

**SENATE**

**MEETING DATE:** *February 28, 2011*

**AGENDA #:** *4.2*

**PRESENTED BY:** *David Atkinson*

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**Issue:** **Procedures for Policy Development or Amendment – proposed revisions**

**For information:** Attached is a proposed revision to the Protocol for Policy Development or Amendment for review.

Also attached is the current Protocol for the Development of University Policies Procedures. The revision proposes to replace the current 34-step policy development/amendment process and any corollary revisions required in the rest of the procedures document.

There is no revision proposed to the Policy itself.



**Kwantlen Polytechnic University**  
**Protocol for Policy Development or Amendment (Draft)**

1. Individuals, bodies, or groups who perceive the need for the development/amendment of a policy must formally submit an official request to the Office of the Provost. The Chair of the Senate, the Provost and/or the Vice President Administration will review requests regularly to determine merit.
2. If there is merit to the request, the Provost or the Vice President Administration will identify an appropriate University Officer to assume full responsibility on the development/amendment of a policy. Unapproved request(s) will be logged and archived in the policy register.
3. The University Officer will carry out all tasks relating to the development/amendment of the policy. S/he will conduct research, internal/external consultation, and all other review processes that are deemed necessary. A policy will be developed in a standard format as prescribed by the official templates provided by the University Secretariat.
4. The University Officer will make amendments/revise drafts where necessary, and must seek preliminary endorsement from the Provost or the Vice President Administration, as appropriate.
5. The Provost or the Vice President Administration will submit the draft policy to the University Secretariat for a three (3) week public posting period, where comments will be sent to the assigned University Officer for consideration. The University Officer will present the draft policy to the Provost or Vice President Administration, who will submit it to the Secretariat:
  - a. Senate Policies:
    - i. Appropriate Senate Standing Committee
    - ii. Senate
  - b. Senate-Board Policies, where the Senate must advise the Board and the Board must seek advice<sup>1</sup>:
    - i. Appropriate Senate Standing Committee
    - ii. Senate
    - iii. Board
  - c. Administrative Policies:
    - i. Appropriate review groups
    - ii. President/Board

If significant revisions are required, the policy will be returned to the Provost or the Vice President Administration for further development or review.

