

## Developing Policies and Procedures, Procedure for

<b>Classification</b> Governance	<b>Table of Contents</b> 1 Purpose ..... 1 2 Scope ..... 1 3 Definitions ..... 1 4 Procedure ..... 2 5 Parent Policy..... 4 6 Related Guidelines/Forms ..... 4 7 History ..... 4
<b>Approval Authority</b> General Counsel	
<b>Implementation Authority</b> University Policy Coordinator	
<b>Effective Date</b> October 20, 2005	
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- 1 Purpose** The purpose of this Procedure is to define the steps by which Policies and Procedures are developed and revised.
- 2 Scope** This Procedure applies to the development and revision of University Policies and Procedures.
- 3 Definitions** In this Procedure:
- a) “Approval Authority” means the individual or entity with the authority to approve a University Policy or University Procedure.
  - b) “Drafting Team” means the group, comprised of the Implementation Authority or their delegate and a member of University Legal Services – Policy Office, responsible for drafting or revising a University Policy or University Procedure.
  - c) “ELT” means the Executive Leadership Team which is comprised of the President, Vice-Presidents and General Counsel.
  - d) “ELT Ops” means the leadership team comprised of the Vice-Presidents, the General Counsel, the University Secretary, and other employees of the University who, at the relevant time, are designated as members of ELT Ops.
  - e) “Implementation Authority” means the most senior administrator with responsibility for the matter that is the subject of the approved or proposed University Policy or University Procedure.
  - f) “PDP” means the Policy/Procedure Development Plan, as approved by ELT Ops.
  - g) “Policy” means a statement that regulates University activities, operations or structures and:

- i. establishes how the University conducts one or more aspects of its business; or
  - ii. sets out how the University expects members of the University Community to conduct themselves generally or in particular circumstances; or
  - iii. sets University objectives or direction in order to establish a framework for University decisions or actions; or
  - iv. deals with compliance with laws, court orders, government policies or directives, or requirements of funders.
- h) “Procedure” means the statement of processes required to implement a Policy.
- i) “University” means the University of Calgary.
- j) “University Community” means persons associated with the University and includes:
- i. members of the Board;
  - ii. members of the Senate of the University;
  - iii. employees, including visiting faculty;
  - iv. researchers conducting research at or under the auspices of the University;
  - v. volunteers;
  - vi. fellows, trainees and postdoctoral appointees;
  - vii. students; and
  - viii. others who are performing activities or providing goods or services at or under the auspices of the University, including consultants, vendors, and contractors.
- k) “University Policies” means Policies that apply to members of the University Community in general or are associated with multiple faculties, schools, departments or units.
- l) “University Policies and Procedures” means University Policies and University Procedures collectively.
- m) “University Procedures” means Procedures that relate to a University Policy.

## 4 Procedure

### Initiating the Process

- 4.1** The Implementation Authority for a University Policy or University Procedure, in conjunction with University Legal Services, is responsible for identifying when a new or revised University Policy or University Procedure is required or desirable.
- 4.2** The Implementation Authority will initiate the University Policy or University Procedure development or revision process by drafting a proposed PDP.
- 4.3** The proposed PDP will provide details with respect to the following:
- a) the reasons for a new or revised University Policy or University Procedure;
  - b) the impact on operations including budget implications if any and potential source(s) of funding;
  - c) the Approval Authority;
  - d) the names of individuals on the proposed drafting team;
  - e) the consultation process including proposed timeline for consultation and proposed groups for consultation;
  - f) the communication strategy; and
  - g) a training plan if required.
- 4.4** The extent and duration of the consultation process will vary depending on a number of factors including:

- a) the primary constituency for the University Policy or University Procedure;
  - b) the subject matter;
  - c) relevant external constraints such as compliance with laws, court orders, governmental policies or directives, or requirements of funders; and
  - d) timing including consideration of holidays, the appropriateness of a 30 day consultation process and external deadlines.
- 4.5** The Implementation Authority will submit the proposed PDP to University Legal Services – Policy Office which will review it for accuracy and completeness and, in consultation with the Implementation Authority, will revise the proposed PDP as required.
- 4.6** University Legal Services – Policy Office will submit the proposed PDP to ELT Ops for review. ELT Ops will review the proposed PDP considering, in particular, the reasons for the new or revised University Policy or University Procedure, the impact on operations and, considering 4.4 above, the appropriateness of the proposed consultation process.
- 4.7** ELT Ops may:
- a) approve the proposed PDP, with or without revisions, and authorize the Implementation Authority and Legal Services – Policy Office to proceed with drafting the University Policy or University Procedure in accordance with the PDP; or
  - b) return the proposed PDP to the Implementation Authority for reconsideration.

#### **Drafting a Policy or Procedure**

- 4.8** The Drafting Team will draft a new or revised University Policy or University Procedure in accordance with the PDP.
- 4.9** University Legal Services – Policy Office will circulate the draft University Policy or University Procedure pursuant to the consultation process described in the PDP and provide feedback to the Drafting Team.

#### **Approving a Policy or Procedure**

- 4.10** Once the Drafting Team has finalized a draft University Policy or University Procedure, University Legal Services - Policy Office will submit the draft to ELT.
- 4.11** ELT will review the draft University Policy or University Procedure in light of the PDP and may:
- a) direct University Legal Services - Policy Office to forward the draft University Policy or University Procedure (with or without minor revisions) to the Approval Authority for the University Policy or University Procedure for final approval; or
  - b) determine that the draft University Policy or University Procedure is not consistent with the PDP or does not comply with relevant external constraints such as laws, court orders, governmental policies or directives, or requirements of funders and direct University Legal Services - Policy Office to forward the draft University Policy or University Procedure to the Drafting Team with ELT's comments for consideration.
- 4.12** If satisfied with the final draft of the University Policy or University Procedure, the Approval Authority for the University Policy or University Procedure will approve the

University Policy or University Procedure, establish the effective date, and direct University Legal Services - Policy Office to publish the University Policy or University Procedure.

- 4.13** If the Approval Authority for a University Policy or University procedure does not approve the final draft of the University Policy or University Procedure, the Approval Authority will return the final draft of the University Policy or University Procedure, together with comments, to the Implementation Authority for reconsideration.

**Implementing the Policy or Procedure**

- 4.14** University Legal Services – Policy Office will publish the University Policy or University Procedure as instructed by the Approval Authority.
- 4.15** The Implementation Authority will ensure that the communications strategy and the training plan (if any) for the approved University Policy or University Procedure as set out in the PDP are carried out.

**5 Parent Policy** [Establishing Policies and Procedures, Policy on](#)

**6 Related Guidelines/Forms** [Policy/Procedure Development Plan \(PDP\)](#)

<b>7 History</b>	October 20, 2005	Approved and Effective.
	January 20, 2011	Revised.
	October 18, 2013	Revised.
	January 1, 2020	Editorial Revision. Updated format and links.