

Vancouver Island University

**Protocol
for
Policies and Procedures**



**VANCOUVER ISLAND
UNIVERSITY**

**Prepared by
Office of the University Secretariat**

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PROTOCOL for POLICIES and PROCEDURES

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INTRODUCTION

OVERVIEW

The “*Protocol for Policy and Procedures*” describes the work of the Office of the University Secretariat in processing the development and review of policy and procedures at Vancouver Island University. The process is consistent with the values of transparency and consultation, and reflects the powers and duties of the Board of Governors, Senate, and the President as provided by the University Act.

This Policy/Procedure Protocol was developed in order to provide students, faculty, staff, Board members, Senators, and others with a set of guidelines for developing policy that will assist in ensuring compliance with legal and other regulatory requirements, managing risk, achieving the University’s mission, enhancing operational efficiencies and setting appropriate standards and restraints. It also provides for a coordinated and systematic approach to the development and review of policy and procedure development at Vancouver Island University.

WHAT IS A POLICY?

A Policy is a concise, formal statement of principles that indicates how the University will act in a particular area of operation. It 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 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; and,
- Set standards, mandate action or restraints.

Policy is supported by, and implemented through procedures. The Policy and Procedure Protocol is structured such that a policy and its attendant procedures will be developed jointly but as separate, linked documents. This separation 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.

Although the Policy and Procedure Protocol does not specifically address process for Bylaws, similar principles and guidelines would apply in developing and reviewing Bylaws for the Board and Senate.

WHAT IS A PROCEDURE?

A procedure outlines the specific steps required for implementation of 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 policy in order to ensure that the procedures reflect the most current organizational structure, regulatory framework and any other relevant changes in circumstances.

POLICY AUTHORIZATION AND CLASSIFICATION

Policy has been classified into one of three categories or jurisdictions, based on the role of each jurisdiction as determined by the University Act and other pertinent regulations:

- “A” Policies Educational policies approved by the Board, requiring advice from Senate;
- “B” Policies Educational policies approved by Senate; and,
- “C” Policies Institutional Policies approved by the Board.

The Board of Governors and Senate will develop new, and review existing, policy and procedures in accordance with the respective powers and duties 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.

Consistent with [Policy 11.01](#) – Instruments of Regulation – the authority for policy, procedures (and bylaws), and the responsibility for enactment or implementation of these instruments, are summarized as follows:

INSTRUMENT	AUTHORITY	RESPONSIBILITY FOR ENACTMENT
University Act	Provincial Government	Board/Senate/President/University Secretary
Other Legislation	Federal and Provincial	Board/Senate/President/University Secretary
Bylaws	Board / Senate	Board/Senate/President/University Secretary/Secretary of Senate
Policy	Board / Senate	Executive/University Secretary/Secretary of Senate
Procedures	Board / Senate	Administration/University Secretary/Secretary of Senate

SUMMARY and CONTACT INFORMATION

The Policy and Procedure Protocol document provides detailed explanations and steps on how policy and procedures are developed and/or reviewed for both the Board and Senate. Attached to the Policy and Procedure Protocol document are appendices that include templates for use in developing policies and procedures, along with an Impact Statement form. All members of the community are asked to reference these templates, available on the [Policies and Procedure webpage](#), when developing or reviewing policies or procedures.

In addition, the webpage includes a [Tool Kit](#) that provides additional information as follows:

- Glossary and Style Book;
- Tips for Writing Policies and Procedures; and,
- Protocol document for Policies and Procedures.

For further information please contact:

- the University Secretary/Senior Policy Advisor at 250-740-6564, or email: diny.vanbeers@viu.ca,
- the Office of the University Secretary, Administrative Assistant at 250-753-3245 Local 2820, or email: sharen.malone@viu.ca.