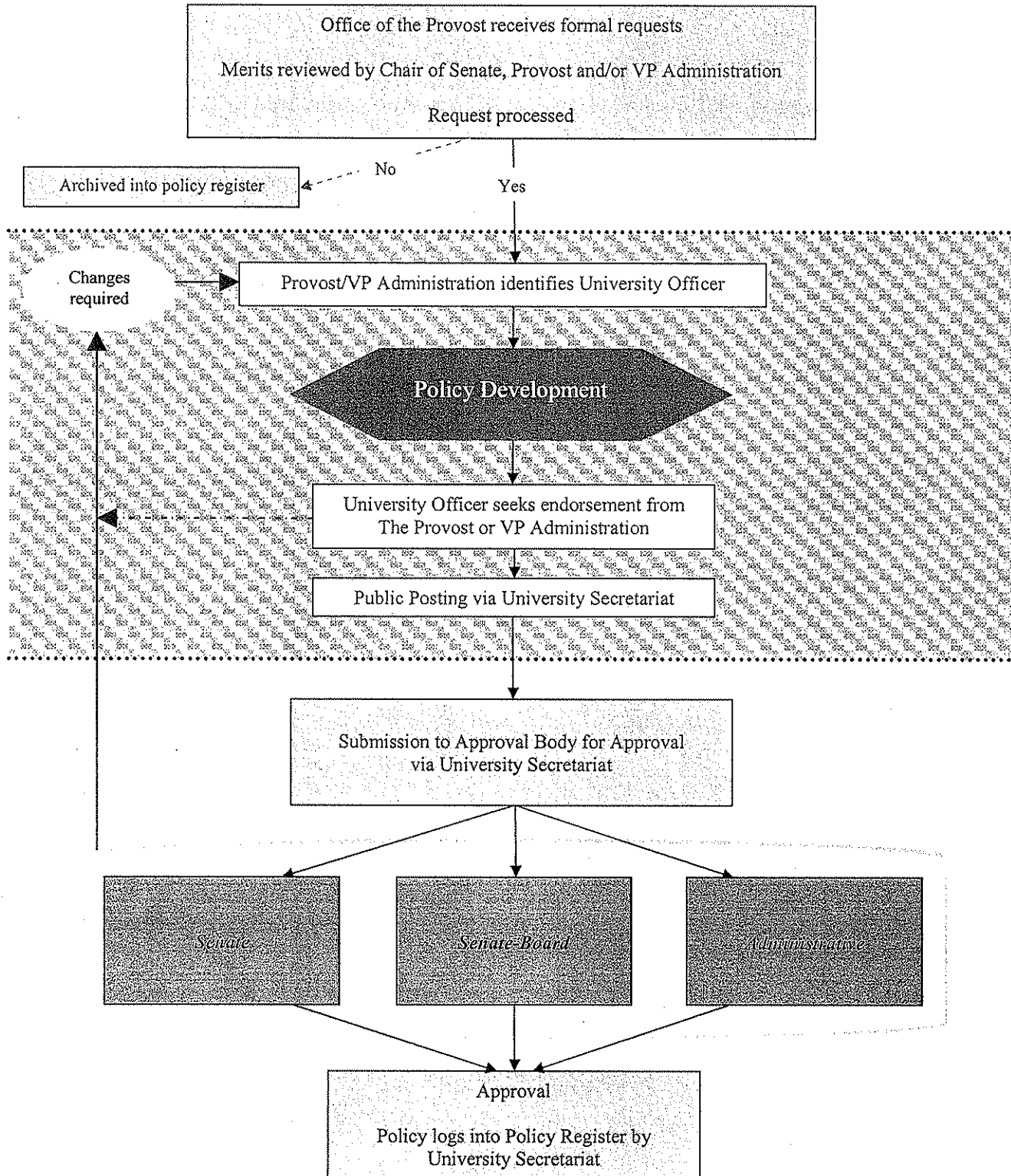
6. Once a policy has been approved by its jurisdiction head, an approved copy is forwarded to the University Secretariat. The University Secretariat will log the new/amended policy into the policy register, will be responsible for assigning a classification code to the new/amended policy, and will post it on the policy website.

Limits: *This policy protocol does not apply to policies developed by the Board of Governors in relation to its governance.*

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<sup>1</sup> University Act, R.S.B.C. c. 468 (1996), Section 35.2 (6)

# Protocol for Policy Development or Amendment (Draft)



Procedure History	
Policy No. BD 010 (E4)	Revised: 2 October 2003 21 January 2010
Approving Jurisdiction Board of Governors / Senate / President	Reviewed:
Signed By	Effective: 2 March 1988
Administrative Responsibility President	Approved: 2 March 1988

## Protocol for the Development of University Policies

### Procedures

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#### DEFINITIONS

##### POLICY DEFINITION AND ROLE:

A Policy is a concise, formal statement of principles that indicates how the University will act in a particular area of operation.

A Policy addresses broad issues and, since it includes statements of principles, should serve an organization over an extended period of time without the need for frequent review or change.

A Policy requires formal approval at the highest level of the University's Board, Senate or President's Office authority and is binding on all members of the University.

It is the role of Policy to:

- Address issues of broad concern to the University
- Translate values into operating principles and Procedures
- Ensure compliance with legal and other regulatory requirements
- Improve the management of risk
- Enhance achievement of the University's mission
- Enhance operational efficiency
- Set standards, mandate action or restraints

Policy is supported by, and implemented through, Procedures. This Policy Protocol is structured such that a Policy and its attendant Procedures will be developed jointly but as separate, linked documents. This separation, as outlined in another part of this document, will permit Procedures to be updated regularly to reflect various organizational and external changes without, necessarily, requiring review of the Policy and its underlying principles.

