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MEMORANDUM

ATTENTION: Senate
FROM: Dr. Jonathan Driver, VPA *pro tem*
RE: Proposed Board policy on University Policies

DATE: January 16, 2020
PAGE: 1 of 1

Policies play an important role in university governance. To be effective, SFU's policies and procedures must be current, practical and useful, readily accessible, and comply with applicable law.

A policy management framework is being proposed to provide guidance and support to members of the university community who are developing new university policies or revising existing policies. The proposed framework, as set out in the attached draft Policy and its associated procedures and related documents, provides step-by-step guidance for those involved in policy development, from initiation through to Board of Governors approval.

Our intent in establishing this framework is to bring clarity, transparency and consistency to process for developing and reviewing university policies. The framework ensures that stakeholders are consulted, that university policies are compliant with reporting, legal, and other requirements, and are regularly reviewed.

The framework also requires policy developers and approvers to consider why a new policy or amendment is needed and the benefits, risks, and the other implications associated with it including considerations of equity, diversity, and inclusion. This draft Policy and associated documents have been shared with SFU's Indigenous leadership for their recommendations on ways for policy developers and approvers to also consider the implications of new/revised policies for members of SFU's Indigenous communities.

Your feedback is most welcome as we advance toward a consistent policy management framework. The SFU community is asked to review the draft policy and related documents and submit feedback to Kim Hart at krhart@sfu.ca by Thursday February 6, 2020.

c: Kim Hart, Policy Project



Policy on University Policies and Procedures (B 10.00)

SIMON FRASER UNIVERSITY	Date	Number
Policy and Procedures	TBD	B 10.00
	Date of Last Review/Revision: n/a	Mandated Review: 2023

Policy Authority: University Secretary

Associated Procedures: *B 10.00 Procedures to Develop, Amend, Repeal and Approve University Policies* [link]; Appendix A [link]; Summary of Steps in the Process to Develop, Amend, and Repeal University Policies [link]

1.0 PREAMBLE

1.1 University Policies address matters within the jurisdiction of the Board of Governors. University Policies establish the rules by which the University has decided to govern its affairs, assign roles and responsibilities, provide guidance for the actions of members of the University Community, contribute to openness and transparency, facilitate operational continuity and consistency of decision-making, and reduce institutional risk. To be effective, University policies and their related procedures must comply with applicable law, be current, practical and useful, and readily accessible.

2.0 PURPOSE

- 2.1 The purpose of this policy is to:
- 2.1.1 Establish a consistent approach to create new and amend existing University Policies and Procedures, and to establish a procedure to develop, review, approve, amend and repeal University Policies in a consistent, collaborative and coordinated manner;
 - 2.1.2 Facilitate the writing of clear, coherent, user-friendly, accessible and effective policies and procedures; and
 - 2.1.3 Assign responsibility for developing and approving University Policies and Procedures.

3.0 SCOPE

- 3.1 This policy applies to all members of the University Community who play a role in the development, approval, maintenance, review, amendment and repeal of University Policies and Procedures.

4.0 DEFINITIONS

- 4.1 **Board** means the Board of Governors of Simon Fraser University.
- 4.2 **Editorial Amendment** means a housekeeping or minor amendment to a University Policy; it does not require Board approval and includes formatting changes, language changes to improve clarity without changing the meaning, name changes, updating of defunct policies or organizational structure, programs, or positions.
- 4.3 **Mandated Periodic Review** means the date by which a University Policy approved by the Board must undergo substantive review to determine whether any changes are needed. Where this date is not specified within the policy, it is the date established by the University Secretary.
- 4.4 **Policy Authority** means the President and Vice Chancellor, a Vice President, the University Secretary or the General Counsel who sponsors a policy that falls under their jurisdiction.
- 4.5 **Policy Gazette** means Simon Fraser University's website that serves as the repository for University Policies and Procedures and is maintained by the Office of the University Secretary.
- 4.6 **Responsible Authority** means the head of an academic or administrative unit responsible and accountable for the development, implementation, maintenance, and review of a University Policy.
- 4.7 **Substantive Amendment** means a significant amendment to a University Policy and includes: any change to the role or responsibilities assigned to an office, a unit, or a position; any change to the actions that are permitted or prohibited; any change to the rights or responsibilities of an individual; and any change to the Policy Authority. This type of amendment requires Board approval.
- 4.8 **University Community** means all students and employees of the University and all people who have a status at the University mandated by legislation or other University policies, including: research assistants, post-doctoral fellows, members of Senate and the Board of Governors, volunteers, visiting and emeritus faculty, and visiting researchers.
- 4.9 **University Policy** means an official document formally approved by the Board that establishes key requirements and responsibilities and guides or directs the actions of members of the University Community regarding a particular matter.
- 4.10 **University Procedure** means an official document approved by the Policy Authority that prescribes the method by which a University Policy will be carried out and given effect.

5.0 POLICY

5.1 General

- 5.1.1 University Policies will promote good governance, management practices, and behavior consistent with the University's core principles and advance the University's mission.
- 5.1.2 University Policies must be developed, approved, amended, reviewed or repealed pursuant to this Policy.
- 5.1.3 University Policies must be current, compliant with applicable law, and consistent with other related legal and policy authorities, and with agreements entered into by the Board.
- 5.1.4 University Policies and Procedures must be presented in a common, standardized format using the approved University Policy or Procedure Template and written with inclusive, plain language. See section 13 *Forms and Templates* for the [SFU Policy Template](#).
- 5.1.5 University Policies must be made publicly accessible electronically on the Policy Gazette and will normally be linked electronically to the associated University Procedure.

