Policy Document Development Framework

1.0. Introduction

Policy Documents reflect an institution's position, principles, standards, and processes on key issues. The complexity of the University necessitates various types of Policy Document options.

In general Policy Documents are to be:
- developed in accordance with the Framework;
- presented in a standard format;
- formally approved;
- maintained centrally by the University Secretariat Office;
- accessible to the University community; and
- administered and reviewed by the Responsible Office.

The various types of Policy Document options are set out in the **Classification (2.0)**. The purpose of the Classification is to establish appropriate Policy Documents that provide direction to faculty, staff, students, volunteers and others who act on behalf of the University.

Policy Documents at the University of Lethbridge are categorized according to functional area. These policy areas are set out in the **Category Listing (3.0)**.

The process for Policy Document development is set out in the **Framework (4.0)**. The purpose of the Framework is to standardize the processes for developing clear, concise, well-written Policy Documents. The Framework describes the Policy Document development process and defines the roles and responsibilities of all persons involved at every stage of the process. It describes each element in the document cycle; these elements provide direction and guidance for complying with legislative and legal requirements, promoting best practices, mitigating risk, upholding academic and research values and integrity, and supporting industry standards. Equally importantly, the elements ensure that engagement with all appropriate areas and stakeholders takes place in order to identify resources, infrastructure, communication, procedural change, and education necessary to support the development and implementation of Policy Documents and impact the direction of the University as a whole.

2.0. Classification of Policy Documents

While the term "*policy*" is often used generically to describe the type of document that provides direction and sets out the ground rules for operations, the complexity of the University dictates that broader options are necessary. The following represents the various document options, in order of hierarchy, which support the needs of our institution:

2.1. University Foundational Statements

Foundational Statements are high level statements on overarching governance, and operational issues that reflect the University's mandate, mission, vision, values, pillars and strategic plan. They support the strategic direction and establish the subject matter groups for Policy Document suites (e.g., policies, procedures, standards, and guidelines). Each Policy

Approval Authority:	Responsible Office:	Effective Date:
Policy Executives [Provost and Vice-President (Academic); Vice-President (Finance and Administration)]	University Secretariat	January 1, 2018

Document adopted throughout the University must be consistent with the Foundational Statements.

2.2. Governance Documents

The Board of Governors governance documents, the General Faculties Council Bylaws and the Senate Bylaws provide guidance and structure to these bodies in fulfilling their respective obligations and duties under the *Post-secondary Learning Act*.

2.3. University Policies

A University Policy establishes principles and standards governing the conduct of University faculty, staff, and students in their capacity as members of the University of Lethbridge community. A University Policy may also expressly apply to campus visitors, University affiliates, vendors or other members of the University community.

A University Policy is defined by the following criteria:
- It applies generally throughout the University or major components of the University;
- It facilitates compliance with internal or external standards or requirements;
- It mandates or constrains action and states the consequences for non-compliance.

A University Policy typically incorporates Procedures that set forth the specific steps or means by which the policy is carried out.

2.4. University Procedures

A University Procedure sets out the specific steps or means by which the Policy is carried out. Procedures exist to ensure consistent and efficient application of the Policy. These Procedures are internal to a University Policy, and must be distinguished from University Operating Procedures (UOP), which are defined below.

2.5. Standards

A Standard sets out the desired and achievable level of performance that establishes best practice as may be established by applicable authorities, and against which actual performance can be compared. Standards may be applicable across the University or specific to one or more programs, units or operational areas.

2.6. University Operating Procedures (UOP), Guidelines and Protocols

A UOP is a freestanding operational rule, or a set of steps, which all persons engaged in the activities that are the subject of the UOP must uniformly follow. Procedures that are applied within a single department, faculty or school are not UOP.

A University Guideline is an interpretation or elaboration of a Policy, Procedure or UOP; a statement that provides guidance for the implementation of Policy, Procedure or UOP; and is aimed at fostering decisions or streamlining a particular process. It allows the opportunity to expand on the requirements set out in a higher level of Policy Document, government direction, legislation, accreditation, recommendation, or other similar influence, to meet the operational needs and provide direction. Guidelines establish a recommended course of action that aligns with best practice, but individuals are afforded a reasonable amount of professional judgment

in complying with the provisions.

