

## University Technology Services: Procedure

*A procedure is a set of detailed statements or instructions describing a mandatory process.*

|                   |   |
|-------------------|---|
| Procedure Name:   | Establishment of UTS Procedure, Standard or Guideline |
| Procedure Number: | 100.10.1  |
| Date Issued:      | June 23, 2005   |
| Effective Date:   | August 10, 2005                                       |
| Owner:            | Deputy CIO for IT Operations                          |

### Purpose:

This procedure outlines the process to develop and adopt a procedure, standard or guideline within University Technology Services. UTS Procedures, standards and guidelines must support University policy. This procedure is for the development of internal UTS procedures, standards or guidelines. Procedures or standards which apply to a broader University community are not covered under this policy.

Procedures, standards and guidelines are intended to guide UTS staff direction in pursuit of departmental goals and relations within UTS and with the broader University community. These documents are intended to help optimize operations, reduce risks and ensure compliance with applicable laws and regulations.

### Scope:

Everyone in University Technology Services.

### Input/Procedure/Outputs:

Input: Request to develop a formal method of implementing UTS procedures/standards/guidelines.

1. Sponsoring group will write the procedure, standard or guideline using the standard templates ([uts.sc.edu/documents](http://uts.sc.edu/documents)) which were developed to ensure clarity and consistency. The documents should be comprehensive and written in clear language that is easy to understand.
2. The sponsoring group will email the procedure, standard or guideline to the UTS management team ([csmgrs@gwm.sc.edu](mailto:csmgrs@gwm.sc.edu)) for review and the document will be placed on the staff meeting agenda for discussion. At least one week (maximum of two weeks) will be allowed for review, and the UTS management team is responsible for reviewing the document prior to the management team meeting.
3. The sponsoring group will incorporate feedback from UTS Management Team as appropriate. The UTS Management Team will determine the distribution list for further feedback from the UTS staff.
4. The sponsoring group will solicit feedback from the UTS staff (based on distribution list determined by UTS Management Team). At least one week (maximum of two weeks) will be allowed for UTS staff review.
5. The sponsoring group will incorporate feedback from UTS staff as appropriate.
6. The sponsoring group will forward the procedure, standard or guideline to the UTS management team ([csmgrs@gwm.sc.edu](mailto:csmgrs@gwm.sc.edu)) for final review.
7. A member of the sponsoring group will present the procedure, standard or guideline to the UTS management team during a regularly scheduled bi-monthly staff meeting. Discussion of the proposed document will occur in an organized and professional format. The UTS management team will

approve the document, reject the document or redirect the document for revision. At least 80% of the UTS management team must vote to approve or reject; otherwise, the document will be returned to the sponsoring group for revision.

8. The procedure, standard or guideline will be published on the UTS web site ([uts.sc.edu/documents](http://uts.sc.edu/documents)). The sponsoring group and the UTS staff will be notified that the document has been published and adopted. A printed copy of the procedure, standard or guideline will be placed in a notebook to be maintained in the office of the Deputy CIO. The document will be stored on the Othello file server in the Data1\Dept\CS\CSMgrs\Documents\Procedures, Standards and Guidelines subdirectory.
9. A printed copy of the procedure, standard or guideline will be placed in a notebook to be stored off-site for disaster recovery.
10. Based on critical business need, the Deputy CIO has the authority to implement or change procedures or standards outside of this process for a period not to exceed six months.

Output: Published UTS procedure/standard/guideline.

### Responsibility for Implementation:

All UTS staff will be held accountable for adoption and enforcement of procedures, standards and guidelines adopted through this process.

All UTS managers will be responsible for reviewing existing procedures, standards and guidelines on a regular basis to assess the need for change as well as potential impacts. It is also the responsibility of the UTS managers to enforce, communicate and educate their team on proper procedures, standards and guidelines.

### Enforcement/Consequences:

The EPMS plan will be utilized as a tool to educate staff members on procedures at the beginning of the review period. The EPMS review will be used as a tool to evaluate compliance with procedures at the end of the review period. (see HR 1.36 – Performance Appraisal for Classified Employees – <http://www.sc.edu/policies/hr136.html>). If necessary, disciplinary action will be taken (see HR 1.39 – Disciplinary Action and Termination for Cause – <http://www.sc.edu/policies/hr139.html>).

### Related documents:

- “UTS procedure – Establishment of UTS procedure, standard or guideline.vsd”
- “UTS procedure template.doc”
- “UTS standard template.doc”
- UTS Document Repository – [uts.sc.edu/documents](http://uts.sc.edu/documents)

### Definitions:

| Term      | Definition  |
|-----------|---|
| Policy    | Statements that reflect the philosophies, attitudes or values of the University related to a specific issue. Policies have broad application to the whole University and should be expressed in terms of “what” and “why”. Policies are also principles intended to govern actions and can help facilitate compliance with procedures, standards, laws or regulations. Policies are general in nature and do not change frequently. |
| Procedure | Detailed statements or instructions describing the mandatory process to accomplish a task, reach a goal, or implement institutional policy. Procedures have narrow application to specific tasks or departments and   |

| Term                | Definition   |
|---------------------|--|
|                     | should be expressed in terms of "how", "when" or "who". Procedures can change frequently based on technology and organization.   |
| Standard            | A set of specific requirements, products, approaches or solutions that must be followed by everyone to conform with policies or procedures. Standards are rules that must be followed exactly to be supported by the organization. Standards can be defined as minimum (exemptions are not granted or considered) or recommended (a minimum threshold, but a stricter standard may be adopted).      |
| Guideline           | A suggested, user-friendly, course of action intended to help the user accomplish a task or reach a goal. A basic "how to" guide which could lead to compliance with a standard, policy or procedure. Guidelines are not requirements but are provided as strongly recommended suggestions, good ideas or best practices. Guidelines are published in informal venues like newsletters or pamphlets. |
| Sponsoring Group    | The working group within UTS that develops the procedure, standard or guideline. The working group assures that the document is complete, clearly written, communicated and utilizes the standard template.  |
| UTS Management Team | The Deputy CIO and UTS Directors responsible for reviewing, approving and implementing procedures, standards and guidelines.   |

### Contacts:

| Name             | Title  | Telephone | Email  |
|------------------|--|-----------|--|
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### Revision History:

| Version | Author        | Date (MM/DD/YYYY) | Comments   |
|---------|---------------|-------------------|--|
| 1.0     | Lorie Edwards | 06/23/2005        | Initial Version                                    |
| 1.1     | Lorie Edwards | 9/27/2005         | Added step for UTS Management Team review prior to |

| Version | Author        | Date<br>(MM/DD/YYYY) | Comments  |
|---------|---------------|----------------------|---|
|         |               |                      | general UTS staff review.   |
| 1.2     | Lorie Edwards | 11/10/2005           | Changed to allow UTS Management Team to determine limited distribution list for further review by UTS staff. This provides for limited distribution for sensitive or "need-to-know" procedures. |
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