



WELCOME

Navigating Change with Operating Policies and Procedures

September 19, 2023

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With You Today



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Learning Objectives

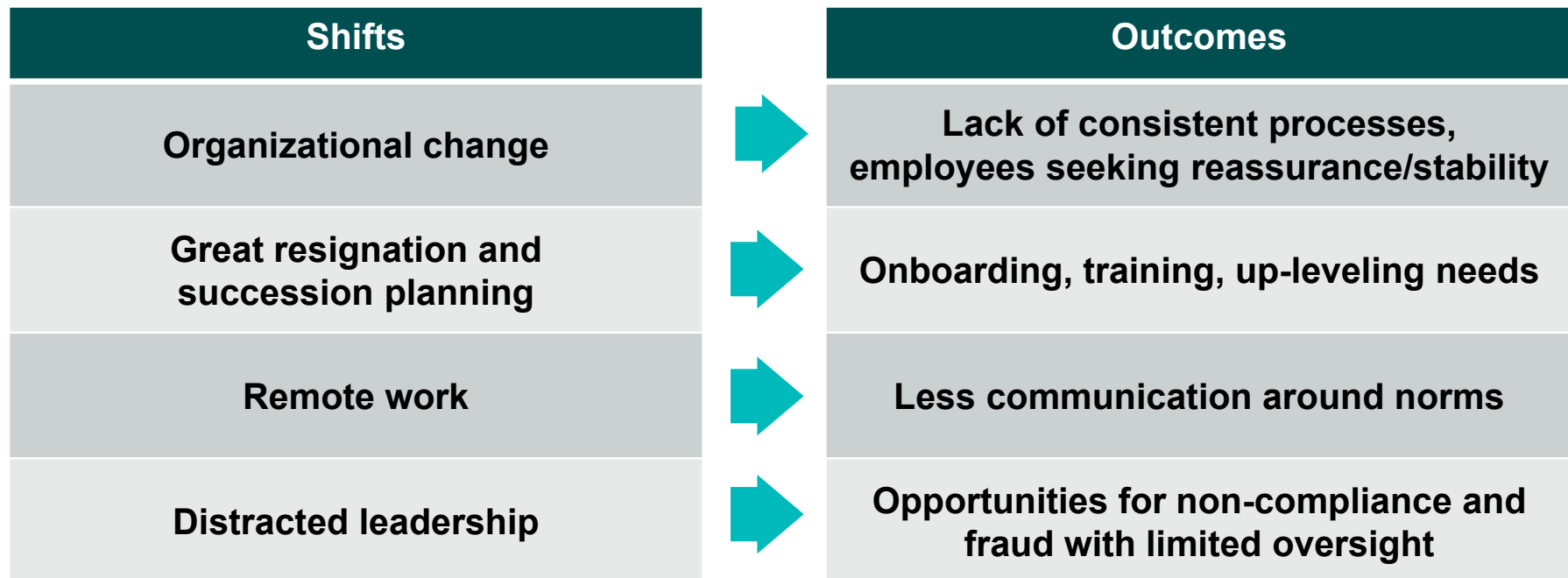
- Operational policy and procedure areas that are critical in turbulent times
- Proven methods to efficiently inventory, prioritize, and update policies
- Best practices for implementing and maintaining policies and procedures



Why P&Ps Matter Right Now



Value of Policies and Procedures



Value of Policies and Procedures

Policies and procedures:

- Establish norms and consistent processes
- Support continuity and provide stability
- Facilitate clear communication of expectations
- Make the implicit explicit



What We Are Seeing in the Marketplace

- Organizations are re-thinking their manual processes
- Systems access levels/authorities are being changed regularly
- Email is being used to document approvals
- P-Cards are being used more regularly and for larger purchases
- Miscellaneous vendor accounts are being established
- Organizations are seeing more grant funding opportunities
- Grant management is becoming a key focus area
- Policies and procedures are now more important than ever



Fraud Risk

Fraud risks have evolved during the pandemic:

- Vendor confirmation
- Cybersecurity
- Employee ethics
- Internal controls



High-Risk P&P Areas



High-Risk P&Ps



Purchasing



Grant Management



Personnel



Crisis Management



Purchasing P&Ps

- Bidding processes
- Vendor verification
- Contract management
- Change order approvals
- Payment processing