5.2 New Policies and Substantive Amendments to Existing Policies

- 5.2.1 New University Policies and substantive amendments to existing University Policies must be formally approved by the Board.
- 5.2.2 The Policy Authority is responsible for proposing new policies or amendments to existing University Policies in accordance with the processes described in *B 10.00 Procedure to Develop, Amend, Repeal and Approve University Policies*.

5.3 Editorial Amendments

- 5.3.1 Editorial amendments to University Policies do not require Board approval.
- 5.3.2 The Responsible Authority is responsible for proposing and the University Secretary is responsible for approving editorial amendments to University Policies in accordance with the processes described in *B 10.00 Procedure to Develop, Amend, Repeal and Approve University Policies*.

5.4 Repealing Policies

- 5.4.1 Repeal of a University Policy must be formally approved by the Board.
- 5.4.2 The Policy Authority is responsible for initiating the repeal of a University Policy in accordance with the processes described in *B 10.00 Procedure to Develop, Amend, Repeal and Approve University Policies*.

5.5 Development of Procedures and other documents related to University Policies

- 5.5.1 University Procedures and any revisions to them must be approved by the Policy Authority.
- 5.5.2 The Responsible Authority is responsible for developing University Procedures to give effect to the University Policy.
- 5.5.3 University Procedures should accompany a University Policy at each stage of the policy approval process.

5.6 Effective Date

- 5.6.1 A University Policy takes effect on the date it is formally approved by the Board or at a later date specified by the Board.
- 5.6.2 University Procedures take effect on the same date as the University Policy with which they are associated. If the University Procedures are subsequently reviewed and revised separately from the University Policy with which they are associated, the revised University Procedures take effect on the date specified in those procedures.
- 5.6.3 A University Policy approved by the Board prior to the effective date of this policy remains in effect until it is amended or repealed.

5.7 Mandated Periodic Review of University Policies

- 5.7.1 A University Policy must normally undergo a substantive review at least once every five years to determine whether any changes are needed but may be reviewed at any time.
- 5.7.2 The University Secretary will establish the Mandated Periodic Review date for any policy approved by the Board that does not specify a date for review.
- 5.7.3. The Policy Authority must keep University Policies current by requiring the Responsible Authority to review them in accordance with the Mandated Periodic Review date specified within the policy or as established by the University Secretary.
- 5.7.4 Procedures associated with a University Policy must be reviewed whenever the University Policy is reviewed, but may be reviewed separately at any time.

5.8 Other Policies and Agreements

- 5.8.1 Faculties, other academic units, and administrative units may establish local policies and procedures for matters within their purview, but these are always subject to and must not contradict University Policies. Where there is a contradiction, the University Policy will prevail.
- 5.8.2 Where a University Policy directly contradicts a provision in a collective agreement between the University and a union the collective agreement provision will prevail with respect to the members of the bargaining unit covered by that collective agreement.

5.8.3 In the event of a contradiction between two or more University Policies:

- a. where each policy has an interpretation section, the matter will be referred to the persons named in the interpretation sections who will jointly make a decision which shall be final;
- b. where some but not all of the policies have an interpretation section, the matter will be referred to the persons named in the interpretation sections and the President who will jointly make a decision which shall be final;
- c. where none of the policies have an interpretation section, the matter will be referred to the President who will make a decision which shall be final.

6.0 ROLES AND RESPONSIBILITIES

- 6.1 The Policy Authority is responsible for initiating University Policy development and review, for drafting proposed policies and amendments, and for developing and approving associated procedures. The Policy Authority is also responsible for initiating repeal of University Policies.
- 6.2 The University Secretary and the Governance and Nominating Committee of the Board are responsible for recommending to the Board the approval of new University Policies, the approval of substantive amendments to existing University Policies, and the repeal of University Policies.
- 6.3 The Board is responsible for approving new University Policies, substantive amendments to existing University Policies, and the repeal of University Policies.
- 6.4 The University Secretary is responsible for approving editorial amendments to University Policies and for making those amendments.
- 6.5 After a University Policy is approved by the Board the Policy Authority is responsible for implementing it through the Responsible Authority and for monitoring compliance.
- 6.6 The Office of the University Secretary is responsible for publishing University Policies and Procedures in the Policy Gazette, for removing Policies that have been repealed, for keeping the Policy Gazette current, and for maintaining related records.

7.0 RELATED LEGAL, POLICY AUTHORITIES AND AGREEMENTS

- 7.1 The legal and other University Policy authorities and agreements that may bear on the administration of this policy and may be consulted as needed include but are not limited to:
 - 7.1.1 *University Act*, R.S.B.C. 1996, c. 468 [link]
 - 7.1.2 GP 30 Interpretation Policy.

8.0 RETENTION AND DISPOSAL OF RECORDS

- 8.1 Information and records made and received to administer this policy are evidence of the University's actions to manage the development, amendment, approval, and repeal of University

Policies. Information and records must be retained and disposed of in accordance with a records retention schedule approved by the University Archivist.

9.0 POLICY REVIEW

9.1 The University Secretary will review this policy at least once every three years.

10.0 AUTHORITY

10.1 This policy is administered under the authority of the University Secretary.

11.0 INTERPRETATION

11.1 Questions of interpretation or application of this policy or its procedures shall be referred to the President and the Chair of the Board of Governors, who will jointly make a decision which shall be final.

