

 <p style="text-align: center;">STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES</p> <p style="text-align: center;">Policy and Procedure</p>	POLICY AND PROCEDURE NUMBER 02.01.010	PAGE 1 of 5
	EFFECTIVE DATE November 10, 2011	
SUBJECT Policies and Procedures	SUPERSEDES DPOL 02.01.010 DPDR 02.01.010	DATED April 2, 1991 April 2, 1991
CHAPTER Administration	SECTION General Administration	APPROVED BY Signature on File

PURPOSE

This formalizes the policy and procedure (P&P) of the department on the establishment, scope, and development of department and division policies and procedures.

POLICY

It is the policy of the department to establish and maintain written policies and procedures (P&Ps). Department P&Ps are established, updated (on a five year review schedule), or deleted by the division director. All actions to department P&Ps are approved by the commissioner.

Every department policy will have a related procedure. Policy and procedures will be combined in a single document.

Definitions

Policy: Directs action in carrying out a mission. Policies set standards, establish consistency with laws and regulations, and create a basis for control and accountability.

Procedure: Instructions for implementing a policy by translating the general direction found in policies into specific actions.

Scope of Department Policies and Procedures

Department P&Ps are limited in scope to subjects that:

- have broad applicability;
- concern more than a single division, region, system, or department; or
- are of compelling importance; and
- are expected to meet this scope for a significant period of time.

Subjects that meet at least one of the first three criteria but not the fourth will be communicated by emails, memos, and similar means.

Department P&Ps will:

- limit the level of detail to that which is sufficient to direct a clear course of action that any employee can reasonably be expected to follow and that will result in substantially the same outcome in all similar circumstances;
- keep to a minimum any attachments consisting of information or forms developed outside the P&P, particularly outside this department; and
- exclude a P&P intended solely or primarily as a vehicle to convey another document that carries its own authority.

Establishment of Division/System Policies and Procedures

Division/regional directors and system directors/managers are encouraged to maintain their own P&Ps for their organizational units. For purposes of this discussion, P&Ps are defined as any written documents that direct the actions of two or more employees, regardless of whether the documents are collectively called policies and procedures, guidelines, handbooks, or similar. Unwritten (oral) P&Ps do not exist.

Directors/system managers may delegate authority in whole or in part for establishing division/system P&Ps.

Scope of Division/System Policies and Procedures

Division/system P&Ps will be on subjects within the functional area of a single division/system and will direct only the actions of employees in that division/system.

PROCEDURE

It is the division/regional directors and system directors/managers responsibility to ensure that all P&Ps that fall within their functional areas are maintained and kept current by initiating through Administrative Services Division (ASD) revisions to current P&Ps every five (5) years and as content of the P&P becomes superseded.

Division/regional directors and system directors/managers will initiate the revision to current P&Ps by performing a preliminary review within the originating division or among subject matter experts to ensure the content is current and accurate. Once the divisional review has occurred the originator will provide the ASD, administrative officer, a rough

draft or a description of the language or language changes needed. If after the preliminary review it has been determined that no revisions are necessary an email will be sent to the ASD, administrative officer, notifying ASD that a review has occurred and a determination has been made that the content in the P&P is current and no action is necessary. If no revisions are necessary after the five (5) year review, the effective date of the P&P will be updated to indicate that the P&P had been reviewed within the last five (5) years.

Development and Deletion of Department Policies and Procedures

Responsibility:

The development of a new or revised P&P, and the action of deleting a P&P, are collaborative efforts between the Administrative Services Division (ASD) and other divisions/systems in the department.

The ASD director is responsible for overseeing the processes of establishing, revising, deleting, distributing, and formatting department P&Ps.

The division/regional directors and system directors/managers are collectively responsible within their respective functional areas for identifying the need to establish a department P&P, for initiating the development of the P&P; for initiating revisions to and deletions of P&Ps; and for the final content of P&Ps.

When the subject of a P&P falls within the functional area of the ASD, responsibility for all aspects of P&P development and deletion rests with the ASD director.

