[Insert Policy Title]

SIMON FRASER UNIVERSITY  Date  Number

Policy and Procedures

Date
Number

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.