#### PROCEDURE DEFINITION AND ROLE

Procedures are specific steps required to implement a Policy. Procedures communicate acceptable practice, set boundaries and establish who is responsible for any required action.

Procedures, by their nature, must reflect the current organizational structure and regulatory framework of the University. Procedures will need to be reviewed and updated more frequently than Policies in order to ensure that the Procedures reflect the most current organizational structure, regulatory framework and any other relevant changes in circumstances.

### **PROCEDURES**

The Procedures that follow have been organized under the following headings:

- Policy Authority and Classification
- Office of Policy Co-ordination
- Policy Development or Amendment
- Procedures Development or Amendment
- Policy and Procedures Templates
- Policy Promulgation
- Policy Review
- Policy Compliance
- Policy Modification to Departmental Practices or for Elimination
- Legal Review
- Issues Not Addressed in Policy

### **Policy Authority and Classification**

Policies will be classified into one of four categories or jurisdictions, based on the role of each jurisdiction as determined by the University Act and other pertinent regulations:

1. Board of Governors: Policies related to Board self-governance

2. Board of Governors: Board Policies not related to self-governance
3. Senate
4. Office of the President (University Administration)

The Board of Governors and Senate will develop new and review existing Policies in accordance with the respective powers and duties of each as set out in the University Act as well as any other Policies that the University might determine are best handled by one of these bodies. The Office of the President develops Policies that fall outside of the jurisdiction of the Board of Governors and Senate.

## **Office of Policy Co-ordination**

The University will designate a function "Office of Policy Co-ordination" staffed by University personnel.

The Office will be responsible for co-ordinating the development and review of Policies and for providing overall management and promulgation of the Policies and related Procedures. More specifically, the Office will carry out the following functions:

1. Maintain the master, official record of all Policies; each official Policy will be posted online and there will be only one online version
2. Act as the University's official Policy holder; all new Policies and changes to existing Policies will be controlled through this office
3. Act as the designated office to receive "Request for New Policy or Modifications to Existing Policy" document
4. Provide advice regarding the determination of Policy classification between the jurisdictions of the Board (self-governance, others not relating to self-governance), Senate, Office of the President
5. Maintain a log to determine the status of Policy development/modification and monitor timelines to ensure that Policy issues are being handled expeditiously
6. Bring information about delays or non-action to the attention of the person with administrative responsibility for the Policy within each of the jurisdictions for their follow-up
7. Arrange distribution of draft Policies through appropriate internal media and directly to particular groups and individuals
8. Ensure that all new and revised Policies have followed the required processes including appropriate approvals and signatures within each of the respective jurisdictions
9. Serve Notice of Motion on behalf of each of the jurisdictions prior to final approval
10. Maintain a log of Policies to be reviewed and monitor the review process to ensure that action is taken

## Policy Development or Amendment

This section outlines a common set of Development/Amendment Procedures for all Policies relating to the operation of the University that are under the jurisdiction of the Board, the Senate and/or the President.

