

Guidelines for Making Policies and Procedures

Policy # GN101 Guidelines for Making Policies V1.0

Shiv Nadar University (SNU) 2013. All rights reserved.

This document is meant for exclusive use of SNU. No part of the document may be copied, reproduced, stored in any retrieval system, or transmitted in any form or by any means, electronically, mechanically, or otherwise without prior written permission.

Release Control

Release Date	Version No:	Details	Released by	Approved by
04.11.2013	0.5	Draft Version for feedback	Guneet Kaur	Rajiv Swarup
03.12.2013	1.0	First Release	Guneet Kaur	Rajiv Swarup

POLICY ASSURED BY:

Department	Represented by:	Date
ITS	Anand Padmanabhan	03.12.2013
President's Office (Policy Owner)	Rajiv Swarup	03.12.2013

POLICY RATIFIED BY:

Office of:	Represented by:	Date
Director School of Engineering	Madan Gopal	03.12.2013
Director School of Humanities & Social Sciences	Shubhashis Gangopadhyay	03.12.2013
Director School of Management and Entrepreneurship	Shekhar Chaudhuri	03.12.2013
Director School of Natural Sciences	Rupamanjari Ghosh	03.12.2013
President SNU	Rajiv Swarup	03.12.2013
Vice Chancellor SNU	Nikhil Sinha	03.12.2013

Table of Contents

HEADING	PAGE
OBJECTIVE	4
SCOPE	4
WHEN IS A POLICY REQUIRED	4
WHAT SHOULD A POLICY CONTAIN	5
TOOLS TO BE USED FOR WRITING A POLICY	7
VERSION CONTROL & MAINTENANCE	7
RESPOSITORY FOR POLICIES	8
ANNEXURE 1: POLICY TEMPLATE	9

Policy Details

1. OBJECTIVE

This document provides general guidelines for making a policy or a procedure. The objective of these guidelines is to have consistency of content and look and feel for all Policy and Procedure documents created at Shiv Nadar University (SNU). The objective is also to ensure that all policies are clearly documented and complete in all respects, periodically updated, preserved and maintained.

2. SCOPE

These guidelines apply to all Policies and Procedures created by all Schools, Departments, and Entities of SNU, which impact several people who either use the same or should be aware of it. It does not apply to Technical Journals and Manuals, or Schematic Diagrams and Layouts. This document provides minimum guidelines and is not restrictive in nature. Depending on the nature of subject being dealt with the policy may require substantially more elaboration than what is suggested here. The word 'Policy' is used throughout this document and it stands for both Policies and Procedures, as may be appropriate.

3. WHEN IS A POLICY REQUIRED

A Policy or Procedure is needed when there are multiple individuals who perform a task together or at different points of time or there may be significant number of individuals who need to be made aware of something relevant in the University. A policy document defines the scope, the do's and don'ts, the boundary lines and the roles and responsibilities of different individuals and entities. A properly documented Policy brings in clarity and organizational transparency and prevents ad-hoc decision making, resulting in overall positive environment. Policies and Procedures are intended to facilitate smooth conduct of day to day business of the University.

3.1. Release Procedure

A policy would generally be documented by a department, committee, statutory body or any other team formulated for University work. The policy will be written by a designated member from the department, committee or statutory body in charge of putting the policy in place. Thereby it will be reviewed and approved by the head of the department, committee or statutory body. At the pre-release stage of the policy itself, assurance must be obtained from relevant other members, departments, committees & statutory bodies. It has to be ratified by the Vice Chancellor and President. In addition, each policy may need to be ratified by the Director of Schools, Heads of Enabling Functions,

Registrar and Dean of Student Welfare, as applicable. An assured and ratified policy will be released by Internal Communications to relevant stakeholders after obtaining necessary approvals as per its protocol. President's Office is the custodian for all policy releases and maintenance; it may be contacted for assistance during policy drafting and release.

4. WHAT SHOULD A POLICY CONTAIN

A Policy must use the standard template consistent with the SNU brand guidelines. The template is provided in the Annexure. A policy must have the following:

4.1. Cover Page (mandatory)

4.1.1. POLICY NAME: that is representative enough to indicate what the policy is about.

4.1.2. POLICY NUMBER: should follow the standard numbering system. The policy number can be obtained from the President's office by writing to guneet.kaur@snu.edu.in.