Grants P&Ps

- Grant proposals and applications process
- Indirect cost proposals and agreements
- Grant award and contracting
- Grant compliance monitoring, including requirement, responsibilities for compliance, reporting, and documentation
- Cost reimbursement vs. forward funded grant procedures
- Grant closeout
- SEFA preparation, including grant receivable and deferred revenue tracking



Personnel P&Ps

- Hiring processes and decisions
- Onboarding
- Ethics
- Whistleblower protections
- Promotional opportunities
- Remote work
- Compensation



Crisis Response P&Ps

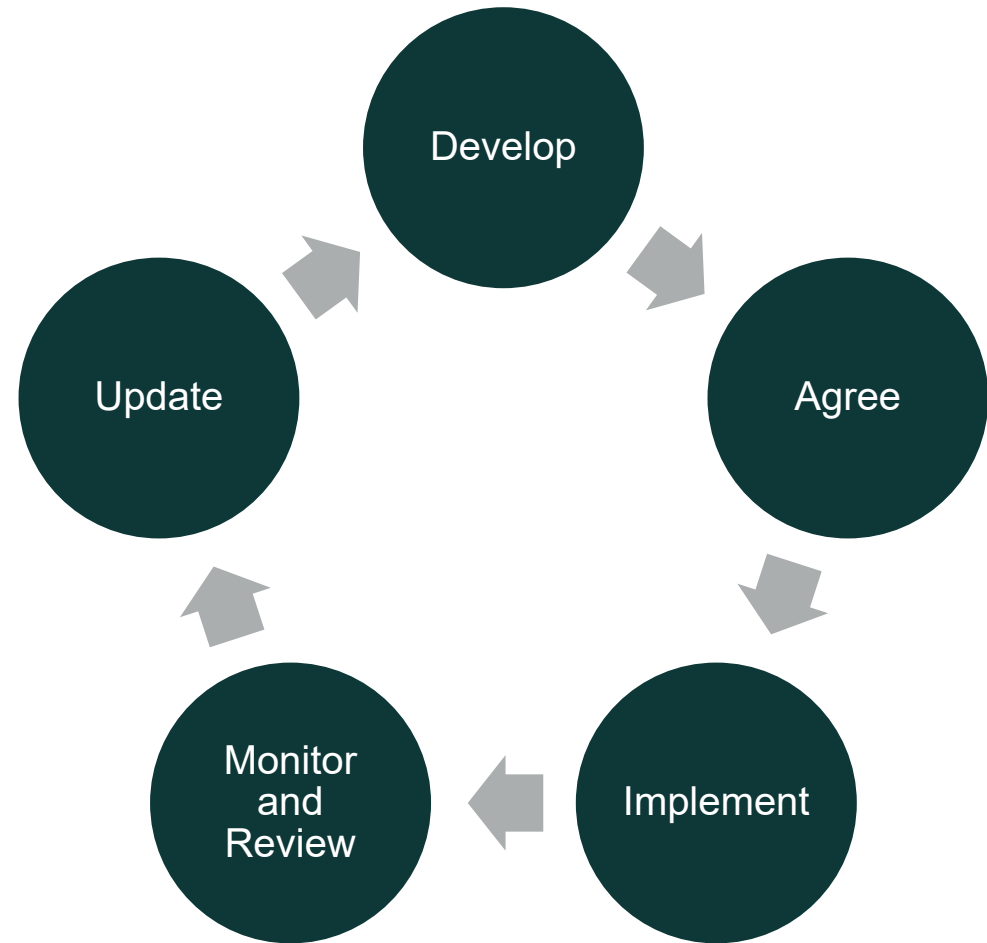
- Sick leave and coverage
- Emergency response
- Crisis communications



Implementation and Maintenance Best Practices



Keeping P&Ps Alive



Prioritization Methods

- **P&P Inventories** – Perform a full inventory of all P&Ps and identify the current coverage of those P&Ps.
- **P&P Gap Analysis** – Assess the current coverage and identify what is missing, outdated, or needs improvement.
- **P&P Updating** – Update existing P&Ps to reflect current practices or changes in regulations/best practices.
- **P&P Development** – Develop full P&Ps based on current practices and recommendations provided, develop supporting forms, tools and training, etc.



Implementation



COMMUNICATION AND TRAINING



CENTRALIZED REPOSITORY



ACCOUNTABILITY



Maintenance

When to update your policies and procedures:



Biennial review



As key processes change



Implementation of new systems



➤ Q&A



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