DEFINITIONS

“A” Policy	<p>Educational policy approved by the Board, requiring advice from Senate.</p> <p>A policy/procedure shared <i>for advice</i>. A determination that there is some direct relevance of the policy/procedure to the group being asked for advice, and there is legislation [Section 35.2(6) of the University Act] that directs such input is to be sought. When input is not integrated by the holder of the policy/procedure then a rationale must be provided. The authority to develop or modify rests with the Board and is actioned by a proponent.</p>
“B” Policy	<p>Educational policy approved by Senate.</p> <p>The authority to develop or modify a policy/procedure rests with Senate, and is generally actioned by a proponent (Standing Committee, Executive or delegate).</p>
“C” Policy	<p>Institutional policy approved by the Board</p> <p>A policy/procedure intended to provide for the efficient operation of the University that may be developed in order to provide clear direction to employees of the University.</p> <ol style="list-style-type: none">i. A policy/procedure shared for information – a particular committee or individual can make a decision to respond, or not, to the policy/procedure through the holder of the policy/procedure.ii. A policy/procedure shared for review and a determination that there is some direct relevance of the policy/procedure to the group being asked to review – a response is warranted to the holder of the policy/procedure.
Administrative Responsibility	<p>The administrator responsible for the respective policy and procedure based on area of responsibility, consistent with the organizational structure. Normally, this individual is the proponent of a policy/procedure.</p>
Departmental Practice	<p>A Departmental Practice is developed by an individual University department and defines the standard practices used to manage issues within the department.</p>
Executive Responsibility	<p>The Executive member responsible for the respective policy and procedure based on area of responsibility, consistent with the organizational structure.</p>

Housekeeping Changes	<p>Changes to existing policies and procedures that do not change the content may be considered housekeeping in nature, and may include the following:</p> <ul style="list-style-type: none"> • department name changes • review date changes • job titles • spelling and grammar changes <p>Housekeeping changes to Board policies and procedures may be approved at a single Regular Board meeting, providing there is unanimous agreement.</p> <p>Housekeeping changes to Senate policies and procedures go through the regular Senate Policy Approval Process (see Section J).</p>
Impact Statement	<p>A briefing document that proposes a new policy/procedure or major revisions to an existing policy/procedure. The document describes the background, justification, and the likely impact of the new or revised policy/procedure. It is presented by the proponent to the various review committees. The proponent is responsible for “championing” or “shepherding” the policy/procedure throughout the review process.</p>
Modifications	<p>Modifications to existing policies and procedures include revisions to content and/or rescissions (deletions) of text or the policy/procedure in its entirety.</p>
Policy	<p>A policy is a formal statement of principles which indicates how the University will act in a particular situation. A policy addresses broad issues and, since it includes a statement of principles, should serve an organization over an extended period of time without the need for frequent review or change.</p>
Procedures	<p>Procedures define the manner in which a policy is implemented. Procedures tend 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.</p>
Proponent	<p>The person who propounds, or puts forward, a policy. Normally, the administrator responsible is the proponent; however, in some circumstances a committee chair may serve as the proponent.</p>
Secretariat	<p>The Office of the University Secretariat has responsibility for coordinating and managing the development and review of policies and procedures.</p>
University Community	<p>All employees and students of Vancouver Island University.</p>

PROTOCOL for POLICIES and PROCEDURES

A. STATEMENT

Development and approval of policies and procedures at Vancouver Island University (VIU) is intended to be an inclusive and consultative process. Interested parties will be consulted throughout the development and approval process. Policy and procedure development and approval will be consistent with the powers and duties of the Board of Governors and Senate as provided by the University Act (the Act).

Official copies of VIU policies and procedures are published on the institutional [website](#). The [Policies and Procedure webpage](#), which serves as the official Policies and Procedures Manual, lists all policies and procedures approved by the Board of Governors or Senate in accordance with the University Act, which are grouped by the authority responsible for each respective policy and procedure. The VIU community will be informed of new and modified policies and procedures.

B. SCOPE AND LIMITS

This Protocol document governs the development and review of all policies and procedures relating to the operation of the University under the jurisdiction of the Board, Senate, and the President.

This Protocol document does not apply to Departmental Practices developed by individual departments to guide the management of issues within their particular jurisdiction and control.