4.2. Page 2 (mandatory)

4.2.1. RELEASE CONTROL: Giving details of when and by whom is the policy released or updated.

4.2.2. POLICY OWNER: Person or department who maintains and updates the Policy She could be the same as the person who does initial release or may be a different person or a department. In case a department is responsible for maintaining the policy, it is to be construed to be Department Head's responsibility.

4.3. Page 3 (optional)

TABLE OF CONTENTS, (ToC): This page lists what is inside the Policy Document. This page is optional for policies under 10 pages overall and mandatory for policies greater than 10 pages; although it is desirable to have ToC for all documents.

4.4. Page 4 (& onwards): Body of the Policy must at its minimum have the following:

4.4.1. OBJECTIVES: Defines why the policy is being made, elaborates the purpose of the policy.

4.4.2. SCOPE: Where, When, and to Whom it applies, and where it does not apply. It will also state if the policy has an expiry date, by default all policies are perpetual in nature.

4.4.3. POLICY DETAILS: Detailed elaboration of who does what, under what situation, and how. Define the workflow if relevant; attach diagrams, tables, maps, pictures etc. to support the text and to bring in clarity in the policy document. Define tables

and forms that may be needed to execute the policy. Each diagram, table, form etc. must have a number and a title that should be properly referenced in the body of the policy.

Each section must have a heading, in all capitals and bold (no italics or underline). The body should use normal Arial with font sizes in the range of 9 to 12 as appropriate for bulk of the text. Occasional use of Italics or underline is acceptable to point out uniqueness or differences in the context.

4.5. Annexures (Only if needed)

Annexures are to be positioned at the end of the policy document but are an integral part of the policy. Any type of forms that may be used for execution of the policy must be in the Annexures; each form must be on a new page and should be numbered as a separate Annexure. Any tables and diagrams that may require to be updated without impacting rest of the policy may also be put in the annexure (e.g. classification of cities for travel purposes).

4.6. Header

Every Policy will have a Header. It is mandatory from page 3 to the last page of the annexures. The Cover page and the Page 2 will not have any header. Typically, a header will have three fields. These fields will contain following information:

4.6.1. LEFT FIELD: Policy Name or use abbreviated name if the name is too long and does not fit in the header. Left field is mandatory.

4.6.2. MIDDLE FIELD: This field is optional and can be used to communicate nature of the document e.g. Draft, Confidential, etc. or whatever may be relevant for the Policy.

4.6.3. RIGHT FIELD: Policy number and Version e.g. HR403 V1.1. This field is mandatory.

4.7. Footer

Every policy will have the page number on bottom left as a mandate. Every page is counted including the cover. The page numbering starts from Page 3 (numbered as 3) until the end of annexures. If the Annexures are forms to be used separately, then the printing of page numbers on the forms may be skipped.

4.8. SNU logo

The Policy Template carries a blue ribbon at the bottom of the page, ending with Shiv Nadar University Logo on bottom right. This will appear in all pages from cover to the

last page of annexures in a policy and must not be tampered with or overwritten with some text or picture.

5. TOOLS TO BE USED FOR WRITING A POLICY

The tool used for writing a policy should be in line with SNU's IT infrastructure so that multiple individuals and entities within SNU could collaborate in creating and reviewing the policy document. Moreover the document can be maintained post release.

It is recommended that MS Word be used for writing a policy. In addition MS Excel and MS Power Point may be used for creating forms and tables. Eventually MS Excel and MS Power Point documents should be merged with the Policy document in MS Word.

During the draft phase and reviews, the Word document will be in circulation. However the first formal release and subsequent updates will always be in pdf format. Every pdf file will follow the following naming convention:

File Name: <XXnnn> < Brief policy name> < Va.b>

Where,

- XXnnn is the Policy number e.g. GN101, or HR403
- Brief Policy Name is full or abbreviated name of policy e.g. Travel Policy
- Va.b is version number e.g. V1.1, there is no space between V and the number

6. VERSION CONTROL AND MAINTENANCE

If there are multiple people involved in writing and or reviewing the policy, it is necessary to follow certain conventions so that everyone involved has a common understanding of the stage in which the policy is currently in.

All policies and procedures must use the standard SNU Policy template which is being used in this document and is attached in the Annexure as well.