### PROTOCOL FOR POLICY DEVELOPMENT OR AMENDMENT

1. The Office of Policy Co-ordination acts as the University's body to ensure that the proper processes are followed for developing or amending Policies; the Office will also act as the official Policy holder.
2. The development of new Policies or the review of existing Policies under the three jurisdictional authorities of the University may be initiated by member(s) of the University community as befits their roles and responsibilities. Students, faculty and staff may initiate requests relating to Policies under the jurisdiction of Senate and the President. Members of the Board may initiate requests relating to Policies under the jurisdiction of the Board. Senate may also initiate requests to the Board for Policy development and review under Board jurisdiction if the proposed or existing Policy directly relates to academic matters.
3. Any request for a new Policy or review of an existing Policy must be documented on a "Request for New Policy or Modifications to Existing Policy" form, attached as Exhibit A, available from the Office of Policy Co-ordination.
4. The "Request..." form must be forwarded to the Office of Policy Co-ordination; the Office will log the form and recommend the appropriate jurisdiction for handling the request.
5. The Office of Policy Co-ordination forwards the "Request..." form to the appropriate jurisdiction head (Chair of the Board, Chair of Senate, President or their designate) for assessment. If the jurisdictional head determines that there is merit in the proposal proceeding to the next stage, he or she will sign the document, conferring official status.
6. Each jurisdiction determines the body or individual who will be responsible for sponsoring the development or review of the Policy and related Procedures (henceforth referred to as "Sponsor")
7. The Sponsor determines who will carry out the actual work of developing and writing the Policy.(henceforth referred to as "Writer")
8. The Writer should possess the skills and knowledge for this task including skills both in the development of broad Policy as well as the articulation of related Procedures; in some cases, these tasks may be split between two individuals

who, nevertheless, would work in co-ordination to ensure coherency between the Policy and Procedures documents.

9. Each Policy is developed in two separate but linked documents:
  - (A) Policy document
  - (B) Procedures document.
10. A common "Policy Template" and "Procedures Template" is used for all University Policies, regardless of jurisdiction (Policy and Procedures Templates are provided in this document as Exhibits B and C).
11. Each proposed Policy, whether new or revised, is accompanied by a document that will provide a context for the Policy or its revision including such information as: issues raised by the Policy (or its absence), history of the Policy and any changes, summary of best practices from other institutions, rationale and recommendation (Context template is attached as Exhibit D).
12. There may be instances where it is necessary to obtain a legal opinion on a proposed Policy and its related Procedures. The overseer initiates a request for a legal opinion. Authority to approve a request for a legal opinion can only be granted by the President or his designate.
13. The Sponsor reviews the draft documents and, where necessary or desirable, arranges for other jurisdictions to review the draft.

14. REVIEW PROCESSES (UNIQUE TO EACH JURISDICTION)		
POLICIES UNDER JURISDICTION OF THE BOARD	POLICIES UNDER JURISDICTION OF THE SENATE	POLICIES UNDER JURISDICTION OF THE PRESIDENT
<p>14 (a) Draft Policies and Procedures under the jurisdiction of the Board and relating to educational matters are reviewed by Senate through the Senate Standing Committee on Policy Articulation.</p> <p>14 (b) Depending on the issue addressed in the Policy and in accordance with the University Act, Senate may have the role of 'advising' or 'recommending'.</p> <p>14 (c) After Senate review, draft Policies and Procedures are reviewed by the President or delegate</p> <p>14 (d) Any comments and suggestions for alteration by Senate or the President or delegate are documented in writing and referred to the Board for their consideration.</p>	<p>14 (a) Draft Policies and Procedures under the jurisdiction of Senate are reviewed by the President.</p> <p>14 (b) Any comments and suggestions for alteration by the President are documented in writing and referred to the Senate Standing Committee on Policy Articulation for their consideration.</p>	<p>14 (a) Draft Policies and Procedures under the jurisdiction of the President and relating to educational matters are reviewed by Senate through the Senate Standing Committee on Policy Articulation</p> <p>14 (b) Any comments and suggestions from Senate are documented in writing and referred to the President for their consideration</p>

15. The Sponsor reviews the suggested changes and arranges for the preparation of a revised draft Policy and Procedures
16. Writer prepares revised draft
17. The Sponsor presents the revised draft to the appropriate jurisdiction body for their review and preliminary approval
18. While Procedures to support each Policy will be provided to each of the jurisdictions, the intent is that the jurisdictional bodies (Board, Senate, President's Office) concentrate their reviews on the principles contained within each Policy and that the accompanying Procedures be received for information but not reviewed in detail.
19. The head of the appropriate jurisdiction approves the distribution of the draft Policy and process for review and comment by the appropriate sectors of the University community

