

# Guam Power Authority

## Standard Operation Procedure

**Title/Description:** Creating, managing and updating an Authority Policy (AP) or Standard Operating Procedure (SOP)


**Procedure No.:** SOP-015

**Effective Date:** 12/11/2023

**Supersedes:** SOP-003 dated 10/13/1992 and SOP-015 dated 01/31/2013

**Procedure Owner:** Executive staff responsible for managing the Central Files Repository

**Prepared by:**



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**Concurred by:**



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**Approved by:**



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### Purpose

This standard operating procedure shall serve as a guide for creating, managing, and updating Authority Policies (AP) and Standard Operating Procedures (SOP).

### Background

On March 28, 1991, SOP-015, *Establishing New Authority Policy and Procedure*, was initially drafted and approved for use by the Authority. Later, on January 31, 2013, SOP-015 received an update and has remained in effect since. This version of the SOP was to establish the format, content, and approval requirements for developing policies and procedures.

SOP-003, *Changing Existing Policies and Procedures*, was drafted and approved on October 13, 1992 and has been a compliment to SOP-015. This SOP provided guidance for changes to be made to existing policies and procedures.

A decade has passed with many suggestions offered on how to improve this SOP. With this update, SOP-015 seeks to offer a more detailed write-up of its guidelines resulting in removing or reducing confusion found in its previous versions. Also, SOP-003 will be deleted from the SOP

Index but its contents will be consolidated into SOP-015, as they both pertain to the management of APs and SOPs.

## **Scope**

This procedure covers all Authority Policies and Standard Operating Procedures.

## **Terminology, glossary, or definitions**

### **What is an Authority Policy?**

An Authority Policy are guidelines, principles, rules and regulations established by the Authority to govern its operations and guide the behavior of its employees. Some policies are intended to provide guidance and be helpful to employees. Others aim to protect the Authority from legal risk and warn employees not to do certain things.

Authority Policy provides direction, consistency, and clarity to employees, helping them understand their roles and responsibilities within the Authority. These policies typically address various aspects such as ethical conduct, human resources management, information security, operational procedures, and organizational strategies.

### **What is a Standard Operating Procedure?**

A standard operating procedure (SOP) is a set of written guidelines or instructions for the completion of a routine task, designed to increase performance, improve efficiency, and ensure quality through systemic homogenization.

Put simply, SOPs are step-by-step documentation of work-related tasks. Well-done standard operating procedures remove the guesswork necessary to complete assignments.

With SOPs in hand, employees no longer waste valuable time thinking about what they should do, how they should do it, and which tools they need. SOPs ensure specific tasks are completed in the same manner each time, thus delivering the same output every time.

## **Responsibilities**

Executive staff member responsible with managing the Central Files Repository shall hold the following responsibilities:

1. Updating, revising, and providing clarification of SOP-015.
2. Maintaining hard copy of all APs and SOPs.
3. Maintain index of all APs and SOPs.
4. Manage AP and SOP database on GPA's SharePoint when updates or new policies or procedures are received.
5. Assign and manage control numbers for all APs and SOPs. Control numbers will be issued sequentially only after (new or revised) APs or SOPs have been reviewed by stakeholders, but before routing for approval. Control number format are as follows:
  - a. Authority Policy: "AP-xxx"

- b. Standard Operating Procedure: "SOP-xxx"
- 6. Coordinate the annual review of APs and SOPs.
- 7. Adhere to best practices described in "Government Efficiency Act of 2017"
- 8. Email approved APs and SOPs to all employees after the GMs approval.

Author of APs and SOPs shall:

- 1. Prepare (new) and properly identify document as either a policy or a procedure.
- 2. Ensure their AP or SOP adheres to the guidelines set forth in latest version of SOP-015.
- 3. Draft copy of AP or SOP will be emailed to all stakeholders that will be affected by the policy or procedure.
  - a. Stakeholders will be given five (5) business days to respond with comments, suggested additions or revisions, or other recommendations.
  - b. Author shall incorporate additions or recommendations if they are considered valid and appropriate.
- 4. Final draft will be routed for concurrence and approval.
- 5. Approved copy of the AP or SOP shall be submitted to the Central Files Repository for distribution.
- 6. Review their APs or SOPs annually to make any changes to reflect the Authority's operations, provide clarity to existing policies or procedures, or to delete information that is not current.

## Procedure

- 1. First decide if the document you will be preparing will be a **POLICY** or a **PROCEDURE**?
  - a. Please review definitions above as a reference to determine document type.
- 2. Use the following **FORMAT** as a guide, consider which of the key elements are relevant and will be used in your document:
  - a. Document control or meta information
    - i. Title (or description)
    - ii. Policy or Procedure number (AP-xxx or SOP-xxx)
    - iii. Effective date (date when policy or procedure will be applicable for Authority use. Date range may also be used if policy or procedure will only be applicable for a particular time period.)
    - iv. Supersedes (if applicable, name policy or procedure along with effective date)
    - v. Policy or Procedure Owner (title/position of person or department/section who will be responsible for annual review)
  - b. Signatures
    - i. Each AP or SOP shall have a minimum of three signatures before implementation:
      - i. The author of AP or SOP
      - ii. Department/section manager or subject matter expert with relative expertise in the topic of the policy or procedure (optional)
      - iii. An executive level manager (AGMA / AGMETS / AGMO / CFO) to review and concur with implementation of the AP or SOP
      - iv. GPA's General Manager (GM) to approve use of the AP or SOP
    - ii. *Electronic signing of the document is preferred as it will retain the searchability of the document and provide ease for future updates.*
  - c. Purpose
    - i. Briefly describe the goal in assembling the document.

