

To: Dr. Steve Dorman, President  
Dr. Susan Steele, Chair of Executive Committee of University Senate  
Cc: Dr. Kelli Brown, Vice President and Provost for Academic Affairs  
Ms. Monica Delisa, Vice President for Advancement Services  
Dr. Bruce Harshbarger, Vice President for Student Affairs  
Ms. Susan Allen, Interim Vice President for Finance and Administration  
From: Julia Hann, Internal Audit Director  
Date: February 20, 2015  
Subject: Advisory Review 15-01, Policies, Procedures, Practices Manual (PPPM)

---

DRAFT

Background:

Internal Audit and Advisory Services completed an advisory review of the online Policies, Procedures, and Practices Manual (PPPM), which inherently included a review of the University Senate process and policy organization and implementation once approved. We found that the university has a centralized process for policy approval through Senate and a decentralized process for policy management. Internal Audit appreciates the opportunity to start discussions surrounding policy and procedures creation, approval and organization, as it assists the university's internal controls structure. Specifically, policies and procedures help to support:

- ✓ Consistency and clarity of university expectations,
- ✓ Transparency of procedures, and
- ✓ Guidelines for management to make timely decisions on daily operations.

Recommendations:

1. Policy, Procedures Coordination:

Consider formalizing a universitywide policy and procedures coordinator to manage the organization and assist with guidance for implementation. Items to consider for universitywide coordination:

- Standards for the online PPPM that includes date policy approved and Senate number.
- Formal notification to the implementer(s) after Senate approval of policy.
- Guidelines to assist implementer(s) with policy and procedure awareness campaigns.
- Timely reviews and inventories of policy and procedures.
- A principal contact for PPPM software vendor (Smart Catalog) and requests of periodic scans for broken links in PPPM.
- Benchmarks with ACUPA – Association of College and University Policy Administrators.

2. University Senate:

University Senate has established a formalized written process for all universitywide policy review and approval. Noted below, were a few opportunities for improvement.

- Follow-up to 115 items awaiting implementation in Senate database.
- Consider searchable senate meeting minutes for ease of search for policy topics.
- Add guidelines to Senate manuals for policy removals.
- Continuous monitoring with DoIT to enhance database infrastructure.

Conclusion:

Internal Audit would like to thank the time of University Senate Executive Committee, Academic Affairs, and Finance and Administration staff. It was a pleasure to learn more in this area, and thank you for your on-going efforts to strive for continuous improvements.

DRAFT