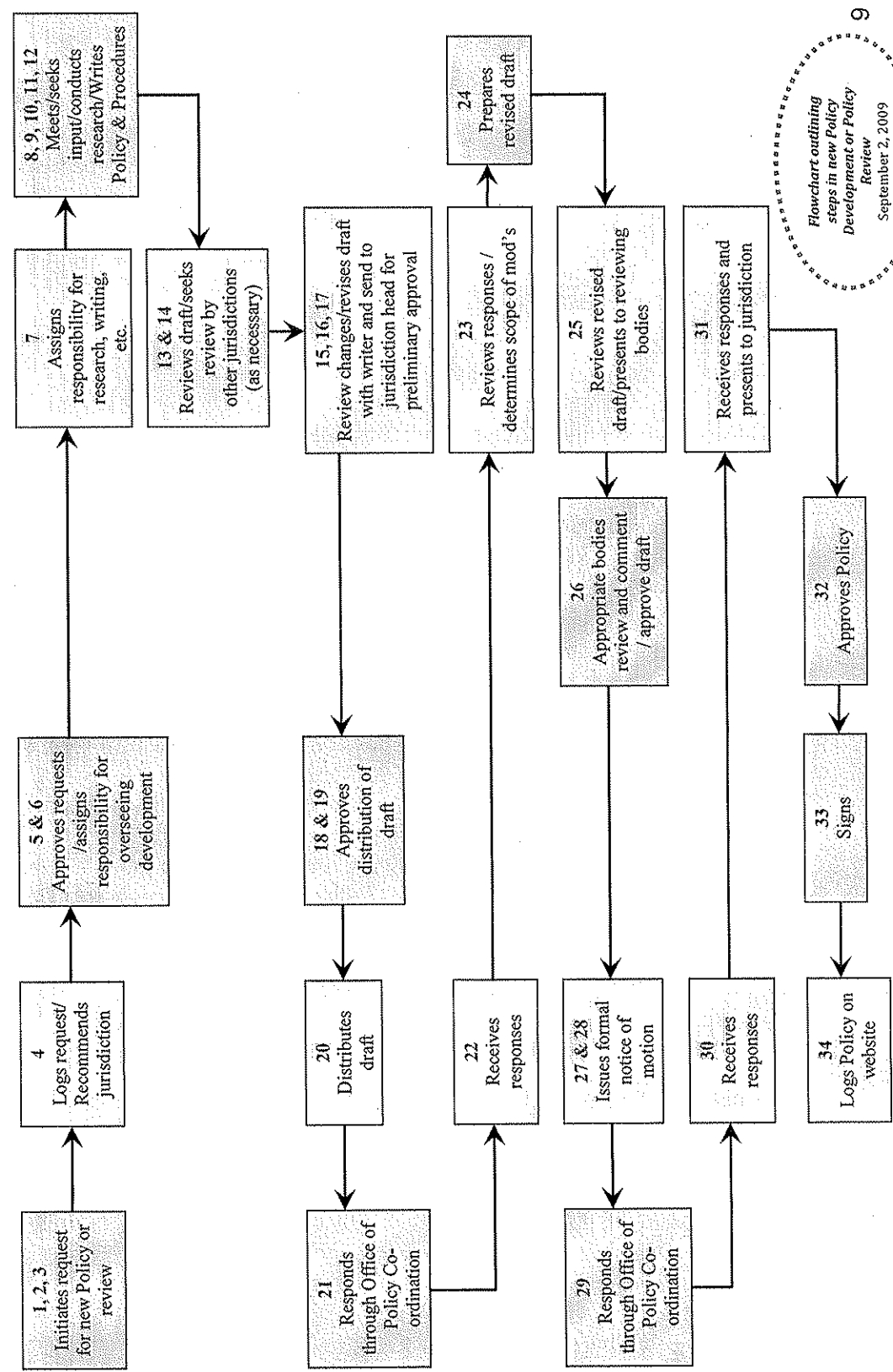
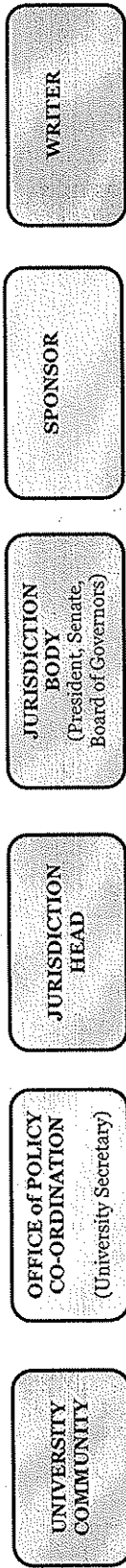
20. The Office of Policy Co-ordination ensures that draft Policies are appropriately distributed including a timeframe within which responses must be received.
21. The University community responds to the request for review and comment and forwards these to the Office of Policy Co-ordination.
22. The Office of Policy Co-ordination receives the responses from the University community and forwards to the Sponsor.
23. The Sponsor reviews the comments and determines the scope of the modifications.
24. The writer makes the appropriate changes to the Policy and/or Procedures.
25. The revised draft is presented to the appropriate jurisdiction body by the Sponsor.
26. The jurisdiction body reviews the draft and either requests further changes or approves the draft.
27. The Office of Policy Co-ordination ensures that a copy of the draft, along with a "Notice of Motion" is circulated to the University community prior to final approval by the appropriate jurisdiction body.
28. The Notice of Motion, including a link to the draft Policy, is posted electronically on the Kwantlen Communicator and myKwantlen student system with a timeframe within which responses must be received.
29. The University community responds to the Notion of Motion and comments, if any, are forwarded to the Office of Policy Co-ordination.
30. The Office of Policy Co-ordination receives the responses from the University community and forwards to the Sponsor.
31. The Sponsor reviews the comments, if any, determines the scope of the modifications and arranges for the writer to make the appropriate changes to the Policy and/or Procedures.
32. A draft Policy may be approved notwithstanding that it is amended after Notice of Motion is posted, provided the jurisdiction approving the Policy considers that the nature of the amendments are minor and do not warrant delaying of the Policy by issuing a further Notice of Motion regarding the amended Policy.
33. Once approved by the appropriate jurisdiction, the Jurisdiction Head signs off on the Policy, in a space provided for that purpose, and forwards the signed copy to the Office of Policy Co-ordination; the original signed copy remains on file in the Office of Policy Co-ordination.
34. The Office of Policy Co-ordination is responsible for ensuring that the Policy and related Procedures are officially entered in the University's master Policy document web-site.

