



Office of the City Auditor Policies and Procedures

Number: 7.2.1	Title: Revising Existing Policies or Proposing New Policies	
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Original Date:	Revision Date:	Approved By:
06/01/1993	02/06/2006	

I. Policy

The Office of the City Auditor (OCA) staff shall follow the standard process outlined below for proposing and approving new or revised policies.

II. Purpose

The purpose of this policy is to:

1. Establish a standard process for policy development.
2. Ensure consistency in operations that is necessary to meet professional standards and facilitate effective management.
3. Provide a process to allow creative innovation by staff.

III. Definitions

- A. **Office Policy Team** - OCA staff appointed by the City Auditor annually within 30 days of the end of the fiscal year who will review policies and ensure that the OCA Policy Manual is current.
- B. **Proposer** - The author of any proposed new or revised policy.
- C. **Policy Shell** - Preformatted computer file containing heading, spacing, and format requirements for all proposed policies. Click [HERE](#) to access the document.

IV. Procedures

- A. Any member of the OCA staff may draft a new or revised policy proposal according to the accepted form set up in the Policy Shell (see Attachment or link above). If the proposed policy warrants detailed description, the Proposer shall include a flowchart.
 1. Proposed policies issued by an OCA committee are deemed to have received initial input. The chairperson of the proposing

- committee is designated as the Proposer and should skip steps B and C below.
2. All policies must be congruent with City Council-approved policies.
- B. The Proposer submits the proposed policy to the Office Policy Team whose chairperson shall acknowledge receipt within 24 hours.
1. The Team agrees to comment on the proposed policy at the next scheduled Team meeting.
 - a. During this review stage, the Team shall focus on assessing the need, purpose, and responsibilities for the policy or revision and, to a lesser extent, the procedures.
- C. The Office Policy Team will suggest ways to improve the proposed policy.
1. If there are major changes, the Team shall set the policy for reconsideration at its *next* scheduled Team meeting.
 2. If the Team finds the proposed policy satisfactory as drafted, they shall return the policy to the Proposer for office-wide consideration as an "exposure draft."
- D. The Proposer prepares the "Proposed Policy Comment" e-mail (see Appendix A) and circulates the exposure draft office-wide.
1. It shall be the responsibility of the Proposer to shepherd the proposed policy and monitor time frames (ten working days) for office-wide review.
- E. At the end of the office-wide review period, the Proposer submits the proposed policy with all comments to the Office Policy Team. As in Step B, the Team chairperson will acknowledge receipt within 24 hours.
1. The Team will review all comments from the office-wide review and consider new revisions to the proposed policy at the next scheduled Team meeting.
 - a. The Team may pass the policy as drafted or recommend additional changes.
- F. The Proposer shall incorporate any recommended changes from the Office Policy Team and submit the proposed policy to the City Auditor for approval.
- G. The City Auditor shall consider the proposed policy within ten working days. The City Auditor may have an additional ten working days to consider the policy by notifying the Proposer in writing.
1. If the City Auditor does not sign the proposed policy within the appropriate time period, it will be deemed to have been rejected, and will be returned to the Proposer.
 2. The City Auditor shall sign policies accepted for final approval.

- a. The policy becomes effective on the date shown on the signed policy. The signed policy will generally be introduced and distributed at a staff meeting for incorporation into the OCA Policy Manual.
- H. Administrative staff shall make an electronic copy of the approved policy and shall notify OCA staff of the new or revised policy.

NOTE: See Appendix B for a flowchart of the above process.

V. Responsibilities

A. OCA Staff

1. Each OCA staff member will be expected to draft new policies or revise existing ones when appropriate.
 - a. Staff is responsible for informing OCA management regarding any proposed policies in process.
2. OCA staff shall consider proposed policies circulated to them by the policy's Proposer and should expeditiously provide feedback according to the process detailed in Appendix A.

B. The Proposer:

1. Shall shepherd the policy through the process described in this policy.
2. Must clarify any areas of concern for the Office Policy Team and/or the City Auditor.

C. The Office Policy Team:

1. Considers the need for addressing new policies and suggests ways to make a policy "doable."
 - a. The Team may find it necessary to stop further consideration of any proposal, but must make every effort to cooperate with the Proposer.
2. Will perform ad hoc duties related to the maintenance and review of OCA policies and/or the OCA Policy Manual as needed.

D. The City Auditor shall:

1. Appoint OCA staff members to serve on the Office Policy Team within 30 days of the end of each fiscal year.
2. Consider each policy proposed using the process described in this policy and sign those accepted for final approval.

E. The Administrative Staff shall:

1. Make an electronic copy of the approved policy.
2. Notify OCA staff of the new or revised policy.

APPENDIX A
PROPOSED POLICY COMMENT PROCEDURES

1. The Proposer shall copy and paste the following information (within the lines) into an e-mail addressed to all OCA staff members and attach the proposed new or revised policy for office-wide review.
 2. The Proposer shall replace bracketed text with the appropriate information before sending the e-mail.
 3. The Proposer will collect and store all comments in a single file for review by the OCA Policy Team.
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PLEASE RESPOND BY [calculate and insert date]:

Please review the attached proposed new or revised policy for the Office of the City Auditor:

Proposer: [NAME]
Draft Date: [DATE]
Policy Number: [x.x.x]
Policy Name: [POLICY NAME]

Comments will be accepted within ten (10) working days of the draft date.

Please submit your comments via e-mail:

- Copy one of the four disposition options below and paste it as the first line of text in your return e-mail.
- If you have comments, please document them in the proposed policy using the “comments” and/or “track changes” features and attach the revised document with your response.
- If you have minor comments, you may include them in the text of your e-mail.

Disposition Options:

I **AGREE** completely with the proposed new policy and have no additional comments.

I **AGREE**, but have comments (see attached document).

I **DISAGREE**, and have comments (see attached document).

I **DISAGREE** completely with the proposed new policy and have no additional comments.

APPENDIX B

Flowchart Process for Proposing New or Revised Policies

