City of Sacramento (City) establishes administrative policies and procedures to align operations, set behavioral expectations, and communicate policy rules and responsibilities over various function areas. A comprehensive set of formal policies and procedures is essential to ensuring an effective system of internal City controls.

Policies and procedures shall not be established by use of email, memorandums or any means other than the published documents from the Administrative Policies and Procedures System (APPS).

Administrative policies, procedures and related documents shall be reviewed and updated periodically according to the required frequency identified in APPS.

These policy and procedure documents shall be distributed to appropriate employee sets by the City's Learning Management System when published from APPS.

Citywide policies and procedure documents shall be published to the Citywide Content Management System (CCM) and appropriate policies and procedures are available on the City's website.

If a policy or procedure document does not provide sufficient information, questions should be directed to the contact listed as responsible for the subject matter.

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Regulatory References

Not Applicable

Applicability

- **Citywide Policies and Procedures**

The Automated Policy & Procedure System (APPS) shall be used by all City employees and any other person(s) identified to participate in the development, writing, reviewing, or publishing of citywide policies and procedures.

- **Departmental and Division Policies and Procedures**

Departments shall transition all departmental and division level policies and procedures to APPS.

Responsibility

- **All Policies and Procedures**

Employees are responsible for knowing, understanding, complying with and adhering to citywide/department/division policies and procedures that relate to their position or work within the City.

- **Citywide Policies and Procedures**

The City Manager is responsible for establishing administrative policies and procedures. The City's charter officers or designee participate in the development, review and distribution of City Manager-approved policies via APPS.

- **Departmental and Division Policies and Procedures**

Department directors and division managers are responsible for working with staff to transition all departmental and division level policies and procedures to the APPS format. They are also responsible for ensuring the policy and procedure document sets are submitted to APPS for efficient management of review and updates.

Enforcement

Only policies and procedures meeting the APPS criteria and format standards will be included in the APPS system.

In addition to APPS, appropriate citywide policies and procedures are published to the City's website. Citywide policies/procedures not meeting those standards are included as a reference on the City's website directing inquires to the responsible department.

DEFINITIONS

APPS

The Automated Policy & Procedure System (APPS) is a digital business process that manages the development, creation, review, approval and periodic updating of citywide, departmental and division level policies and procedures.

APPS Categories

The Automated Policy & Procedure System (APPS) categories identify general function areas:

- Administration & Management
- Fiscal
- Personnel
- Procurement
- Technology & Communications
- Operations & Maintenance
- Real Property

APPS Manager

The Automated Policy & Procedure System (APPS) manager ensures that all published policies meet the minimum standards and format, and publishes the final policies and procedures in Portable Document Format (PDF) to CCM and the City's website in addition to the native documents in APPS.

Document Set

People seldom create individual documents when working on projects. It is typically more efficient to produce "a set" of multiple related documents. This set of documents results in a "deliverable." These deliverable documents are produced simultaneously or in phases by one or more people, and they can involve documents of different file formats such as Word documents, PowerPoint presentations, Visio diagrams, Excel files and PDF format documents.

"Hovering" Definitions

A pop-up window with defining text appears when the user places their device “pointer” over a defined word in the policy and procedure documents.

Learning Management System

A digital system that manages training/knowledge transfer to appropriate employee groups and integrates with employee personnel records via eCaps for efficient monitoring and reporting.

Master Document

A master document is a "container" for a set of separate files (or document sets). A master document may be set up to manage a multipart document, like a book with several chapters.

Methodology

A system of broad principles or rules from which specific methods or procedures may be derived to interpret or solve different problems within the scope of a particular discipline. Unlike an algorithm, a methodology is not a formula but a set of practices.

Opportunity and Practice

Examples of how the policy might be applied in the organization.

Portable Document Format (PDF) Attachments

PDF attachments are documents (any format) that are attached to the PDF document and are opened separately. This is commonly used for PDF fillable forms and excel spreadsheets.

Portable Document Format (PDF) Bookmark

A digital pointer that creates easy access to a portion of text within the file or a link to another file or webpage. PDF bookmarks are viewable on the left hand column of the PDF page.

Portable Document Format (PDF) Link

A link is a digital pointer incorporated into the document that creates easy access to a portion of text within the file or a link to another file or webpage.