35. The Office of Policy Co-ordination is responsible for ensuring that the final, approved Policies and related Procedures are distributed to the appropriate University bodies and individuals as outlined in a separate section of this document.

## **Procedures Development or Amendment**

The intent of this section of the Policy Protocol is to acknowledge the important role that Procedures play in ensuring the implementation of Policy but, at the same time, to recognize that the University requires a more flexible process for amending Procedures than is required for Policies. Policy development and amendment focuses on major, principle-driven issues which should endure over time. Procedures, on the other hand, need to reflect the organizational structure and processes of the University as well as external factors, and these are expected to change fairly regularly. When changes to Procedures are warranted, it should not be necessary to subject the entire Policy to a review.

1. Procedures for new Policies are normally developed at the same time as the related Policy.
2. It is expected that the review carried out by the Board, Senate or President will focus on Policy issues rather than Procedural matters.
3. It is thus expected that, while the Policy document will be reviewed fully, the related Procedures will be received but not reviewed in detail by the authorizing body.
4. The University designates the Sponsor to approve the Procedures accompanying each Policy in order to provide assurance that the Procedures are appropriate, complete and have been reviewed by the necessary parties.
5. Subsequent amendments to existing Procedures that do not impact on the Policy and its underlying principles may be made at the discretion of the appropriate person with Administrative responsibility and with the approval of the President.
6. Changes to Procedures are forwarded to the Office of Policy Co-ordination, which ensures that the change in Procedures is logged and that notice is provided to affected members of the University community.



