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

SIMON FRASER UNIVERSITY

Policies and Procedures

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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 Review the existing policy and any related Senate or Board approved policies to identify who has a vested interest in the policy and why (Office for Aboriginal Peoples, Equity, Diversity and Inclusion Administrative Group, and others such as AVPA, Deans, Chairs and Directors of academic departments, Faculty Relations, Human Resources, administrative managers of academic or non-academic departments, Student Services, Facilities Services, IT Services, unions, students).

2.1.2 Identify the stage at which each of the governance bodies (i.e. University Executive, Senate, Board of Governors) will be involved in the policy development, review, and approval process. If uncertain, confer with the University Secretary’s Office, the Senate Assistant, and the Board Office for information and advice. Also see s.2.1.11 and s.2.3.5 below.
2.1.3  Identify potential differential impacts of the proposed new policy or amendments to an existing policy on each of the University’s campuses.

2.1.4  Prepare a briefing memo that comments on the matters listed in section 3.1.2 of the Procedures. The briefing memo is intended to be comprehensive and thorough, so 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  As indicated in section 3.1.2 of the Procedures, 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 Senate or Board approved policies and collective agreements that may apply to, overlap with, or impact upon the policy matter identified;
   c. whether one or more existing policies will be superseded by the new policy;
   d. the legal and regulatory framework that may inform the policy;
   e. the benefits and risks of introducing a new policy or amending an existing one and the implications of not doing so;
   f. how the policy advances the University’s core principles (including commitments to reconciliation, and to equity, diversity and inclusion), and any inconsistencies with those principles, and the measures designed to eliminate or reduce any identified inconsistencies;
   g. the probable financial implications;
   h. whether the new or amended policy must go to Senate, or to a Senate Committee, and whether it must do so for information or for approval;
   i. key stakeholders (including the Office for Aboriginal Peoples and the Equity, Diversity, and Inclusivity Administrative Group);
   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 templates 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 the draft procedures, or a summary of those procedures, should be available for information at each stage of the policy approval 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 forward for discussion at a meeting of the University Executive. The procedures, or a summary of the procedures, should be available for information.

2.1.11 All proposed new University Policies and all proposed revisions to existing University Policies must be provided to the Senate Committee on Agenda and Rules (SCAR) who will determine whether Senate needs to approve the policy, or recommend it to the Board, or if Senate should receive the new or revised policy for information. Therefore, as a matter of routine, SCAR should be consulted when a new or revised policy is moving through to final approval.

Senate is also used as a consultative body for some policies. In these situations, the draft policy would go to Senate and Senate members would provide feedback as part of the overall consultation with the University community. Once the final version of the policy is complete, it might go back to Senate either for information or approval (depending on the subject matter of the policy).

The Responsible Authority should confer with the Policy Authority and the Senate Assistant to determine when to send the policy to SCAR. Submit the draft policy to the Senate Assistant as directed but this should not occur until after the policy has at least been initially considered and approved by the University Executive. Also see 2.3.5 below.

2.2 Community Consultation

2.2.1 After the draft policy has been considered and approved by University Executive, the Responsible 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 (Office for Aboriginal Peoples, Equity, Diversity and Inclusion Administrative Group, and others such as AVPA, Deans, Chairs and Directors of academic departments, Faculty Relations, Human Resources, administrative managers of academic or non-academic departments, Student Services, Facilities Services, IT Services, unions, students) 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, or a summary of those procedures; 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 Consider the community input and redraft the policy as necessary. If minimal input is received, the Responsible Authority may consider undertaking a second community consultation. Similarly, if community input resulted in significant changes to the draft policy, the Responsible Authority may consider (or the Policy Authority may direct) that a second community consultation is warranted.

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 forward for discussion and approval at a meeting of the University Executive. The draft procedures, or a summary of those procedures, should be available for information.

2.3.5 After University Executive approval, the Responsible Authority will, through the Policy Authority, submit the final version of the proposed new or amended policy to the Senate Assistant for submission to the Senate Committee on Agenda and Rules, who will determine whether Senate needs to approve the policy, or recommend it to the Board, or receive the policy for information. Also see s.2.1.11 above.
2.3.6 Prepare a Board submission requesting Board approval of a new or amended policy. The timing of this step will depend upon whether the new or revised policy has been forwarded to Senate, and if so, for what purpose (e.g., for approval, for recommendation to the Board, or for information). The timing of this step will also depend upon Senate’s recommendation or decision, if required.

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. 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.