C. CLASSIFICATIONS

There are three classifications of policies and procedures at Vancouver Island University as follows:

“A” Policies – Educational policies approved by the Board, requiring advice from Senate

“B” Policies – Educational policies approved by Senate

“C” Policies – Institutional policies approved by the Board

D. REVIEWS

1. All policies and procedures will include a ‘Next Review’ date no later than five years after the last date of approval, or the last review, as the case may be.

2. Exceptions to the five-year cycle are those policies and procedures with highly detailed, time sensitive information, and where legislation, bylaws, policies, or other statutory requirements stipulate the timeframe for the review.
3. The Board of Governors, Senate, President's Council, Provost's Council, or the Administration and Finance (AFC) Council may, at any time, initiate a review of any policies and procedures.
4. The Office of the University Secretariat will refer policies and procedures that are due for review to the Administrator responsible as identified in the policy/procedure.
5. Once a review has been initiated, the regular Policy Approval Process will be implemented as required (see Section J).

E. RESPONSIBILITIES

1. It is the responsibility of the Office of the University Secretariat to maintain the Policy and Procedure Manual on VIU's website and inform the VIU community of any modifications and updates.

In order to maintain comprehensive and easily retrievable documentation, all correspondence, and records on policy and procedure development will be filed with the University Secretariat.

2. Administrators are responsible for the dissemination of policy and procedure information and making the information accessible to staff. They are also responsible for ensuring that the policies and procedures are appropriately communicated and applied.
3. It is the responsibility of faculty and staff to familiarize themselves with the contents of the Policy and Procedure Manual and conduct themselves accordingly.

F. COMMUNICATIONS

Approved policies and procedures are posted in the Policy and Procedure Manual (<http://www.viu.ca/policies/>) on VIU's website. The VIU community will be informed of new or modified policies and procedures.

Education and the requirement for mandatory institutional training regarding the implementation of a policy or procedure is the responsibility of the Proponent and the relevant Department.

G. EXCEPTIONS

Under exceptional circumstances, the President may approve a new policy/procedure, or modifications to an existing policy/procedure, on an interim basis until such time as

the policy or procedure has been processed through the Policy Approval Process (see Section J).

H. POLICY AND PROCEDURE COORDINATION

The Office of the University Secretariat has responsibility for coordinating and managing the development and review of policies and procedures. More specifically, the Office will carry out the following functions:

1. Maintain the master, official record of all policies and procedures. The official copy and relevant attachments of each policy and procedure will be posted online.
2. Act as the University's official policy and procedure holder. All new policies and procedures and modifications to existing policies and procedures will be managed through the Secretariat.
3. Act as the designated office to receive the Impact Statement (see Appendix A).
4. Provide advice regarding the determination of policy/procedure classification between the jurisdictions of the Board, Senate, and Office of the President.
5. Maintain a log to determine and track the status of policy and procedure development/modification and monitor timelines to ensure that policy/procedure issues are being handled expeditiously.
6. Bring information about delays or non-action to the attention of the Administrator responsible for the policy/procedure for his or her follow-up.
7. Arrange distribution of draft policies/procedures to particular groups and individuals as required as part of the review process.
8. Maintain the Policies and Procedures Draft webpage.
9. Ensure that all new and revised policies and procedures have followed the appropriate review process.
10. Maintain a log of policies and procedures scheduled for review and monitor the review process.
11. Maintain and ensure accuracy of the Policies and Procedures webpage.

I. GUIDELINES TO ASSIST IN THE DEVELOPMENT OR MODIFICATION OF POLICIES AND PROCEDURES

The following guidelines have been prepared to guide members of the University community in the development of its policies and procedures:

1. Policies and procedures need to be congruent with the mission, values, and goals of the University and consistent with the legal and internal powers of the Board, Senate and Administration of the University.
2. The development of new policies and procedures, or the modification of existing policies and procedures, may be initiated by member(s) of the University community as befits their roles and responsibilities including the Board and Senate, consistent with the Act.
3. The writing of a policy/procedure should be undertaken by the individual or body that is most knowledgeable about the issues addressed in the policy/procedure.
4. Any request for a new policy/procedure or modifications to an existing policy/procedure shall be documented on an Impact Statement, attached as Appendix A and available online in the Policies and Procedures [Tool Kit](#).
5. A “Policy Template” or “Procedures Template” is used for all University policies and procedures, regardless of jurisdiction (Policy and Procedure Templates are included in this document as Appendices B and C, and are also available online in the Policies and Procedures [Tool Kit](#)).
6. The Impact Statement is forwarded to the Office of the University Secretariat. The Office will log the form and recommend the appropriate classification and review process. A copy of the Impact Statement will accompany all documentation.
7. This Policy and Procedure Protocol is structured such that a policy and its supporting procedures will be developed jointly but as separate, linked documents.
8. The proponent will accompany the policy/procedure throughout the review and approval process to provide clarity as required.
9. There may be instances where it is necessary to obtain a legal opinion on a proposed policy and its related procedures. The University Secretary will initiate a request for legal opinion as required.

J. POLICY AND PROCEDURE REVIEW AND APPROVAL PROCESS

The review process for all policies and procedures normally consists of three phases, within each of the three classifications of policy (A, B, and C):

PHASE I: Preliminary review by Administrative groups

PHASE II: Senate review

PHASE III: Board review

1. Process for Review of “A” Policies and Procedures. Board policies and procedures requiring Senate Advice (see Appendix D).

Definition of “A” Policies and Procedures:

A sharing of a policy and procedure for **advice**. A determination that there is some direct relevance of the policy/procedure to the group being asked for advice, and there is legislation (Section 35.2(6) of the University Act) that directs such input is to be sought. When input is not integrated by the holder of the policy/procedure then a rationale must be provided. The authority to develop or modify rests with the Board and is actioned by a proponent.

PHASE I Preliminary review by Administrative Groups

- 1.1 Proponent liaises with the Office of the University Secretariat to begin review and approval process.
 - 1.1.1 Proponent will accompany the policy/procedure throughout the review and approval process to provide clarity as required.
- 1.2 Policy Development Working Group (PDWG) meets for preliminary review.
- 1.3 Draft policy/procedure is posted on the “draft” webpage and updated as required. Review process initiated.
- 1.4 Senior Management Group (SMG), as required, to review and provide feedback, as required.
- 1.5 Provost’s Council as required, to review and provide feedback, as required.
- 1.6 Administrative and Finance Committee (AFC) as required, to review and provide feedback, as required.

PHASE II Senate Review Process

- 1.7 Board must seek advice and Senate must provide advice.

- 1.8 Policy/procedure referred to the Senate Governance Practices Committee (GPC) for review.
- 1.9 Policy/procedure referred to appropriate Standing Committee(s) by the GPC as required.
- 1.10 GPC to recommend to Senate.
- 1.11 Senate to advise Board in accordance with Section 35.2(6) of the University Act.
 - 1.11.1 As required, Provost's Council and AFC to review Senate advice. Redrafting may occur at this point.
- 1.12 Broader distribution and sharing for information when appropriate.

PHASE III Board Review Process

- 1.13 Policy/procedure to the Board Policy Development and Review Committee (PDRC) for review.
 - 1.13.1 PDRC recommends to the Board.
 - 1.13.2 Board to respond to Senate if advice has not been accepted.
- 1.14 Policy/procedure to the Board for First Reading and Notice of Motion.
 - 1.14.1 Housekeeping changes only – Policy/procedure receives Single Reading and Final Approval in accordance with VIU Policy 11.07.
- 1.15 University Community has an opportunity for review and input prior to Second and Final Reading.
- 1.16 Board gives Second Reading and Final Approval.
- 1.17 Draft policy/procedure removed from "draft" webpage and approved policy/procedure posted on the official Policies and Procedures webpage.

**2. Process for Review of “B” Policies and Procedures.
Policies and Procedures coming under the auspices of Senate (see Appendix E).**

Definition of “B” Policies and Procedures:

The authority to develop or modify a policy/procedure rests with Senate, and is generally actioned by a proponent (this could be a Senate Standing Committee, Executive or delegate).