Flowchart outlining steps in new Policy Development or Policy Review  
September 2, 2009

## **Policy and Procedures Templates**

Two templates have been developed to recognize the separation between Policies and Procedures: Exhibit B provides a revised Policy Template and Exhibit C a Procedures Template. Compared to the current template, the new templates separate Policies from Procedures; as well, several items have been added for further clarification; finally, the order of several items has been modified for further ease of reference.

## **Policy Promulgation**

The University will enhance its Policy web-site as follows:

- A search engine will be developed to search for Policies by:
  - Name
  - Number
  - Area of jurisdiction
  - Subject
  - Key words
- Each Policy will be linked to its related Procedures and other, related Policies
- Hot links will allow users to move quickly and easily among the Policy documents

Once a Policy has been approved and received in the Office of Policy Co-ordination, the Policy will be made known to the University community in a variety of ways:

- Posting in a "What's New" section of the University Policy web-site
- Notification on student and staff electronic notice boards
- Notification to specific University departments and other bodies who, in the opinion of the Office of Policy Co-ordination, should receive specific, separate notice

## **Policy Review**

The University will implement a formal, periodic review of its Policies, which will ensure that all Policies are reviewed according to the following Procedures:

- Each Policy will be reviewed at least every five years on a rotating basis, according to a schedule maintained by the Office of Policy Co-ordination
- The review will be co-ordinated through the Office of Policy Co-ordination which will provide notice to the appropriate jurisdictional body.
- A review will comprise the following steps:

- the review will be carried out under the direction of the Jurisdiction Head (normally through the position responsible for developing the original Policy) and completed within 3 months after the review date as determined by the Office of Policy Co-ordination
- the Office of Policy Co-ordination will notify the University community that the review is taking place through the “What’s New” section of the University Policy web-site, notification on student and staff electronic notice boards, notification to specific University departments; processes for contacting the reviewer and due dates for comments will be published
- the reviewer will ensure a complete review by scanning for new data, legislation, etc. that impacts on the Policy, interviewing key University personnel about how well the Policy has worked, reviewing information provided by other members of the University community, etc.
- if it is determined that a Policy revision is required then the processes outlined in the “Policy Development or Amendment” section above will be followed

If and when resources become available, consideration should be given to instituting random Policy audits to ensure that Policies are being followed, are being correctly interpreted and are being applied consistently. This function is most appropriately carried out through the office of an internal auditor, a position that has not yet been created at Kwantlen.

## **Policy Compliance**

The Procedures attached to each Policy should include a section on compliance outlining the specific consequences of non-compliance.

## **Policies for Modification to Departmental Practices or for Elimination, Consolidation, etc.**

1. The appropriate Sponsor reviews preliminary list of policies to be considered for modification into departmental practices, elimination, consolidation, etc. and adds, deletes or modifies items to be considered, as appropriate.
2. Sponsor develops draft list of Policy Modifications to be considered, identifying, by jurisdiction (Board, Senate, President):
  - Policy Number and Name
  - Background and current utilization of the Policy
  - Recommendation for action (departmental practice, elimination, consolidation, etc.) and reason for recommendation

3. Sponsor provides copy of list to Office of Policy Co-ordination (University Secretary) and Jurisdiction Head (Board Chair, Senate Chair, President).
4. Sponsor meets with each of the applicable Jurisdictions to consider the Policy modifications.
5. Other Jurisdictions may be requested to review and comment on the Policy Modifications.
6. Jurisdiction provides comments; items that should remain as policies are removed from the list.
7. Office of Policy Co-ordination issues Notice of Motion with regard to each Policy being considered for modification (e.g. elimination, consolidation, etc.) and distributes appropriate documentation to University community for comment.
8. Office of Policy Co-ordination receives comments and forwards to Sponsor.
9. Sponsor handles responses as appropriate and makes final recommendations to approving Jurisdiction.
10. Jurisdiction makes decision.
11. Sponsor proceeds with modifications as approved by approving bodies.