Policy

A policy describes a management direction to guide the City organization.

Procedure

A procedure lists, in order, the tasks or steps needed to complete an action.

Automated Policy & Procedure System

Scope: CITYWIDE

Type: Procedure

Policy Contact:

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(916) 808-7588, HChan@cityofsacramento.org

Dawn Bullwinkel, Automated Policy and Procedure Manager, (916) 808-

7267, dbullwinkel@cityofsacramento.org

Overview:

The Administrative Policy & Procedure System (APPS) is used for all policies and procedures and produces digital, employee focused policy/procedure documents that are easily navigated and available in a central repository.

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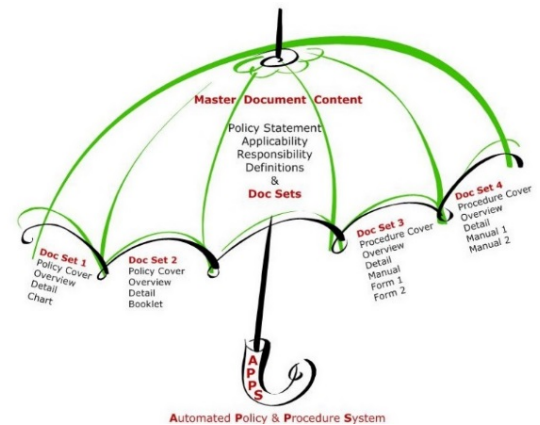
Structure

Methodology

APPS Procedure

The Automated Policy & Procedure System (APPS) was designed to satisfy multiple goals, some of which were inspired by City audits:

- Efficient management and delivery
- Employee focused digital delivery
- Central repository for policies and procedures:
 - citywide
 - departmental
 - division



(Illustration 1)
[Click illustration for detailed view.](#)

Policy or Procedure Structure

▪ APPS as Citywide, Departmental, and Division Repository

APPS provides a collaborative environment to manage all levels of policies and procedures in a consistent way. This comprehensive repository meets the City Auditor's recommendation to prevent duplicative information and inconsistent direction to employees, and others.

▪ APPS Master Document and Document Sets

All policies and procedures managed in APPS begin with a *master document* and may include one or many policy and/or procedure *document sets*. Illustration 1 shows what a "master document /document set" structured item might look like.

Review, Updates, Approval, Publishing and Delivery

Policies and procedures are managed in APPS by a master document as well as the individual document sets. While master documents are reviewed a minimum of every 24 months, this structure provides great flexibility in identifying separate review periods for specific document sets requiring more frequent review. It also allows for the incorporation of department specific resource manuals into the procedures with ease.

➤ Review Periods

APPS alerts collaborating parties via email when a scheduled review for a master document or document set is upcoming. The APPS environment allows easy access for all reviewers.

➤ Updates

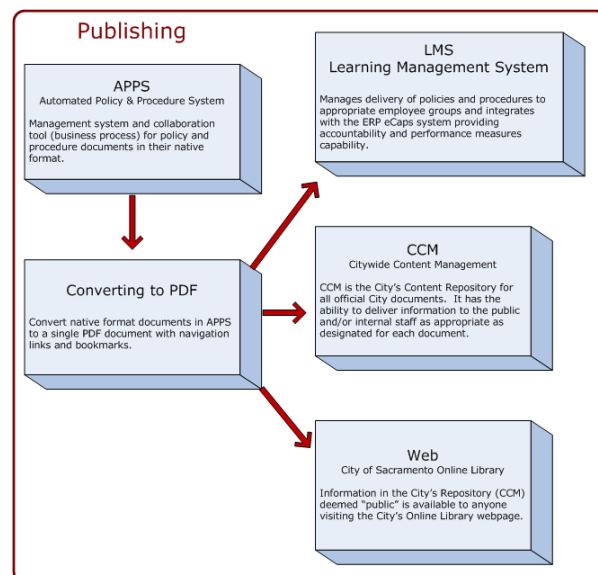
Collaborators update the appropriate documents in the APPS system encouraging consistent language and format.

➤ Approval

Before final policies and procedures are routed for charter officer approval, an opportunity is provided for the executive team or designee to review and comment.