A Protocol prescribes interventions for undertaking specific investigations and/or activities in an identified situation.

3.0. Category Listing

Policy Documents at the University of Lethbridge are grouped into one of the following categories:

Academic Operations

Includes Policy Documents relating to academic program review, development and evaluation. It also includes documents approved by General Faculties Council relating to the academic operations.

Facilities Management

Includes Policy Documents relating to the various aspects of space management including the construction of new buildings, the use, rental and access of existing space. It also includes the management of off-site University properties, and the management of signage and art in University spaces.

Financial Management

Includes Policy Documents relating to the financial management of the University such as financial planning, expenses, investments, consultants, and the management of revenues and investment funds.

Governance

Includes Policy Documents relating to the authority of General Faculties Council and Board of Governors committees, senior administrative delegation, and faculty councils. It also includes those relating to risk management, fraud, and safe disclosure.

Health and Safety

Includes Policy Documents relating to the production or promotion of a healthy and safe environment on campus.

Human Resource

Includes Policy Documents relating to the recruitment, employment, support, compensation, designation, and management of University personnel.

Information Management & Technology

Includes Policy Documents relating to the management of information and technology, regardless of format, in the custody or under the control of the University.

Research and Teaching

Includes Policy Documents relating to research and technology transfer, teaching chairs, sponsored research, research ethics, industry and community partnerships and liaison,

research centres & institutes, and management of research funding.

Student Affairs

Includes Policy Documents relating to the provision of student programs, assessment of learning, services, residence services, fees, and appeals.

University Development and Relations

Includes Policy Documents relating to the trade marks, naming, endowments, employee donations, recognition, and fundraising.

4.0. Framework for Policy Document Development

The purpose of the Framework is to create a consistent and coordinated process of Policy Document development and approval at the University of Lethbridge. This Framework will apply to the development of all future:
- University Policies, and
- University Procedures.

Other Policy Documents (i.e. University Operating Procedures (UOP), guidelines, protocols, standards and those policies or procedures that are only applicable to specific departments or faculties - "department/faculty policies" or "department/faculty procedures") may be developed outside this Framework as long as:
- such documents are consistent with higher-level University Policy Documents, and
- the development of such documents follows the same principles for development, consultation, approval, promulgation and review.

4.1 Framework (6 steps):

Step 1 - Propose:

The need for a new or revised Policy Document, or rescission of an existing Policy Document, commences with the submission of the Policy Document Development Plan (PDDP) Appendix A, to the University Secretariat Office. The PDDP shall be completed by the Responsible Office.

Responsible Office means the senior administrative/academic unit(s) with responsibility for the matter that is the subject of the Policy Document. The Responsible Office is the primary content expert during a document's development. A Policy Document may have more than one Responsible Office.

Step 2 - Review:

An initial review of the PDDP is made by the University Secretariat Office and forwarded to the Policy Executive. The Policy Executive may either endorse the proposed PDDP (with or without revisions) and authorize drafting/revising to commence, or return the proposed PDDP to the University Secretariat Office for reconsideration.

If an existing Policy Document requires revision, it is determined whether it requires editorial revision or substantive revision. **Editorial revision** is a revision that corrects typographical

errors, updates web links or updates references to positions, descriptions of administrative units, etc. or is a minor grammatical revision. Editorial revisions will be reported to the Approval Authority for information but do not require formal approval. **Substantive revision** is a revision other than an editorial revision and the University Secretariat Office will inform the Responsible Office to commence the Policy Document revisions (Step 3).

If it is determined that only editorial revision is needed, the existing Policy Document is updated by the University Secretariat Office, posted to the policy website and communicated as appropriate. The fact that an editorial revision was made will be documented by the University Secretariat Office.

Step 3 - Draft & Edit:

The Responsible Office and/or editorial group drafts or revises the Policy Document using the official policy template, Appendix B. As appropriate, depending on the document subject matter, additional internal review may take place prior to the draft being finalized (e.g. with Human Resources, IT, Research Services, etc.).

Step 4 - Consult:

The completed draft is circulated for stakeholder consultation in accordance with the PDDP. All Policy Documents are presented to Statutory Deans' Council prior to community feedback being requested. The appropriate officer assists with the consultation process by initiating contact with stakeholder groups, providing them with relevant material, and documenting feedback.