## **Legal Review**

The University recognizes the importance of a legal review of certain Policies presenting significant financial and/or legal risks and supports funding for a legal review where circumstances warrant such a review.

A request for a legal review can be initiated by the approving jurisdiction as outlined in a separate section of this Protocol, but must be approved by the President or his designate.

## **Issues Not Addressed In Policy**

From time to time significant issues may arise that are not addressed by any of the University's current Policies but that may have broad implications commensurate with those normally addressed by University Policy. While the issues may, ultimately, lead to the development of new Policy, it is understood that, in order to resolve issues in a timely fashion, the President, in keeping with the responsibilities of his or her position, has the authority, after appropriate consultation, to make decisions to resolve such matters.

## **RELATED POLICY**

Refer to Protocol for the Development of University Policies / Policy BD010 (E4)

	<b>Policy History</b>
Policy No.	Revised:
Approving Jurisdiction	Reviewed:
Signed By	Effective:
Administrative Responsibility	Approved:

**Request for new Policy or modifications to existing Policy form**

**NEW / MODIFICATION OF POLICY**

Request for new Policy \_\_\_\_\_

OR

Request for modification of existing Policy \_\_\_\_\_

OR

Request for modification of existing procedure \_\_\_\_\_

OR

Request for modification of existing Policy to departmental practice/elimination/consolidation, etc. \_\_\_\_\_

**RATIONALE**

*Describe why a new Policy or a modification of an existing Policy is required. Provide as much specific information as you can, discussions with others, etc.:*

**IMPLICATIONS**

*Describe the consequences of not developing a new Policy or modifying an existing Policy:*

**CONTACT INFORMATION**

<i>Name (please print)</i>	
<i>Department</i>	
<i>Phone</i>	
<i>Email</i>	
<i>Signature</i>	
<i>Date</i>	

**COMMENTS**

*Office of Policy Co-ordination*

*Jurisdiction Head*

*Jurisdiction Head (Signature)*

**EXHIBIT B**



**Policy Template**

<b>Policy History</b>	
Policy No.	Revised:
Approving Jurisdiction	Reviewed:
Signed By	Effective:
Administrative Responsibility	Approved:

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**POLICY NAME**

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**CONTEXT AND PURPOSE**

**SCOPE AND LIMITS**

**STATEMENT OF POLICY PRINCIPLES**

**DEFINITIONS**

Refer to the related Procedures document for definitions which will enhance the reader's interpretation of this Policy.

**RELATED POLICIES & LEGISLATION**

**RELATED PROCEDURES**

Refer to Procedure XXX

**EXHIBIT C**

**Procedure Template**



<b>Procedure History</b>	
Procedure No.	Revised:
Approving Jurisdiction	Reviewed:
Signed By	Effective:
Administrative Responsibility	Approved:

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**PROCEDURE NAME**

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**DEFINITIONS**

**PROCEDURES**

**RELATED POLICY**

Refer to Policy XXX

**Kwantlen**  
POLYTECHNIC  
UNIVERSITY

**Policy context**

**Policy name:**

**Policy number:**

**Approving jurisdiction (board, senate, president):**

**Context:**

If a new Policy, describe the issues that have led to the need for a Policy.  
If a modification of an existing Policy, describe the issues that have arisen to justify the need for a modification; provide a history of the development and revision of the Policy and its related Procedures

**Process:**

Describe the process that has been used to develop/modify the Policy: research internal to the organization, meetings with individuals and groups, identification of best practices, process to review, etc.

**Recommendation from person with administrative responsibility:**