PHASE I Preliminary review by Administrative Groups

- 2.1 Proponent liaises with the Office of the University Secretariat to begin review and approval process.
 - 2.1.1 Proponent will accompany the policy/procedure throughout the review and approval process, to provide clarity as required.
- 2.2 Policy Development Working Group (PDWG) meets for preliminary review.
- 2.3 Draft policy/procedure posted on the “draft” webpage and updated as necessary. Review process initiated.
- 2.4 Policy/procedure referred to the Senior Management Group (SMG), as required, for information or review, if relevant.
- 2.5 Policy/procedure referred to the Provost’s Council, as required, for information or review, if relevant.
- 2.6 Policy/procedure referred to the Administration and Finance Committee (AFC) as required, for information or review, if relevant.

PHASE II Senate Review Process

- 2.7 Policy/procedure referred to the Senate Governance Practices Committee (GPC) for review.
- 2.8 Policy/procedure referred to appropriate Standing Committee(s) by the GPC as required.
- 2.9 GPC recommends to Senate.
- 2.10 Senate gives First Reading and Notice of Motion upon receipt of recommendations from GPC.
- 2.11 Senate communiqué to University Community at large.

2.12 Senate gives Second Reading and Final Approval.

2.13 Draft policy/procedure removed from "draft" webpage and approved policy or procedure posted on the official Policies and Procedures webpage.

PHASE III Board Review Process

2.14 Board review not required. Approved policy/procedure referred to the Board for information.

**3. Process for Review of “C” Policies and Procedures.
Institutional policies and procedure which are administrative in nature.
Authority rests with the Board (see Appendix F).**

Definition of “C” Policies and Procedures:

These policies and procedures are intended to provide for the efficient operation of the University and may be developed in order to provide clear direction to employees of the University:

- i. a sharing of a policy/procedure for **information** – a particular committee or individual can make a decision to respond, or not, to the policy/procedure through the holder of the policy/procedure.
- ii. a sharing of a policy/procedure for **review** and a determination that there is some direct relevance of the policy/procedure to the group being asked to review – a response is warranted to the holder of the policy/procedure.

PHASE I Preliminary review by Administrative Groups

- 3.1 Proponent liaises with the Office of the University Secretariat to begin review and approval process.
 - 3.1.1 Proponent will accompany the policy/procedure throughout the review and approval process to provide clarity as required.
- 3.2 Policy Development Working Group (PDWG) meets for preliminary review.
- 3.3 Draft policy/procedure posted on the “draft” webpage and updated as required. Review process initiated.
- 3.4 Senior Management Group (SMG) to receive for information, or review and provide feedback, as required.
- 3.5 Provost’s Council , as required, to receive for information, or review and provide feedback, as required.
- 3.6 Administration and Finance Committee (AFC), as required, to receive for information, or review and provide feedback, as required.

PHASE II Senate Review Process

- 3.7 Senate to receive for information, as per 3(i) above.
- 3.8 Board may request review and feedback from Senate as per 3(ii) above.
 - 3.8.1 Policy/procedure referred to Governance Practices Committee (GPC) for review and feedback.

- 3.8.2 Policy/procedure referred to appropriate Standing Committee(s) by the GPC as required.
- 3.8.3 Policy/procedure referred to Senate by GPC, for feedback, as required.
- 3.9 Broader distribution and sharing for information when appropriate.

PHASE III Board Review Process

- 3.10 Policy/procedure to the Board Policy Development and Review Committee (PDRC) for review.
 - 3.9.1 PDRC recommends to the Board.
- 3.10 Policy/procedure to the Board for First Reading and Notice of Motion.
 - 3.10.1 Housekeeping changes only – policy/procedure receives Single Reading and Final Approval in accordance with VIU Policy 11.07.
- 3.11 University Community has opportunity for review and input prior to Second and Final Reading.
- 3.12 Board gives Second Reading and Final Approval.
- 3.13 Draft policy/procedure removed from "draft" webpage and approved policy/procedure posted on the official Policies and Procedures webpage.