All feedback is considered by the Responsible Office(s) and the Office of the University Secretariat and revisions, as appropriate, are made to the Policy Document. The Policy Executives [Provost and Vice-President (Academic), and Vice-President (Finance and Administration)] provide comments on any feedback/revisions prior to the policies or procedures being submitted for final approval.

Step 5 - Approve:

In accordance with the *Post-secondary Learning Act,* **administrative** University Policies and Procedures require the approval of the Board of Governors (BOG) and **academic** University Policies and Procedures require the approval of the General Faculties Council (GFC). For policies that are both administrative and academic, it may be that approval is needed from both the BOG and GFC.

All other Policy Documents (Guidelines, Protocols, Standards, and Faculty/Department-specific policies or procedures) require the approval of the Vice-President, Associate Vice-President, Executive Director, Dean/University Librarian (as applicable) responsible for the subject matter.

Step 6 - Review:

Policy Documents are maintained by the University Secretariat Office in a central repository and are reviewed every 5 years with the Responsible Office.

4.2 Roles and Responsibilities:

Policy Executives [Provost and Vice-President (Academic), and Vice-President (Finance and Administration)]:
- Approves the Policy Document Development Framework process.
- Approves all PDDP's.
- Reviews and provides comments on all policies and procedures prior to them being placed on Statutory Deans' Council agenda.
- Reviews and makes final decisions on any feedback/revisions prior to the policies or procedures being submitted for final approval.

University Secretariat Office:
- Is responsible for overseeing the Policy Document Development Framework process.
- Holds the official approved copies (e-version) of all university policies and procedures.
- Ensures the official approved copies (e-version) of all university policies and procedures are available to the University community – through the policy website and using Uweekly and employee groups to communicate new Policy Documents where appropriate.
- Receives PDDP to initiate reviews from the Responsible Office's. May also request to the Policy Executives that reviews of policies or procedures be initiated and if approved, would then inform the Responsible Office.
- Manages the feedback on all policies and procedures e.g. from the policy website; Statutory Deans' Council; General Counsel; the Responsible Office; and the Policy Executives.

Responsible Office:
- Can initiate a review of their policy or procedure by completing and submitting a PDDP.
- Must commence a review upon direction of the University Secretariat Office.
- Must do due diligence through research and analysis of information (e.g. a review of other institutions across Canada and in the province on similar policies) to ensure appropriate standards and best practices are being followed in relation to the Policy Document.
- The Responsible Office and/or editorial group drafts or revises the Policy Document using the official policy template.
- Feedback is considered by the Responsible Office and University Secretariat Office and as appropriate, revisions are made to the Policy Document before consultation and/or final approval is requested.
- Works with effected individuals and departments to provide training/education, if necessary, to ensure compliance and awareness of the new/revised Policy Document.

Office of General Counsel:
- Upon request of the University Secretariat; provides legal advice on the PDDP.
- Upon request of the Policy Executives or University Secretariat, provides legal advice and input to the University Secretariat into the development of Policy Documents.
- When approved by Policy Executives can assist in the writing of Policy Documents.

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APPENDIX A
POLICY DOCUMENT DEVELOPMENT PLAN (PDDP)
(word version available online www.uleth.ca/policy/policy-development)

Responsible Office:	Click here to enter text.
Submitted by:	Click here to enter text.
Date:	Click here to enter text.
Name of Policy Document:	Click here to enter text.
Policy Document Action:	Choose an item.
*** please attach the current version of the Policy/Procedure for all actions except new and editorial***	

Reason for the Policy Document Action (check one or more reasons below):

☐ Legal/Regulatory Requirements *(attach legal/regulatory document)*

☐ Best Practice

☐ Risk Mitigation

☐ Editorial

☐ Other (list): Click here to enter text.

Description of Reason/Changes (briefly summarize details):

Potential Impact on Operations (e.g. budget implication for implementation and/or training):

Potential Impact on Existing Policy Documents:

Proposed Plan for Implementation and/or Training:

Consultation:

All Policies/Procedures (except those solely having editorial revisions) will be scheduled for review by Statutory Deans' Council, which serves as the advisory body to the Board of Governors and General Faculties Council. After Statutory Deans' Council has recommended the document for consultation it will be posted for two weeks (calendar days) on the University policy website (http://www.uleth.ca/policy) for broad University community consultation and feedback.