12.0 ASSOCIATED PROCEDURES

12.1 The procedure for this policy are:

12.1.1 Procedures to Develop, Amend, Repeal and Approve University Policies [\[link\]](#);

12.1.2 Appendix A: Instructions to Initiate, Consult, Approve and Announce University Policies [\[link\]](#);

12.1.3 Summary of Steps in the Process to Develop, Amend, and Repeal University Policies [\[link\]](#).

13.0 FORMS AND TEMPLATES

13.1 The forms and templates that must be used for a University Policy and University Procedures are:

13.1.1 SFU Policy Template [\[link\]](#)

13.1.2 SFU Procedure Template [\[link\]](#)

Procedure to Develop, Amend, Repeal and Approve University Policies

SIMON FRASER UNIVERSITY Policies and Procedures	Date TBD Date of Last Review/Revision: n/a	Number B 10.00 - Procedures Mandated Review: 2023
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Policy Authority: University Secretary

Parent Policy: *B 10.00 Policy on University Policies and Procedures* [\[link\]](#)

1.0 PURPOSE

1.1 The purpose of this procedure is to describe the steps by which University Policies and Procedures are developed, reviewed, amended, repealed and approved. These steps are guided by the University's governance requirements.

2.0 DEFINITIONS

2.1 **Board** means the Board of Governors of Simon Fraser University.

2.2 **Editorial Amendment** means a housekeeping or minor amendment to a policy; it does not require Board approval and includes formatting changes, language changes to improve clarity without changing the meaning, name changes, updating of defunct policies or organizational structure, programs, or positions.

2.3 **Mandated Periodic Review** means the date by which a University Policy approved by the Board must undergo substantive review to determine whether any changes are needed. Where this date is not specified within the policy, it is the date established by the University Secretary.

2.4 **Policy Authority** means the President and Vice Chancellor, a Vice President, the University Secretary or the General Counsel who sponsors a policy that falls under their jurisdiction.

2.5 **Policy Gazette** means Simon Fraser University's website that serves as the repository for University Policies and Procedures and is maintained by the Office of the University Secretary.

- 2.6 **Responsible Authority** means the head of an academic or administrative unit responsible and accountable for the development, implementation, maintenance, and review of a University Policy.
- 2.7 **Substantive Amendment** means a significant amendment to a University Policy and includes: any change to the role or responsibilities assigned to an office, a unit, or a position; any change to the actions that are permitted or prohibited; any change to the rights or responsibilities of an individual; and any change to the Policy Authority. This type of amendment requires Board approval.
- 2.8 **University Policy** means an official document formally approved by the Board that establishes key requirements and responsibilities and guides or directs the actions of members of the University Community regarding a particular matter.
- 2.9 **University Procedure** means an official document approved by the Policy Authority that prescribes the method by which a University Policy will be carried out and given effect.
- 3.0 **PROCEDURE TO PROPOSE NEW UNIVERSITY POLICIES AND TO AMEND UNIVERSITY POLICIES THAT REQUIRE SUBSTANTIVE AMENDMENTS**
- 3.1 **Identify Need and Initiate Process**
- 3.1.1 The Responsible Authority identifies the need for a new or amended University Policy.
- 3.1.2 The Responsible Authority prepares a briefing memo to the Policy Authority, with a copy to the University Secretary and the General Counsel, that identifies, explains or comments on:
- a. why a new policy is needed or why an existing policy requires amendment;
 - b. existing University Policies that may apply to, overlap with, or impact upon the policy matter identified;
 - c. the legal and regulatory framework that may inform the policy;
 - d. the benefits and risks of introducing a new policy or amending an existing one and the implications of not doing so;
 - e. any impact on equity, diversity, and inclusiveness;
 - f. the measures designed to eliminate or to reduce any identified negative impact on equity, diversity, and inclusiveness;
 - g. the probable financial implications;
 - h. whether the new or amended policy must go to Senate, or to a Senate Committee, and whether for information or for approval;
 - i. key stakeholders;
 - j. the consultation plan;
 - k. the communications plan; and
 - l. the plan for training.
- 3.1.3 The Policy Authority considers the briefing memo and, after consulting with the University Secretary and the General Counsel, directs the Responsible Authority whether to proceed with the proposed new or amended policy.
- 3.1.4 If the Policy Authority directs the Responsible Authority to proceed, the Responsible Authority prepares the proposed new or amended draft policy and provides it to the

Policy Authority, the University Secretary, and the General Counsel for review, with the draft procedures.

3.1.5 The Policy Authority tables the briefing memo and the draft policy and procedures for discussion at a meeting of the University Executive.

3.1.6 See Appendix A [link] for detailed step-by-step instructions and considerations.

3.2 Community Consultation

3.2.1 After University Executive approval, the Policy Authority is responsible for consulting with the community about the draft policy and procedures and for determining the scope and timing of the consultation.

3.2.2 In all cases the Policy Authority submits the draft policy and procedures with a consultation message to the Office of the University Secretary to post on the Policy Gazette website for community input.

3.2.3 The Policy Authority decides in the circumstances of each case and informs the University Secretary whether consultation with key stakeholders and the university community will proceed concurrently or in sequential order.

3.2.4 The Policy Authority undertakes the consultation with key stakeholders.

3.2.5 The Office of the University Secretary posts the proposed new or amended policy on the Policy Gazette website under Draft Policies and sends the consultation message to the University community on behalf of the Policy Authority, inviting input.