➤ Publishing

Citywide policies and procedures are published by packaging all document sets of a master document into a single fully navigable PDF document and submitting it citywide to the City's Content Management (CCM) repository. Department policies and procedures may also be published to CCM.



[Click Illustration for Detail](#)

➤ **Delivery**

After final policies and procedures are published, appropriate staff is notified via the City's learning management system for their review and acknowledgement.

Appropriate policies and procedures are available to City staff and the public via the City's official website or internal intranet.

➤ **Document History**

To provide a transparent history of policies and procedures, which may be referenced in other City documents, the document history is clearly identified at the beginning of the document. The superseded and retired numerical identifier (API-1) is included in the indexed criteria to facilitate the search and delivery of policies or procedures that were identified by numbers in the past.



It is important to use consistent methodology when reviewing, updating, approving, publishing and delivering policies and procedures to ensure that multiple authors produce documents with similar core elements. The following is an overview of those elements.

▪ **Setting the Stage and Populating the Document Sets**

Whether creating a new policy/procedure or transitioning an existing one into the new format, the structure must be developed in APPS.

- An outline using the master document/document set strategy is created
- Document templates are created according to the outline
- Evaluate existing policies/procedures: segregate existing text into the appropriate new document sets, remove outdated or inaccurate data and add information that is lacking.

▪ **Editing Policies and Procedures**

It is important to edit document sets in APPS to prepare policies and procedures for publication by correcting all errors and reviewing the documents for clarity and accuracy.

- Review in separate sessions for different attributes (grammar, punctuation, spelling, format)
- Solicit fresh neutral perspective of others in review process (departmental review)
- DRAFTs should be “near final form” before they are released to collaborators outside of departmental review

▪ **Collaboration with City Stakeholders**

Collaboration with key stakeholders to ensure policies and procedures are properly vetted in APPS is essential.

- City attorney or designee for legal issues
- Human resources (Labor) for employment contract issues
- Human resources (ADA Manager) for accessibility issues
- Other departments-subject matter experts



- **Review of Executive Team or Designee**

A 14-calendar-day review is provided for executive team members or designees to annotate in APPS any suggested edits in the policies or procedures.

- **Approval of City Manager**

After executive team review; the Human Resources Director or designee (labor), and charter officers or designees, reviews and acknowledges policies and procedures in the APPS system. The City Manager or designee approves all policies and procedures before publishing.

- **Publishing Policies and Procedures**

Master documents and document sets are merged into a single PDF document with bookmarks identified for major document sections to facilitate review by the executive team or designee. Internal bookmarks (links) and definition “hovers” will be added to the final document after approvals for publishing to the City’s Content Management (CCM) repository and the City’s website. All previous versions of policies and procedures are retained in CCM and are available from the City Clerk upon request.

- **Review of City Council Actions**

The APPS Manager prepares a monthly report identifying Automated Document Review System (ADRS) reports flagged where City Council actions impact existing policies and procedures.

Impacted policies and procedures are reviewed to determine if they require updating and if necessary, new policies and procedures are developed.

- **Dissemination by the City’s Learning Management System**

Upon direction from the APPS Manager, the appropriate employee groups are notified by the City’s Learning Management System (LMS) and guided to the policy and procedure review and acknowledgement. LMS is integrated with the City’s ERP eCaps system where the acknowledgement is recorded.



- **Review and Updating Policies and Procedures**

Authors are notified via email when policies and/or procedures are due for review based on the criteria set by the City Manager in APPS. The author is responsible for ensuring a thorough review is completed in APPS by all stakeholders using the same methodology as described for a new policy or procedure.

- **Emergency Exception to APPS**

An expedited review process or an emergency exception may be authorized by the City Manager or designee because of special situations such as:

- Immediate financial opportunity
- Institutional risk
- City legislative act (motion, resolution, ordinance)
- State or federal law update

The Emergency Exception option allows the author to 1) bypass department and citywide review in APPS and 2) submit the proposed administrative policy(s) and/or procedure(s) in the proper format directly to the charter officers and City Manager for approval via APPS.

Establishing Policies

Policies may be established if they:

- Support the City's mission and strategic goals;
- Promote consistency, efficiency and effectiveness;
- Mitigate or manage significant organizational risk; or
- Facilitate compliance with federal or state laws, rules or regulations.