At the development stage of the policy when it still may not have a formal name and no policy number, the initiator can use a name of her choice or a code name. In such a scenario, the word "DRAFT" must be carried on the center of the header, till the time the nomenclature is finalized. The documents must be controlled using a version number beginning with capital V and having 0 (zero) to the left of the decimal and a number(s) to the right, e.g. V0.1 or V0.02 etc. are acceptable version numbers for at draft stage and there is no limit to how many numbers it goes to, but the number on the left of decimal is always 0. At draft stage the policy may be in MS Word, or as a combination of MS Word, MS Excel and MS Power Point.

As part of the release process it is essential that the policy is reviewed by key stake holders before it is released.

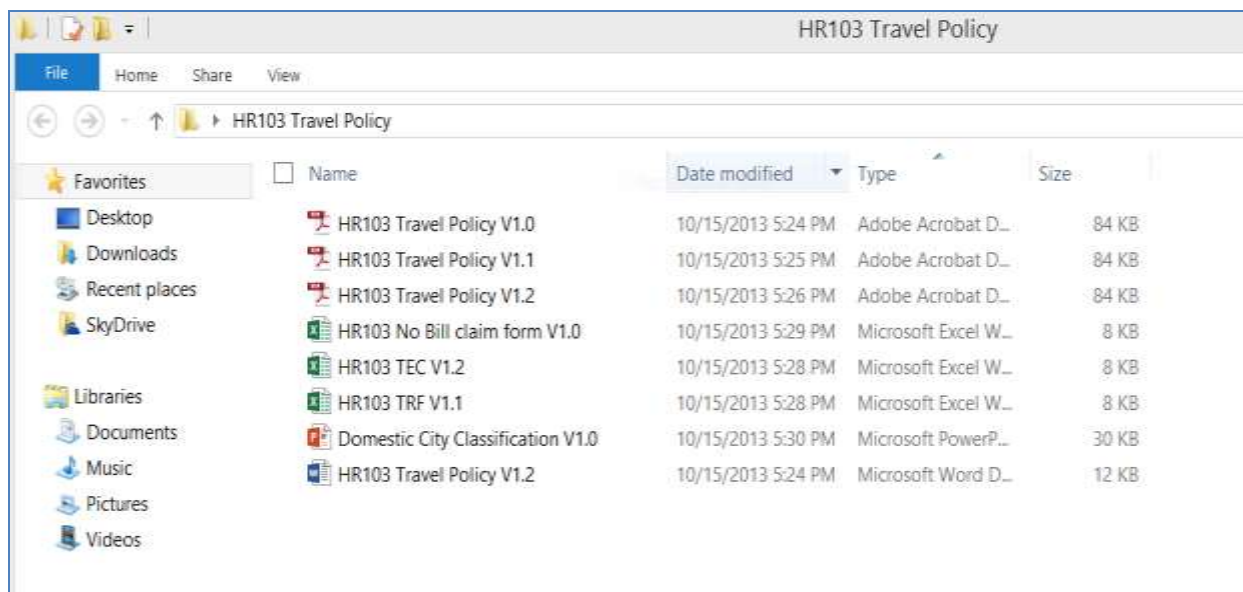
Once the policy has been completed and reviewed and is ready for release all the information should flow into one consolidated Word document that will carry the name as stated in the previous section. This word document will be converted into a pdf document with the same name and then released.

The first release will always be V1.0, in rare instances it may be V1.1 Further updates to the policy must mandatorily have a change in the version number to the next in sequence, e.g. V1.0 updates will be released as V1.1. There will be continuity in version numbers. Every release will have a release date, a brief description of the changes (in case of updates), the name of the Initiator and Approver. Keeping a policy updated and relevant is the responsibility of the individual or department who owns the policy. Each update will follow the release process as documented earlier.

7. REPOSITORY

All Policies and Procedures are Intellectual Property (IP) of SNU and owned by SNU. No individual or department can claim it to be their IP. It is important that all policy and related documents are kept safely.

All Policies and Procedures will be maintained in a server designated by the IT department. The designated server will be maintained and backed up by the IT department periodically and assuring uptime to the users. All policies will be stored in a folder with the same name. The folder will have all the historical releases of the policy in pdf format, the folder will also have the latest versions of Word, Excel and Power Point documents compatible with the latest release. A sample folder structure is shown below:



Annexure 1: Policy Template

Please access the link for a bank policy template as per Annexure 1 attachment in the announcement email.

[XXnnn Policy Name V0.1.doc](#)