3.2.6 The Responsible Authority compiles and considers the input received and prepares a post-consultation briefing memo for the Policy Authority summarizing the input received and any recommended changes to the draft policy arising from the input.

3.2.7 The Responsible Authority provides the post-consultation briefing memo to the Policy Authority, the University Secretary and the General Counsel, accompanied by a revised draft of the new or amended policy and a separate copy of that revised draft policy tracking any proposed changes.

3.2.8 See Appendix A [link] for detailed step-by-step instructions and considerations.

3.3 Approval and Dissemination

3.3.1 Following the community consultation and review by General Counsel, the Policy Authority approves the draft policy and tables it for discussion and approval at a meeting of the University Executive.

3.3.2 After University Executive approval, the Policy Authority prepares the Board submission requesting Board approval of the new or amended policy.

- 3.3.3 The Responsible Authority obtains the necessary approvals and signatures to add the draft policy to the Board agenda, with the exception of the President's signature which will be obtained by the Board Office.
- 3.3.4 The Board considers the proposed new or amended policy and decides whether to approve it.
- 3.3.5 After formal approval by the Board, the Board Office notifies the Policy Authority, Responsible Authority, University Secretary, and General Counsel.
- 3.3.6 The Responsible Authority provides the community announcement to the Office of the University Secretary.
- 3.3.7 The University Secretary assigns the new or revised policy a Policy or Revision Number. The Office of the University Secretary documents and maintains a tracking record of the policy history, posts the approved new or amended policy on the Policy Gazette website, and sends an announcement to the University community and key stakeholders informing them of the approved new or amended policy.

4.0 PROCEDURE TO MAKE EDITORIAL AMENDMENTS TO EXISTING POLICIES

4.1 Identify Need and Initiate Process

- 4.1.1 The Responsible Authority or the University Secretary identifies the need for editorial amendments to an existing University Policy.
- 4.1.2 The Responsible Authority submits a request and explanation to the University Secretary about proposed editorial amendments to a University Policy accompanied by a revised version of the University Policy showing tracked changes.

4.2 Approval and Dissemination

- 4.2.1 The University Secretary, after consulting with the Responsible Authority, approves the editorial amendments to the policy.
- 4.2.2 The Office of the University Secretary documents and maintains a tracking record of the policy history.
- 4.2.3 The Office of the University Secretary updates the policy on the Policy Gazette website and sends an announcement to the University community and, when necessary, to key stakeholders, informing them of the editorial amendments.

5.0 PROCEDURE TO REPEAL A UNIVERSITY POLICY

5.1 Identify Need and Initiate Process

- 5.1.1 The Responsible Authority identifies a University Policy to be repealed.
- 5.1.2 The Responsible Authority consults with the University Secretary about the proposed repeal.

- 5.1.3 If the University Secretary agrees with the proposed repeal, the Responsible Authority prepares a briefing memo to the Policy Authority explaining why the policy is superseded or obsolete and should be repealed.
- 5.1.4 The Policy Authority tables the briefing memo for discussion at a meeting of the University Executive.

5.2 Approval and Dissemination

- 5.2.1 After University Executive approval, the Policy Authority prepares the Board submission requesting Board approval to repeal the policy. The Board submission must be provided to the Board Office and must include a background memo, Board cover sheet and include a copy of the policy.
- 5.2.2 The Responsible Authority obtains the necessary approvals and signatures to add the policy to be repealed to the Board agenda, with the exception of the President's signature which will be obtained by the Board Office.
- 5.2.3 The Board considers the request and decides whether to approve repeal of the policy.
- 5.2.4 After formal approval by the Board, the Board Office notifies the Policy Authority, Responsible Authority, University Secretary, and General Counsel.
- 5.2.5 The Office of the University Secretary documents and maintains the tracking record of the policy history, removes the policy from the Policy Gazette website, and sends an announcement to the University community and key stakeholders informing them of the repeal.

6.0 RELATED LEGAL AND POLICY AUTHORITIES

- 6.1 The legal and other University Policy authorities and agreements that may bear on the administration of this policy and may be consulted as needed include but are not limited to:
 - a. *University Act*, R.S.B.C. 1996, c. 468 [link]
 - b. GP 30 Interpretation Policy [link]
 - b. B 10.00 Policy on University Policies and Procedures [link]
 - c. Appendix A: Instructions to Initiate, Consult, Approve and Announce University Policies [link]
 - d. Summary of Steps in the Process to Develop, Amend, and Repeal University Policies [link]

7.0 FORMS AND TEMPLATES

- 7.1 The forms and templates that must be used for University Policy and Procedures are:
 - 7.1.1 SFU Policy Template [link]

7.1.2 SFU Procedure Template [\[link\]](#)



Appendix A - Instructions to Initiate, Consult, Approve and Announce University Policies

SIMON FRASER UNIVERSITY	Date	Number
Policies and Procedures	TBD	B 10.00 - Procedures
	Date of Last Review/Revision:	Mandated Review: 2023

1.0 PURPOSE

These guidelines are intended to provide detailed step-by-step instructions to assist the Responsible Authority and the Policy Authority to move a proposed new policy, or substantive amendments to an existing University Policy, through each stage of the process.