Procedures

Procedures are established for City staff work assignments so:

- City staff understands and can meet expectations;
- Substitute workers perform more timely;
- Customers receive consistent services; and
- Deficiencies can be identified and improvements made.

Basic APPS Tasks

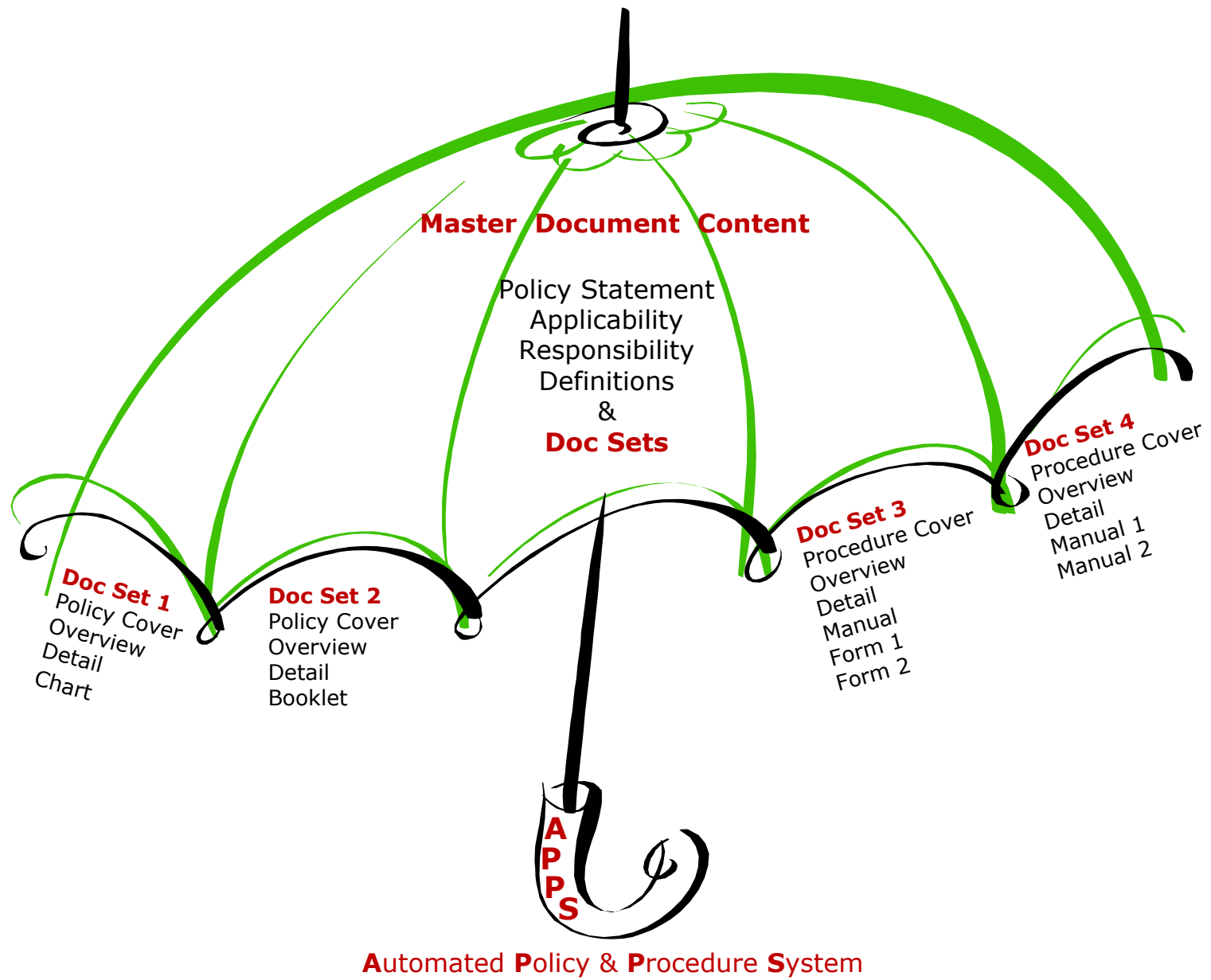
Access to APPS

- Contact PC Help Desk (916) 808-7111 for appropriate access to APPS as stated in the Information Technology Resource-User Policy/Procedure.

