

Policy History
Policy No. GV2
Approving Jurisdiction: Board of Governors, Senate
Administrative Responsibility: President
Effective Date: April 2013

Protocol for the Development of University Policies Procedure

A. DEFINITIONS

OFFICERS OF THE UNIVERSITY

“Officers” of Kwantlen Polytechnic University include the President, Vice Presidents, Associate Vice Presidents and the University Secretary – *Election Rules*

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

Policies address issues of legal or financial risk to the University. Statements relating to the operation of specific units at the University are called Guidelines and do not fall under the definition of University policies and procedures.

Policy is normally 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.

B. PROCEDURES

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

- B.1 Policy Authority and Classification
- B.2 Office of Policy Co-ordination
- B.3 Policy Development or Amendment
- B.4 Procedures Development or Amendment
- B.5 Policy Elimination or Move To Departmental Practice
- B.6 Policy and Procedures Templates
- B.7 Policy Review
- B.8 Policy Compliance
- B.9 Legal Review
- B.9-10 Issues Not Addressed in Policy

B.1 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.

B.2 Office of Policy Co-ordination

The “Office of Policy Co-ordination” is staffed by University personnel. At the present time, this is equivalent to the University Secretariat.

The Office will be responsible for coordinating the development and review of Policies. 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, and 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. Maintain an online policy register of existing Policies and their review dates, and monitor the review process to ensure that action is taken in a timely manner.
10. Attend Senate and Senate Standing Committee meetings where policy development matters are discussed.

B.3 Policy Development or Amendment

The procedural steps for policy development or amendment at the University are provided below. The subsequent diagram visually represents these steps.

1. Individuals, bodies, or groups who perceive the need for the development/amendment of a policy must submit a formal request to the University Secretariat using the formal attached forms. The President, the Provost and/or the Vice President Administration (Policy Sponsors) will review requests to determine merit.
2. If there is merit to the request, the Policy Sponsor(s) will identify an appropriate University Officer to assume full responsibility for the development/amendment of a policy. Unapproved request(s) will be logged and archived in the online policy register, which is available to the University community.

Development

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 endorsement from the Policy Sponsor(s), as appropriate.
5. The University Officer will submit the draft policy to the University Secretariat for a six (6) week online public posting period, where comments and feedback will be published online. It is during this six-week public posting period that the entire University Community, as well as the Senate Standing Committee on Policy Review and any other appropriate Senate Standing Committee(s), are expected to review the policy and provide feedback or substantive input. Subsequent drafts of the policy will include an accompanying page discussing the comments and feedback received, and will explain how the policy was modified in response to the feedback.

Review & Approval

6. The University Officer will present the draft policy to the Provost or Vice President Administration, who will submit it to the appropriate governance bodies for review and approval, via the Secretariat. The appropriate governance bodies are as follows:
 - a. Academic Policies:
 - i. Senate Standing Committee on Policy Review and any appropriate Senate Standing Committee(s)
 - ii. Senate (and Board as required by the Act)
 - b. Administrative Policies:
 - i. President's University Executive
 - ii. President (and Board as required by the Act)

If substantive changes are required at any point in the development and/or review and approval stage, the draft policy will be returned to the University Officer for further amendment. The draft policy must undergo all necessary steps as prescribed in the development, review, and approval phases before proceeding to the final approval phase.