2.0 PROCEDURE TO PROPOSE NEW UNIVERSITY POLICIES AND TO AMEND POLICIES THAT REQUIRE SUBSTANTIVE AMENDMENTS

2.1 Identify Need and Initiate Process

When the Responsible Authority has identified the need for a new or amended policy, the Responsible Authority will:

- 2.1.1 Identify which governance bodies (i.e. University Executive, Senate, Board of Governors) need to be involved in the policy development, review, and approval process and at what stage(s). If uncertain, consult with the University Secretary's Office, the Senate Assistant, and the Board Office.
- 2.1.2 Review the existing policy and any related University Policies to identify who has a vested interest in the policy and why (for example, AVPA, Deans, Chairs and Directors of academic departments, administrative managers of academic or non-academic departments, Student Services, Facilities Services, IT Services, unions, etc.)
- 2.1.3 Identify whether this is a multi-campus issue that should involve Executive Directors at SFU Surrey and SFU Vancouver.
- 2.1.4 Prepare a briefing memo that comments on all of the matters listed in section 3.1.1 of the Procedures. The briefing memo is intended to be comprehensive and thorough, so that all of the relevant considerations have been identified and addressed early in the process. This will create a more efficient and informed process at subsequent stages.

- 2.1.5 The briefing memo must identify, explain or comment on:**
- a. why a new policy is needed or why an existing policy requires amendment;
 - b. existing University Policies that may apply to, overlap with, or impact upon the policy matter identified;
 - c. the legal and regulatory framework that may inform the policy;
 - d. the benefits and risks of introducing a new policy or amending an existing one and the implications of not doing so;
 - e. any impact on equity, diversity, and inclusiveness;
 - f. the measures designed to eliminate or to reduce any identified negative impact on equity, diversity, and inclusiveness;
 - g. the probable financial implications;
 - h. whether the new or amended policy must go to Senate, or to a Senate Committee, and whether for information or for approval;
 - i. key stakeholders;
 - j. the consultation plan;
 - k. the communications plan; and
 - l. the plan for training.
- 2.1.6 Provide the briefing memo to the Policy Authority, with a copy to the University Secretary and the General Counsel, for consideration and direction.**
- 2.1.7 If directed by the Policy Authority to proceed, use the policy and procedures template posted on the Policy Gazette website to prepare a draft of the new or revised policy and its separate but associated procedures. Also prepare related documents that are needed to give effect to the policy such as guidelines, standards, forms, and templates. The draft procedures must be approved by the Policy Authority and must accompany the proposed policy at each stage of the process.**
- 2.1.8 Provide the draft policy and associated procedures to the University Secretary and to General Counsel for review and comment. Also provide a copy of the briefing memo, for context.**
- 2.1.9 Provide the draft policy and associated procedures to the Policy Authority for review and approval.**
- 2.1.10 Revise the draft policy and associated procedures and/or the briefing memo as directed by the Policy Authority. The Policy Authority will take the briefing memo and the draft policy with its associated procedures forward for discussion at a meeting of the University Executive.**
- 2.1.11 Consult the Senate Assistant regarding the Senate governance process. If the new policy and its associated procedures should go to Senate or to a Senate Committee for information or decision, submit the draft policy and procedures to the Senate Assistant as directed but not until after they have at least been initially considered and approved by the University Executive.**

2.2 Community Consultation

- 2.2.1 After the draft policy and procedures have been considered and approved by University Executive, the Policy Authority is responsible for consulting with the community including determining the scope and timing of the consultation.
- 2.2.2 In all cases, the Responsible Authority prepares the following for the Office of the University Secretary:
- a) A short consultation message to be sent out by email to the SFU community and published on the Policy Gazette website that invites community input. The consultation message should briefly explain why the proposed new or amended policy is needed, what the anticipated result of the changes will be and how it will affect the community, and include a contact name and email address for submitting input with a deadline for receipt of written input (usually 2-4 weeks after posting);
 - b) A list of key stakeholders (individuals, unions, organizations or groups) and the email addresses to which the consultation message is to be sent. If the new or revised policy needs student consultation, the Responsible Authority must coordinate with the appropriate contact in Student Services;
 - c) A copy of each of the new or revised policies in both PDF and Word format with tracked changes or a red line version. If the revisions are extensive, also provide a clean copy of the new or revised policy;
 - d) A copy of the procedures associated with the policy; and
 - e) Instructions about the sequence for notifying key stakeholders and the community about the policy consultation.
- 2.2.3 Allow 2-3 business days from receipt of the above by the Office of the University Secretary and posting on the Policy Gazette website.

2.3 Approval and Dissemination

Following community consultation, the Responsible Authority will:

- 2.3.1 Redraft the policy as necessary based on community input. If minimal input is received, the Responsible Authority may consider undertaking a second community consultation.
- 2.3.2 Prepare a post-consultation briefing memo for the Policy Authority describing the stakeholders consulted, a summary of the input received, and what input (if any) was accepted and incorporated in the draft policy.
- 2.3.3 Provide the final draft of the proposed new or amended policy and associated procedures to the University Secretary and to General Counsel for review and comment. Provide each of them with a copy of the post-consultation briefing memo, for context.
- 2.3.4 Provide the post-consultation briefing memo to the Policy Authority together with the final draft policy and associated procedures, for review and approval. The Policy

Authority will take the post-consultation briefing memo and the final draft of the proposed new or amended policy and associated procedures forward for discussion and approval at a meeting of the University Executive.