- ii. The AP or SOP should define the purpose of the work and clearly outline its objectives.
  - iii. Describe the problem(s) the AP or SOP will deter or solve.
- d. Background (*optional*)
  - i. Was there a particular situation that arose or event that lead up to the need to have a procedure documented? Briefly explain.
- e. Scope
  - i. Define the use and applicability of the AP or SOP.
  - ii. It can also be helpful to describe what is out of scope for the document.
- f. Terminology, glossary, or definitions
  - i. Define words, phrases, acronyms, abbreviations, and activities that could have ambiguous meanings or that might not be understood by the document's audience.
- g. Responsibility
  - i. The AP or SOP should outline who performs the tasks and who to contact if problems arise.
  - ii. It also outlines the person in charge of its implementation, review and updates.
- h. Policy / Procedures

For Authority Policy – instructions that determine **WHAT** things are to be done.

- i. Presents a uniform way of doing things.
- ii. Sets the standard for the way things should be done and what the Authority expects from its employees.
- iii. Sets the boundaries in place so employees have room to carry out their activities freely.
- iv. Well-defined policy empowers employees to do what is right.

For Standard Operating Procedure – step by step descriptions of **HOW** to perform tasks. This can take on one these four (4) SOP formats:

- i. **Checklist** – A simple method of writing standard operating procedures.
- ii. **Step-by-step checklist** – Suitable for straightforward tasks that require little to no explanation.
  - Numbered or bulleted lists that outline the steps necessary to complete the process.
- iii. **Hierarchical steps** – Suitable for procedures with multiple steps, often involving complex decision-making.
  - While a step-by-step SOP will bullet point steps 1, 2, and 3, a hierarchical SOP will include steps 1a, 1b, and so on.
  - This layout lists a task's main steps as primary checkboxes, followed by their related sub-steps as secondary checkboxes.
- iv. **Flowchart format** - Best suited for unpredictable results.
  - If a process includes several possible outcomes, use a flowchart format to map and plan your procedures.
  - The outcome of each step impacts the direction employees should take next.

- i. Accountability Measures (*Optional*)
    - i. SOPs are intended to improve accountability.
    - ii. Outline the responsibilities of each person within an organization ensures accountability for assigned projects.
  - j. Directive (*Optional*)
    - i. This section is for instructions that are very important and must be noticed.
  - k. References (*Optional*)
    - i. Indicate if the policy or procedure was developed with references from other documents such as internal memos, policies, rules and regulations, local or federal requirements or mandates, public laws, etc.
  - l. Exhibit (*Optional*)
    - i. Charts, graphs, graphics, pictures, tables, text or additional resources that will help further explain certain points of the policy or procedure.
  - m. Appendix (*Optional*)
    - i. Include any supporting documentation that may not fit within the flow of the policy or procedure.
3. Specific templates for either AP or SOP can be found in the Appendix which provides an updated layout with ample signature space to accommodate electronic signatures.

### Directives

1. Please note that this procedure supersedes SOP-015 *Establishing New Authority Policy and Procedure*, dated 01/31/2013.
2. SOP-003 *Changing Existing Policies and Procedures*, dated 10/13/1992, is hereby deleted and its contents have been consolidated into this SOP.
3. This revision of SOP-015 will include a name change in which it will now be called "SOP-015 *Creating, managing, and updating an Authority Policy or Standard Operation Procedure.*"

### Reference

**Guam Public Law 34-05** (May 10, 2017): *An Act to Add a New § 1923 to Chapter 19 of Title 1, Guam Code Annotated, Relative to Allowing the Periodic Audit of Each Government of Guam Agency's Standard Operating Procedures and Requiring Such Procedures. Also known as "Government Efficiency Act of 2017."*

## Exhibit 1

### Sample format of document control / meta information and signature area:

**Title/Description:** Standard Operating Procedure sample format  
**Procedure No.:** SOP-xx1  
**Effective Date:** 09/30/2023  
**Supersedes:** SOP-xx1 dated 10/01/2001  
**Procedure Owner:** Administration division

**Prepared by:** \_\_\_\_\_  
Author of policy or procedure, title/position of author

**Concurred by:** \_\_\_\_\_  
Name of executive level manager, AGM (division)

**Approved by:** \_\_\_\_\_  
Name of General Manager, GENERAL MANAGER

Master header will be replaced with this new layout (see above) to accommodate the use of electronic signatures.

## Exhibit 2

### Sample format document footer:

*SOP-015 Creation, Managing and Updating Authority Policies and Standard Operating Procedures*

*Page 6 of 6*

Footer shall be placed on all pages to include the policy or procedure number followed by the title. Footer shall also include the page number with total number of pages.