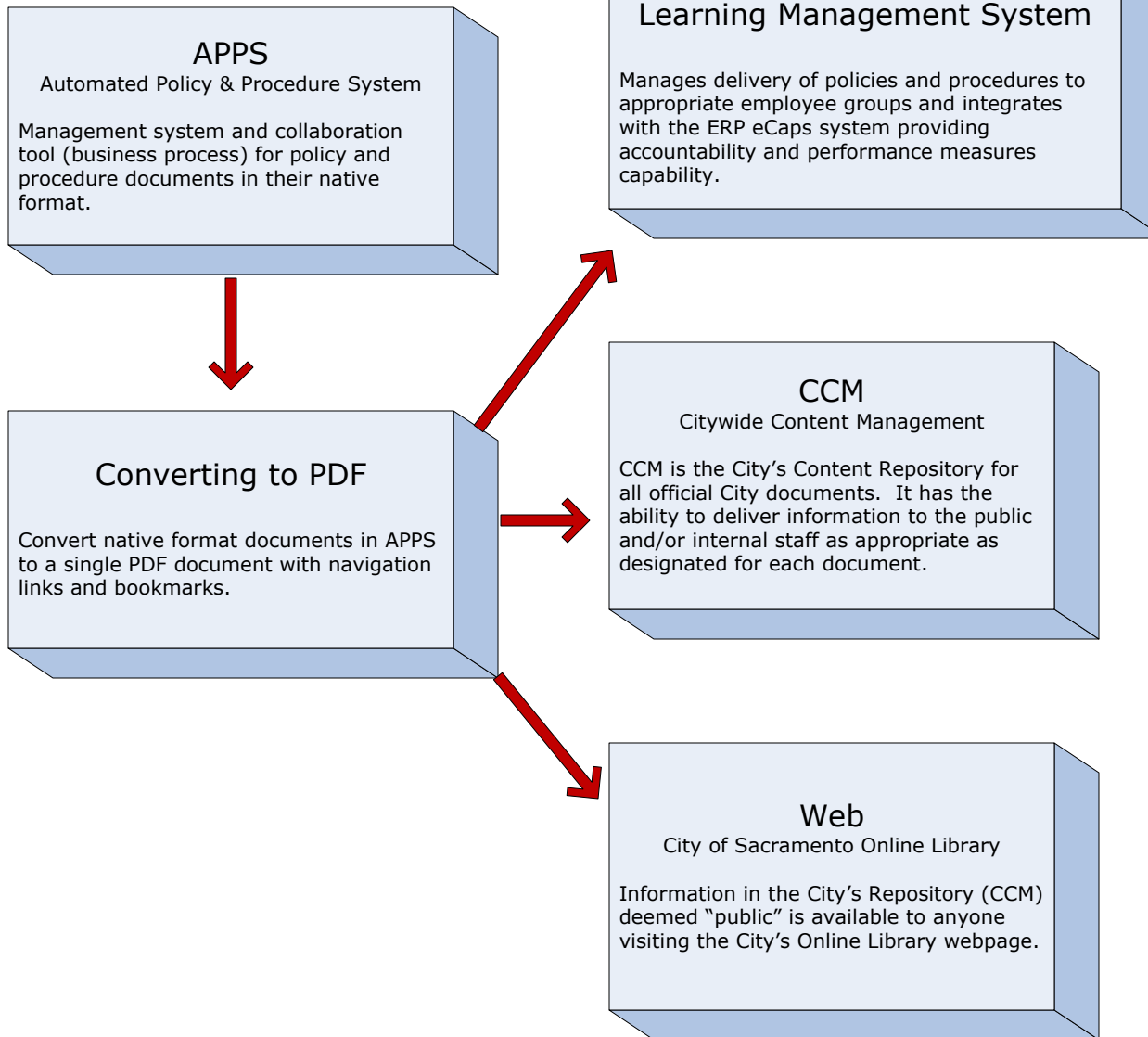
Master Policy Request in APPS

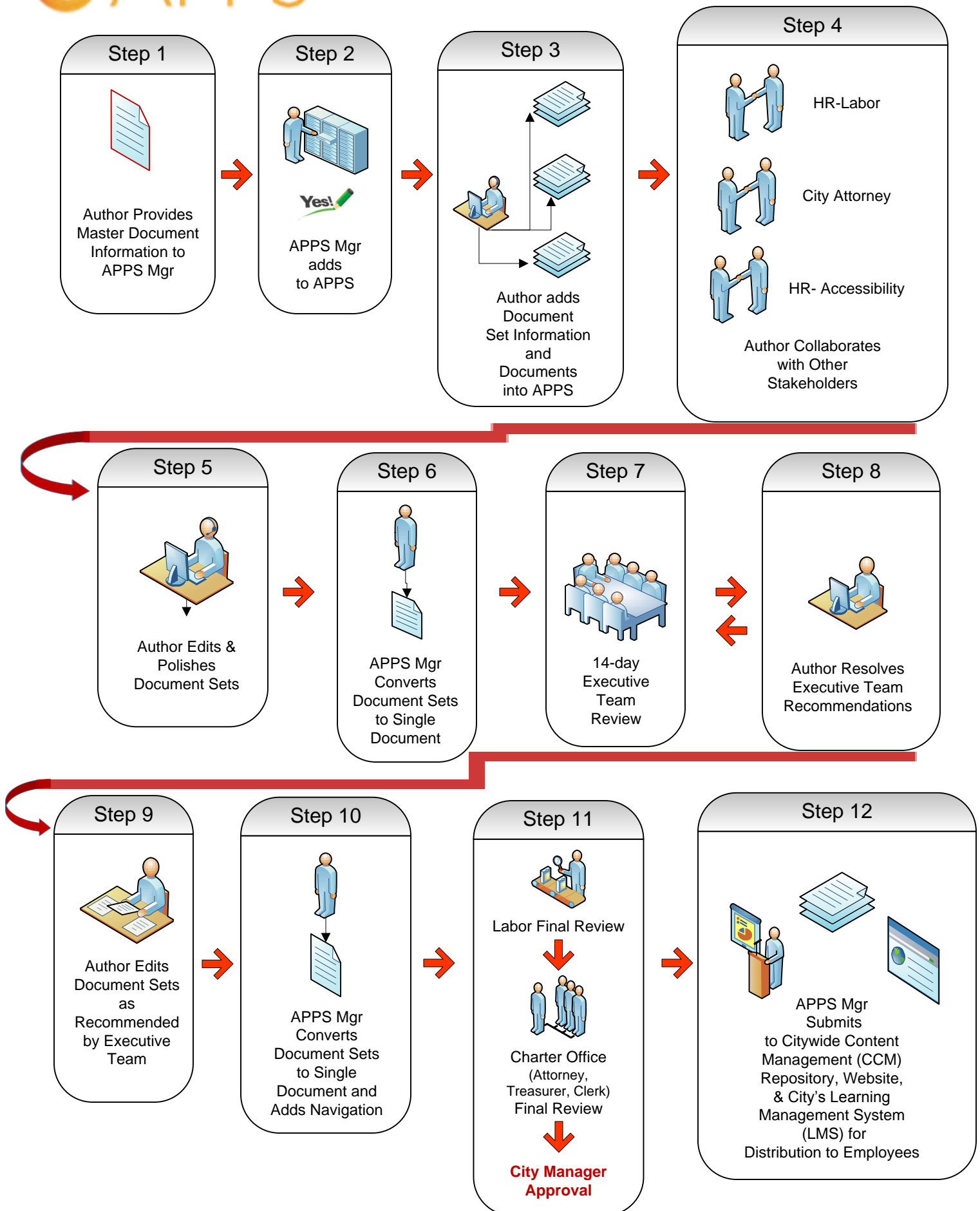
- The policy and or procedure requestor completes the digital fillable PDF Master Document Request form and emails it to the APPS Manager @ dbullwinkel@cityofsacramento.org
- The APPS Manager confers with the Office of the City Manager for confirmation that the request is appropriate.
- Upon confirmation by the Office of the City Manager, the Apps Manager creates a Master Document in APPS.
- The APPS system notifies the Author that the Master Document is available for their policy/procedure documents.

**** Detailed APPS Worksheets/Tasks and Video Tutorials Coming Soon**



Publishing





Publishing