Initiating a new or revised P&P:

The director/system manager or other originator of a new or revised P&P will provide the ASD, administrative officer, a rough draft or a description of the language or language changes needed, authority citations, a justification for the action, and a brief history of any significant milestones in the development process up to that point. The content will be clear and reasonably complete before the request is directed to the ASD. A preliminary review within the originating division or among subject matter experts is encouraged to ensure the quality of the content. If the originator is not a director/system manager, ASD will secure the director's/system manager's consent before proceeding.

The ASD will determine whether the subject of the proposed new P&P is appropriate or the need for revising an existing P&P is sufficient.

Circulating a draft P&P for comments:

The ASD will work with the division representative and/or other employees to complete the draft. When the ASD and the division representative determine the draft is complete, the ASD will circulate the draft for review and comments. At a minimum, deputy commissioners, division/regional directors, and system directors/managers will receive the draft. Others will be included on a case-by-case basis depending on the subject of the P&P. Directors/system managers are encouraged to forward the draft to and request comments from others in their organizational units who may be affected by the P&P.

The period of time allowed for making comments will vary depending on the subject, breadth of impact, the department's discretion on the subject, extent of changes in a revised P&P, whether the subject is controversial, availability of key managers, and urgency of the P&P. It will normally be from two to three weeks.

Finalizing a P&P:

The ASD will consider comments received. Comments that require content judgment will be referred to the originator, director/system manager for that functional area, or other subject matter expert.

The draft will be revised at the discretion of the ASD to incorporate comments and will then be prepared in final format. The originating division/system will be consulted on all content issues. In rare instances, if revisions are extensive, the ASD may circulate the draft for a second round of comments.

The ASD will present the final P&P to the commissioner for signature along with a written record of the justification, significant comments received, and anything else relevant to the development of the new or revised P&P.

The ASD will inform directors/system managers when a new or revised P&P has been approved and will make new and revised P&Ps available to all employees via the department's P&P website which can be found at: http://www.dot.state.ak.us/admsvc/pnp/policy_and_procedures.shtml. The ASD will make available a table of contents, subject index, or other aids to facilitate the use of the department P&Ps.

Deleting P&Ps:

The director/system manager or other originator of an action to delete a P&P will provide the ASD with a justification for the action. This justification should provide a convincing and well documented reason for the deletion of the P&P. The ASD will determine the appropriateness of the action. If the ASD deems deletion appropriate, the ASD will solicit the commissioner's approval signature. If deletion is approved, the ASD

will notify directors/system managers that the P&P has been deleted and will make the information available to all employees.

Directives:

From time to time, the commissioner and deputy commissioners release directives, usually on subjects requiring immediate action. When the subject fits the scope of a department policy and procedure, the ASD director will transition directives to department P&Ps.

Development of Division/System Policies and Procedures

Directors/system managers are encouraged to develop processes to identify subjects for P&Ps, to foster content development, and to prepare P&Ps in a clear, readable style that enhances understanding and compliance. Directors/system managers are encouraged to adopt a review process similar to the process for department P&Ps and to consult outside their divisions/systems on matters outside their expertise.

Directors/system managers will ensure that the contents of all such P&Ps are consistent with laws and regulations, department P&Ps, and any other binding rules that guide employees' actions.

Directors/system managers will ensure that all such P&Ps are known to and easily accessed by the employees whose actions they are intended to direct and that the P&Ps carries appropriate authority, such as a signature or placement on a controlled website.

Directors/system managers will maintain P&Ps to ensure they remain accurate and complete by reviewing P&Ps every five (5) years. Directors/system managers will contact the ASD, administrative officer, for the current requirements on revising, establishing, or deleting P&Ps in their functional area.

AUTHORITY

AS 44.17.030
AS 44.42.030
AS 44.62.640(3)

IMPLEMENTATION RESPONSIBILITY

Deputy Commissioners, division/regional directors, system directors/managers.

DISTRIBUTION

All department employees via the DOT&PF website