Communication:

For all Policies/Procedures (new and revised) notification of the two-week consultation will be included in Uweekly and the following groups will also be notified that the document is posted on the University policy website (http://www.uleth.ca/policy) for review: ULFA (University of Lethbridge Faculty Association); ESS (Exempt Support Staff) Executive; AUPE (Alberta Union of Provincial Employees) Executive; APO (Administrative Professional Officers) Executive; GSA (Graduate Students' Association) Executive; and SU (Students' Union) Executive.

Indicate Individuals Who Are Requested to be Involved in Drafting, and Potential Groups/Offices/ Requiring Consultation Prior to Community Consultation:

PLEASE SUBMIT THIS FORM AND ATTACHMENTS TO THE UNIVERSITY SECRETARIAT OFFICE (JODIE.GALLAIS@ULETH.CA). APPROVAL OF THIS FORM MUST BE OBTAINED BEFORE THE DRAFTING OR CONSULTATION OF ANY POLICY DOCUMENT COMMENCES.

University Secretariat Office Use Only: Comments from initial review of PDDP and for consideration by Policy Executives.

Policy Executives Use Only: Comments from review of PDDP for consideration by Responsible Office and University Secretariat Office.	
Provost and Vice-President (Academic) Comments: ☐ I approve the PDDP Date:	**Vice-President (Finance & Administration)** Comments: ☐ I approve the PDDP Date:

University Secretariat Office Use Only (summary of process): If required, consultation completed with designated groups: Draft provided to Policy Executives for review prior to Deans' Council: Draft to Statutory Deans' Council: Feedback from Statutory Deans' Council: Draft on policy site for two weeks: Feedback from policy site: Feedback provided to Responsible Office for consideration and response: Final draft provided to Policy Executives for review prior to final approval: Final approval authority: Approval effective date:

APPENDIX B
POLICY TEMPLATE

All University of Lethbridge Policy Documents should be formatted as follows:

> Font to Use: Arial
> Font Colour: Black
> Font Size: 11 (unless otherwise indicated)

1. PAGE ONE:

1.1   Top

The top of page one shall be formatted as follows:

University of
Lethbridge

Policies and Procedures
CATEGORY LISTING

Name of Policy Document (Bold, Font Size 13)

1.2   Footer

(Font size 10)**:**

Approval Authority:	Responsible Office:	Effective Date:	Date Last Revisited:	Related Policies:
General Faculties Council (GFC)	Provost & Vice-President (Academic)	February 6, 2017	March 17, 2016; December 6, 2015	Conflict of Interest Policy

2. PAGE TWO

2.1   Header:

Name of Policy Document (bold), right align, font size 10

2.2   Footer:

Page x of x, right align, font size 10

3. OTHER

3.1   Numbering

Each Section shall be numbered using the following: 1. 1.1, 1.1.1, etc.

3.2   Table of Contents

It is *advisable* to not have a Table of Contents. Table of Contents may be included if the policy is long and for ease of finding content.

3.3   Sections

Policies shall include a Purpose and Scope.

Definition section, if included, must contain terms that are used within the Policy Document and consistency of definitions across all University policies is recommended.

3.4   Procedure or Appendix

If, a procedure or an appendix is included, they will start on a separate page.

The title on the first page will be as follows:

APPENDIX or PROCEDURES: Name of Policy Document (bold), centre, font size 13

The footer does not change throughout the document.

The header for the procedure or appendixes, which will start on the 2nd page of the appendix or procedure will be as follows:

APPENDIX or PROCEDURES: Name of Policy (bold), right align, font size 10

Numbering in the appendix or procedure should be as follows:

Appendix A: A1, A1.1, A1.1.1

Appendix B: B1, B1.1, B1.1.1

Procedure: P1, P1.1, P1.1.1

3.5   Functionality

For ease of use, hyperlinks will be made to other documents/forms mentioned; furthermore if a Table of Contents is used bookmarks will be created in the document.