**IMPACT STATEMENT for
POLICY/PROCEDURE DEVELOPMENT**

Save as a Word document on your hard drive. Click on highlighted areas

- REVISE EXISTING POLICY/PROCEDURE***
- RESCIND EXISTING POLICY/PROCEDURE**
- NEW POLICY/PROCEDURE****

POLICY/PROCEDURE NO.

(NEW policies/procedures will be assigned a number after final approval).

POLICY/PROCEDURE NAME:

PROPONENT:

DEPARTMENT:

PHONE:

EMAIL:

REASON FOR POLICY/PROCEDURE:

Provide rationale for creating a new policy/procedure or revising or rescinding an existing policy/procedure. Provide as much specific information as you can, including any known history.

The following points are guides to assist you in drafting your Impact Statement:

- *State what legal, regulatory, financial, operational, accreditation, technological, and/or social requirements this policy/procedure addresses.*
- *Identify what advantages this policy/procedure will bring to the University.*

IMPACT ON THE UNIVERSITY:

Indicate, generally, the scope of the policy/procedure, e.g., what operational activities and areas of the university will be affected, and how.

Describe the consequences of not developing a new policy/procedure or not revising or rescinding an existing policy/procedure.

The following points are guides to assist you in drafting your Impact Statement:

- *State clearly the issue this policy/procedure is targeting and the ways this policy/procedure will address the issue.*
- *Outline (some of) the procedures this policy/procedure requires of the university community to implement this policy/procedure.*
- *Cite relevant official statements of VIU's mission and values, complementary VIU policies, and related external legislation, codes, etc.*
- *Identify what resources (human, financial, physical, operational, technological, and other) may be needed to implement and maintain compliance with this policy/procedure.*
- *Identify what change to VIU's culture and/or behaviours may be involved.*
- *Identify communications and training activities that will be conducted to build awareness and enable implementation.*



IMPACT STATEMENT for
POLICY/PROCEDURE DEVELOPMENT

TIMING:

Is there time sensitivity to the development/review process for this policy/procedure? If so, please explain.



Signature of Proponent

Date

Signature of appropriate Vice-President, or President

Date



**VANCOUVER ISLAND
UNIVERSITY**

Policy

Type:

Last Approved:

Executive Responsibility:

Next Review:

Administrative Responsibility:

Procedure:

STATEMENT:

Related Policies and Procedures:

end of document



VANCOUVER ISLAND
UNIVERSITY

Procedure

Type:

Last Approved:

Executive Responsibility:

Next Review:

Administrative Responsibility:

Policy:

DEFINITIONS:

PROCEDURE:

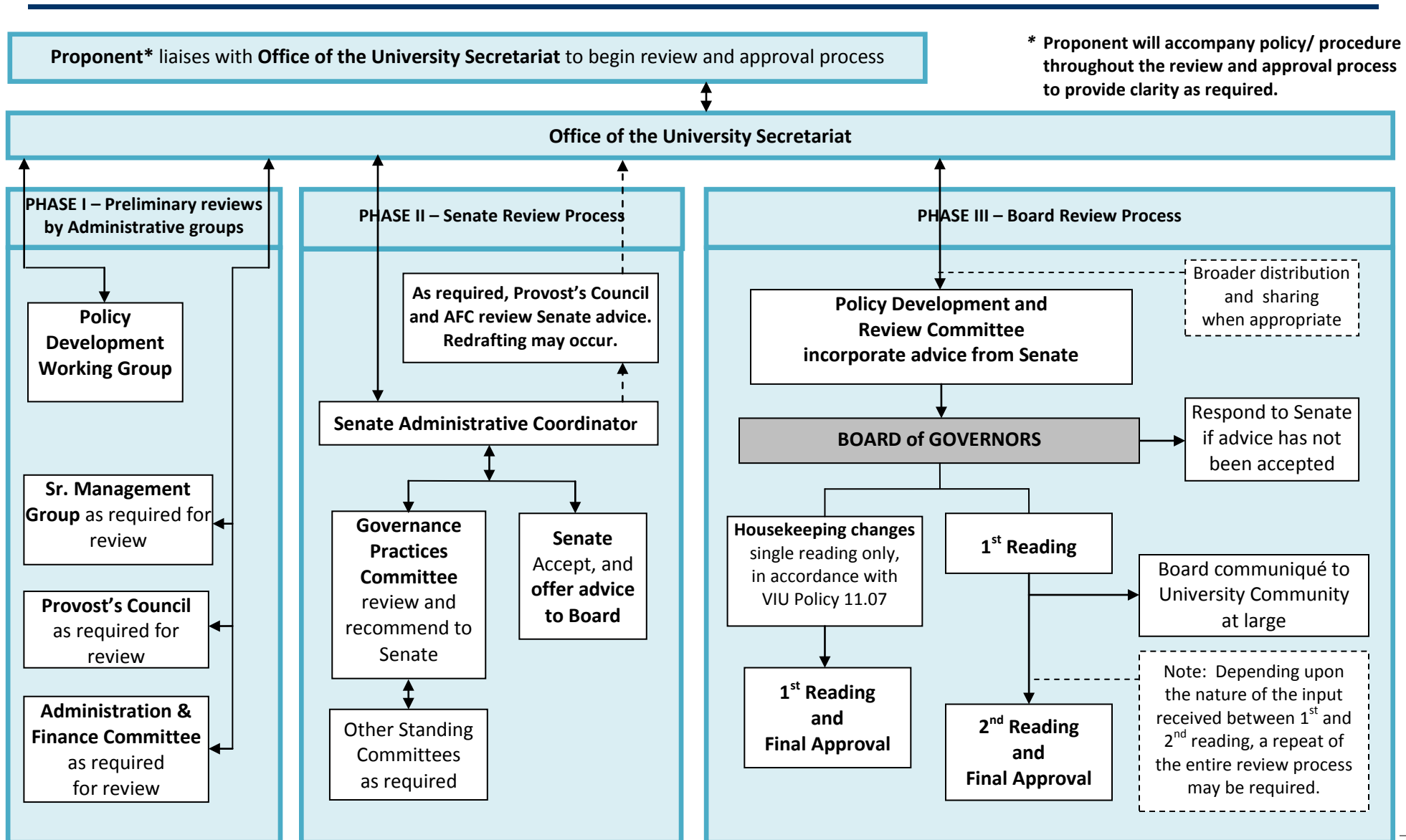
Related Policies and Procedures:

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Policies & Procedures Review and Approval Process - "A" Policies/Procedures

"A" POLICIES/PROCEDURES – Board policies/procedures requiring Senate advice as per Section 35.2(6) of the University Act.