- 2.3.5 After University Executive approval, and if instructed to do so by the Senate Assistant, the Responsible Authority will, through the Policy Authority, submit the final draft of the proposed new or amended policy and associated procedures to the Senate Assistant for submission to Senate or to a Senate Committee, as required, for information or approval.
- 2.3.6 Prepare a Board submission requesting Board approval of a new or amended policy. The Board submission must be provided to the Board Assistant in the Board Office and must include a background memo, Board cover sheet and the final draft of the proposed new or amended policy and associated procedures. An amended University Policy must be presented by including both a revised version of the policy and a version of the revised policy showing tracked changes.

Please note:

- a. Amendments cannot be made to a University Policy after the Board approves it except for minor editorial and formatting changes.
 - b. The Board Office will notify the Policy Authority, Responsible Authority, University Secretary, and General Counsel of the Board's decision.
- 2.3.7 After formal approval by the Board, provide a brief community announcement to the Office of the University Secretary for distribution on behalf of the Board. The Office of the University Secretary documents and maintains a tracking record of the policy history, posts the approved new or amended policy on the Policy Gazette website, and sends an announcement to the University community and key stakeholders informing them of the approved new or amended policy on behalf of the Board.



SUMMARY OF PROCEDURAL STEPS: B 10.00 Policy on University Policies and Procedures

This document is divided into three sections:

1. steps to propose new University Policies or to amend existing University Policies that require substantive amendment;
2. steps to make editorial changes to University Policies; and
3. steps to repeal University Policies.

This summary of steps is intended to provide a quick overview of the above processes. Please read it in conjunction with SFU's B 10.00 Policy on University Policies and Procedures [link], B 10.00 Procedure to Develop, Amend, Repeal and Approve University Policies [link], and Appendix A: Instructions to Initiate, Consult, Approve and Announce University Policies [link].

The Responsible Authority should review University Policies and Procedures regularly and at minimum on the Mandated Review Date to ensure they remain relevant and compliant with legal, reporting, or other requirements. The Responsible Authority should also review University Procedures whenever technological, operational, organizational, or other changes occur, to ensure the procedures remain accurate.

SECTION 1

STEPS TO PROPOSE NEW POLICIES AND TO AMEND POLICIES THAT REQUIRE SUBSTANTIVE AMENDMENTS

Step	Activity	Who
1	Identify the need for a new policy or for substantive amendments to an existing University Policy.	Responsible Authority
2	Consult with Senate Assistant to determine whether proposed new policy or amendments to existing policy must go to Senate or to a Senate Committee, and if so, confirm whether the policy will be presented for information only or for decision. Follow instructions from the Senate Assistant about what is required, and when.	Responsible Authority
3	Prepare briefing memo of reasons for new policy (or policy amendment) and related considerations (see section 3.1.2 of Procedures for a list of items to consider).	Responsible Authority

4	Send briefing memo to Policy Authority, with a copy to the University Secretary and to the General Counsel.	Responsible Authority
5	Consider briefing memo and, in consultation with the University Secretary and General Counsel, direct Responsible Authority whether to proceed with proposal.	Policy Authority
6	Draft the new policy (or the amendments to the existing University Policy).	Responsible Authority
7	Prepare associated procedures and other related documents such as templates and guidelines.	Responsible Authority
8	Provide draft policy and procedures to the University Secretary and the General Counsel for comment. Include a copy of the briefing memo, for context.	Responsible Authority
9	Provide draft policy and procedures to the Policy Authority for approval.	Responsible Authority
10	Revise draft policy, procedures, and/or briefing memo as directed by the Policy Authority.	Responsible Authority
11	Table briefing memo and draft policy and procedures at University Executive meeting and obtain Executive approval.	Policy Authority
12	After Executive approval, provide draft policy and procedures and consultation message to University Secretary's Office.	Responsible Authority
13	Inform University Secretary whether consultation with key stakeholders and university community will proceed concurrently or sequentially.	Responsible Authority
14	Post the draft policy and procedures on SFU Policy Gazette website.	University Secretary's Office
15	Send consultation message to university community on behalf of the Policy Authority.	University Secretary's Office
16	Compile and consider community input.	Responsible Authority

17	Prepare post-consultation briefing memo and make any recommended changes to the draft policy and procedures.	Responsible Authority
18	Provide post-consultation briefing memo and revised draft policy and procedures to Policy Authority, University Secretary and General Counsel for comment.	Responsible Authority
19	Approve post-consultation revised draft policy and procedures.	Policy Authority
20	Table post consultation briefing memo and revised draft policy and procedures at University Executive meeting and obtain Executive approval.	Policy Authority
21	After approval by Executive, prepare Board submission.	Responsible Authority
22	Provide Board submission to Board Office.	Responsible Authority
23	Consider Board submission and make recommendation to Board.	University Secretary and Board Governance and Nominating Committee
24	Consider submission and recommendation; decide whether to approve the new policy (or the substantive amendments to an existing policy).	Board of Governors
25	Notify Policy Authority, Responsible Authority, University Secretary, and General Counsel about Board decision.	Board Office
26	Add the approved new policy (or amended existing policy) to SFU Policy Gazette; include link to Procedures.	University Secretary's Office
27	Send announcement to university community.	University Secretary's Office
28	Update policy history and related tracking records.	University Secretary's Office

SECTION 2

STEPS TO MAKE AN EDITORIAL AMENDMENT TO AN EXISTING UNIVERSITY POLICY

Step	Activity	Who
1	Identify the need for editorial amendment of an existing University Policy.	Responsible Authority or University Secretary
2	Prepare a request and explanation of proposed editorial amendments submit it to the University Secretary (or, if editorial amendment is initiated by University Secretary, consult with Responsible Authority).	Responsible Authority or University Secretary
3	Approve editorial amendments to a University Policy.	University Secretary
4	Update policy on SFU Policy Gazette.	University Secretary's Office
5	Send announcement to university community and notify key stakeholders if necessary.	University Secretary's Office
6	Update policy history and related tracking records.	University Secretary's Office

