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

## SIMON FRASER UNIVERSITY Policies and Procedures

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### 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.