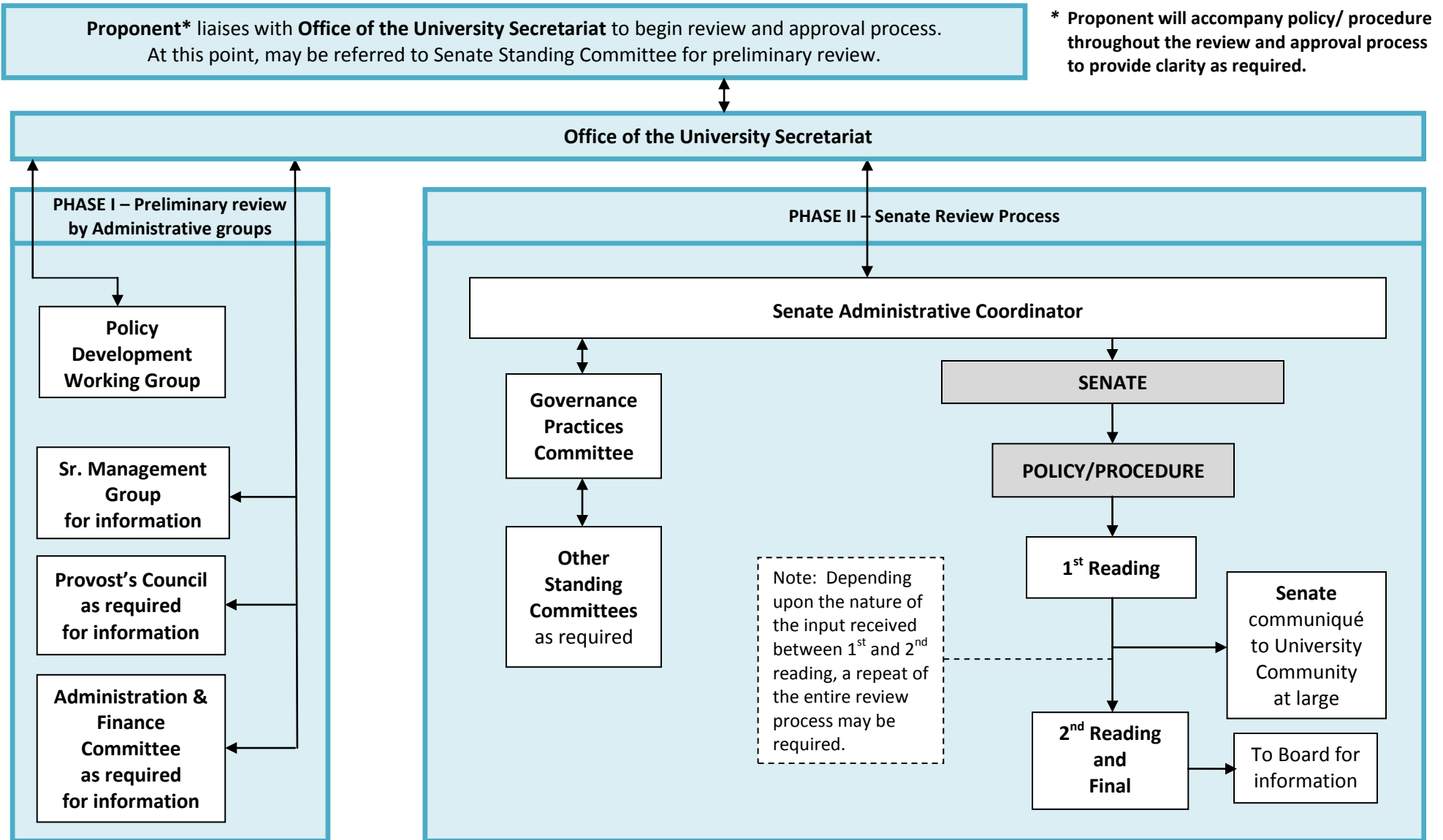
Sharing of a policy/procedure for advice. A determination that there is some direct relevance of the policy/ procedure to the group being asked for advice, and there is legislation (Section 35.2(6) of the University Act) that directs such input is to be sought. When input is not integrated by the holder of the policy/ procedure, a rationale must be provided. The authority to develop or modify rests with the Board and is actioned by a proponent.



Policies & Procedures Review and Approval Process - "B" Policies/Procedures

"B" POLICIES/PROCEDURES – Policies/procedures coming under the auspices of Senate per Section 35.2(5) of the University Act.

The authority to develop or modify a policy/procedure rests with Senate, and is generally initiated by a proponent (this could be Senate, a Standing Committee, Executive or delegate).



Policies & Procedures Review and Approval Process - "C" Policies/Procedures

"C" POLICIES/PROCEDURES – Institutional policies/procedures which are administrative in nature. Authority rests with the Board.

These policies/procedures are intended to provide for the efficient operation of the University and may be developed in order to provide clear direction to employees of the University.

- i. a sharing of a policy/procedure for **information** – a particular committee or individual can make a decision to respond, or not, through the holder of the policy/procedure.
- ii. a sharing of a policy/procedure for **review** and a determination that there is some direct relevance of the policy/ procedure to the group being asked to review – a response is warranted to the holder of the policy/procedure.