SECTION 3

STEPS TO REPEAL A UNIVERSITY POLICY

Step	Activity	Who
1	Identify the need to repeal a University Policy and consult with University Secretary.	Responsible Authority
2	Prepare briefing memo of reasons for repeal and send to Policy Authority.	Responsible Authority

3	Table briefing memo at University Executive meeting and obtain Executive approval.	Policy Authority
4	After approval by Executive, prepare Board submission.	Responsible Authority
5	Provide Board submission to Board Office.	Responsible Authority
6	Consider Board submission and make recommendation to Board.	University Secretary and Board Governance and Nominating Committee
7	Consider request and decide whether to repeal the University Policy.	Board of Governors
8	Notify Policy Authority, Responsible Authority, University Secretary, and General Counsel about Board decision.	Board Office
9	Remove repealed University Policy from SFU Policy Gazette.	University Secretary's Office
10	Send announcement to university community.	University Secretary's Office
11	Update policy history and related tracking records.	University Secretary's Office



[Insert Policy Title]

SIMON FRASER UNIVERSITY	Date	Number
Policy and Procedures	Date of Last Review/Revision:	Mandated Review:

Policy Authority: *[Insert here the position title of the Policy Authority]*

Associated Procedure(s): *[Insert here the number and title of the policy's corresponding procedure]*

A / AD / B / GP / I / R / S / T

Use the appropriate policy prefix according to which category this policy will likely be classified within the Policy Gazette. This is a required data element. The University Secretariat will assign the appropriate number to the policy.

Policy Title

Is a descriptive title for the policy, which clearly and succinctly communicates the primary subject matter that is dealt with by the policy.

Section Numbering

Beginning with the first relevant data element and continuing to the last data element, number each section heading and paragraph within that section sequentially using the following format:

Level One – Section Heading:	1.0 PREAMBLE
	2.0 PRINCIPLES
	3.0 PURPOSE
	4.0 Etc.
Level Two – Paragraph:	1.1, 1.2., 1.3, 1.4, etc.
Level Three – Sub-Paragraph	1.1.1, 1.2.1, 1.3.1, 1.4.1, etc.
Level Four – Sub-Sub Paragraph:	a., b., c., d., etc.
Level Five – Sub-Sub-Sub Paragraph:	i., ii., iii., iv., etc.

1.0 PREAMBLE

- 1.1 *Any preliminary contextual statements needed to introduce or establish the circumstances within which the policy is set. This is a discretionary data element.*

2.0 PRINCIPLES

- 2.1 *Statements of principle are intended to express fundamental truths or propositions that serve as the foundation for the policy rules. The principles convey the overarching culture and values that frame the policy. A policy has either a preamble or principles but not both. This is a discretionary data element.*

3.0 PURPOSE

- 3.1 *Whether narrowly defined (e.g., regulation of university trade-marks) or comprehensive (e.g., sustainability), the purpose statement sets out why the policy exists and what it is intended to achieve. Purpose and Preamble is sometimes the same thing, in which case use "Purpose". This is a required data element.*

4.0 SCOPE and JURISDICTION

- 4.1 *Scope explains the extent to which the Policy applies within the institution to its departments, functions, programs and/or activities. This is a required data element.*

5.0 DEFINITIONS

- 5.1 *Define key terms used in the policy, expressing their exact meaning to ensure they are correctly understood within the policy. This is a discretionary data element.*

6.0 POLICY

- 6.1 *Policy statements translate the broad purpose into concrete, clearly defined courses of action. They articulate major decisions the institution has made about its mandate/mission and how it will pursue them. Policies should state what the key decisions are regulating an activity, clearly and succinctly, and who is responsible for carrying out those decisions in order for the policy to be implemented effectively. This is a required data element.*

7.0 ROLES AND RESPONSIBILITIES

- 7.1 *As each policy in some way governs the institution and its activities, it is necessary also to declare who is expressly responsible for monitoring or otherwise carrying out those activities. The range of responsibilities can vary greatly depending on the kind of policy. Some policies are administered by a single person/role, while others involve committees, and the broadest charge the entire university community with shared responsibility. This is a required data element but, in the alternative, may be included instead under the procedures data element.*

8.0 REPORTING

- 8.1 *This section identifies the legislated or policy requirement to produce a report and describes who is responsible to prepare the report, how frequently, what minimum information the report is to contain and to who the report is submitted. This is a required data element if relevant but, in the alternative, may be included instead under the policy and procedures data elements.*

9.0 RELATED LEGAL, POLICY AUTHORITIES AND AGREEMENTS

- 9.1 *This section identifies other legal and policy authorities and agreements (e.g., collective agreement) related to administering this policy that should be consulted because they are interconnected. This is a required data element if relevant.*

10.0 ACCESS TO INFORMATION AND PROTECTION OF PRIVACY

- 10.1 *This section reminds those individuals invoking the policy that the information and records created under the policy are administered subject to British Columbia's Freedom of Information and Protection of Privacy Act and the University's information policies. This is a required data element if relevant (e.g., a policy governing a process that documents confidential or personal information).*