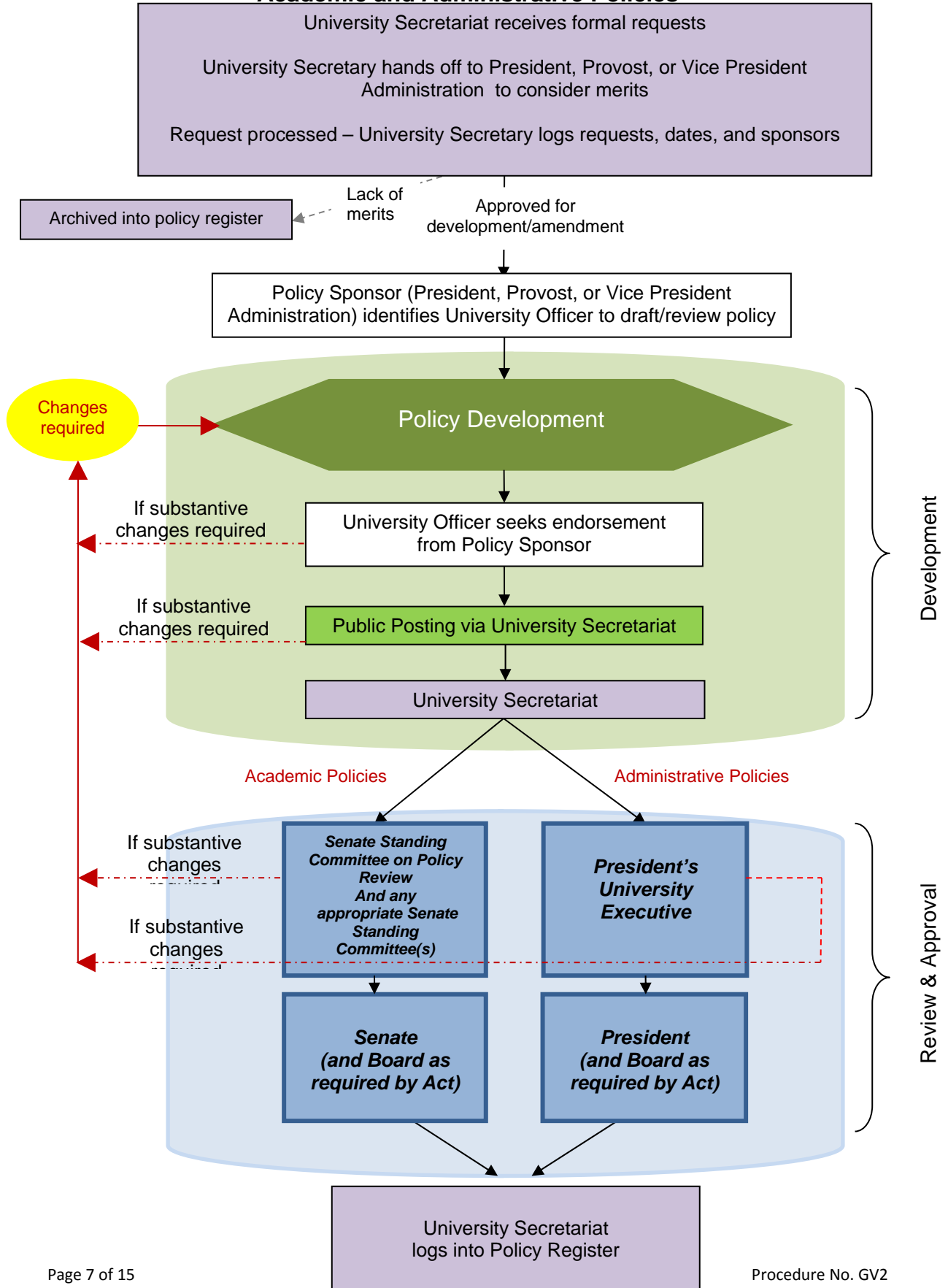
Final Approval

7. Once a policy has been approved by its appropriate governance bodies, 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. Policy development and review will be on hiatus in July and August (black-out period).

Protocol for Policy Development or Amendment of Academic and Administrative Policies



B.4 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. 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.
4. 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.
5. 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 the University community.

B.5 Policy Elimination or Move To Departmental Practice

Periodically it may be determined that a policy is no longer necessary and should be eliminated. It may also be determined that a policy is not applicable to the entire University, but pertains only to a particular department. The following process will be followed in such cases.

1. A Request for Modification for Elimination / Move to Departmental Practice form is completed and sent to the University Secretariat.
2. The University Secretary sends the Request to the President, Provost or Vice President Administration to consider its merits.
3. The University Secretary logs requests, dates and sponsors.
4. If the Request is approved, the University Secretary posts the Request, along with the rationale and policy for a two-week online public posting period, where comments and feedback will be published online.
5. A response to the comments will accompany the request to eliminate or move to departmental practice when it is forwarded to the appropriate governance body:

- a. Academic Policies:
 - i. Senate Standing Committee on Policy Review and any appropriate Senate Standing Committee(s)
 - ii. Senate (and Board as required by the Act)
 - b. Administrative Policies:
 - i. President's University Executive
 - ii. President (and Board as required by the Act)
6. Once the appropriate governance bodies have approved the elimination of a policy or its move to departmental practice , the policy is forwarded to the University Secretariat. The University Secretariat will log the elimination/move to departmental practice in the policy register and will remove the policy from the policy website.
 7. If moved to departmental practice, the department responsible for the policy will log the policy at the departmental level as part of their departmental practices.

B.6 Policy and Procedures Templates

Two templates have been developed to recognize the separation between Policies and Procedures:

- Exhibit B provides a Policy Template.
- Exhibit C provides a Procedures Template.

These templates separate Policies from Procedures.

B.7 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:

1. 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
2. The review will be co-ordinated through the Office of Policy Co-ordination which will provide notice to the appropriate University Officer.

3. A review will comprise the following steps:
 - a. the review will be carried out under the direction of the appropriate University Officer (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
 - b. the Office of Policy Co-ordination will notify the University community that the review is taking place through the University Policy web-site. Processes for contacting the reviewer and due dates for comments will be published
 - c. 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.
 - d. 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.

B.8 Policy Compliance

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

B.9 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/her designate.

B.10 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.

C. RELATED POLICY

Refer to Protocol for the Development of University Policies / [Policy BD010 \(E4\)](#)

Request Template

EXHIBIT A



Policy History
Policy No.
Approving Jurisdiction:
Administrative Responsibility:
Effective Date:

Request for New Policy OR Modification to Existing Policy OR Modification to Departmental Practice / Elimination / Consolidation, etc. FORM

NEW / MODIFICATION OF POLICY

Request for new Policy _____

OR

Request for modification of existing policy _____

OR

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

OR

Request for modification of existing Procedure _____

RATIONALE

Provide a rationale for the above request. Provide as much specific information as you can, discussions with others, etc.:

IMPLICATIONS

Describe the consequences of not taking action as described above.

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

Sponsor

ASSIGNMENT OF DEVELOPER

I assign _____ (name of developer) as the Developer of this policy.

SIGNATURE

New Policy or Change approved _____ (yes, no)

Explanation if not approved

Sponsor (Signature) _____



Policy History
Policy No.
Approving Jurisdiction:
Administrative Responsibility:
Effective Date:

Name of Policy
Policy

A. CONTEXT AND PURPOSE

B. SCOPE AND LIMITS

C. STATEMENT OF POLICY PRINCIPLES

D. DEFINITIONS - Do not put definitions in the Policy

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

E. RELATED POLICIES & LEGISLATION

F. RELATED PROCEDURES

Procedure Template



Policy History
Policy No.
Approving Jurisdiction:
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**Name of Policy
Procedure**

A. DEFINITIONS

B. PROCEDURES

C. RELATED POLICY

Refer to Policy XXX