11.0 RETENTION AND DISPOSAL OF RECORDS

- 11.1 *This section identifies the authority and procedure for managing the retention and disposal of records created under the policy. This is a required data element if relevant (e.g., a policy governing an investigative or adjudicative process that creates case files).*

12.0 POLICY REVIEW

- 12.1 *This section identifies the frequency of undertaking a cyclical review of the policy. This is a required data element.*

13.0 AUTHORITY

- 13.1 *This section identifies the university executive officer with line authority for the policy and under whom the policy is administered. This is a required data element.*

14.0 INTERPRETATION

- 14.1 *This section identifies the executive officer(s) to whom questions of interpretation or application of the policy and its procedures are directed and whose decision is final. This is a required data element.*

15.0 ASSOCIATED PROCEDURES

- 14.1 *This section identifies by title a list of the procedural documents associated with this policy and are each a hyperlink to the related material. This is a required data element when there are associated procedures.*

Include by providing hyperlinks to related policy documents:

PROCEDURE (separate linked document)

Procedure and its related data elements (see below) are used for information that is lengthy or liable to change more frequently than the policy itself. This section describes the sequence of actions that implement the policy, with detailed step-by-step instructions. It includes any procedures named in the policy and required to carry out the policy. Procedures should state clearly and succinctly how the persons responsible are to carry out the policy decisions in order for the policy to be implemented effectively. Separate procedures can be written for each role that has distinct responsibilities under a policy. This is a required data element.

Generally speaking, the following types of policy documents are used when policy and procedure are complicated and more detailed instruction is needed to support the effective implementation of the policy.

APPENDIX (A, B, C...AA, BB, CC...)

Information linked to a policy and procedure that includes detailed instructions describing how to apply a specific point of policy that may differ according to the circumstances (e.g., the application of fair dealing in a variety of situations) and the specific assignment of roles and responsibilities established in the policy (e.g., an advisory committee's terms of reference); typically used for information that is lengthy or liable to change more frequently than the policy itself as a result of experience, legislative change, legal precedent or other circumstance. Standardize the labelling of Appendices using capital letters. This is a discretionary data element.

SCHEDULE (A, B, C...AA, BB, CC...)

Information linked to a policy and procedure that sets out in detail a specific point referred to in the policy (e.g., identifying organizations that do and do not fall within the scope of the policy); typically used to increase certainty and avoid misunderstanding, for information that is lengthy or liable to change more frequently than the policy itself. Standardize the labelling of Schedules using capital letters. This is a discretionary data element.

STANDARD

Information linked to a policy and procedure that provides criteria for use in situations that require the exercise of discretion and judgment (e.g. if x is the case, do y; but is x the case?). Standards supply "rules of thumb", factors to consider, etc. to support sound and consistent decision-making in the context of the policy. This is a discretionary data element.

GUIDELINE

Information linked to a policy and procedure that sets out a policy in a more general narrative discussion, typically aimed at an external audience (e.g., to provide an overview, explain its rationale or impact, indicate options and resources available to users). This is a discretionary data element.

FORMS AND TEMPLATES

Information linked to a policy and procedure. Forms provide a standardized format for collecting the same information during the course of the procedures. Templates provide a standardized format for communicating information during the course of the procedures. Templates function as "boilerplate" texts that can be adapted to particular circumstances as required (e.g., letter, agreement, report). This is a discretionary data element.



[Insert Procedure Title]

SIMON FRASER UNIVERSITY

Date

Number

Policy and Procedures

**Date of Last
Review/Revision:**

**Mandated
Review:**

Policy Authority: *[Insert here the position title of the Policy Authority]*

Parent Policy: *[Insert here the number and title of the procedure's parent policy]*

A / AD / B / GP / I / R / S / T

Use the appropriate prefix that corresponds to the category of the policy under which this procedure falls within the Policy Gazette. This is a required data element. The University Secretariat will assign the appropriate number to the procedure.

Procedure Title

Is a descriptive title for the policy, which clearly and succinctly communicates the primary subject matter that is dealt with by the policy.

Section Numbering

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- Level Four – Sub-Sub Paragraph: a., b., c., d., etc.
- Level Five – Sub-Sub-Sub Paragraph: i., ii., iii., iv., etc.

1.0 PURPOSE

- 1.1 *Whether narrowly defined (e.g., regulation of university trade-marks) or comprehensive (e.g., sustainability), the purpose statement sets out why the procedure exists and what it is intended to achieve. This is a required data element.*

2.0 DEFINITIONS

- 2.1 *Define key terms used in the procedure, expressing their exact meaning to ensure they are correctly understood within the procedure. This is a discretionary data element.*

3.0 PROCEDURE

- 3.1 *Procedure and its related data elements (see below) are used for information that is lengthy or liable to change more frequently than the policy itself. This section describes the sequence of actions that implement the policy, with detailed step-by-step instructions. It includes any procedures named in the policy and required to carry out the policy. Procedures should state clearly and succinctly how the persons responsible are to carry out the policy decisions in order for the policy to be implemented effectively. Separate procedures can be written for each role that has distinct responsibilities under a policy. This is a required data element.*

4.0 RELATED LEGAL, POLICY AUTHORITIES AND AGREEMENTS

- 4.1 *This section identifies other legal and policy authorities related to administering this procedure that should be consulted because they are interconnected. This is a required data element if relevant.*

Generally speaking, the following types of policy documents are used when policy and procedure are complicated and more detailed instruction is needed to support the effective implementation of the policy.

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