POLICY DEVELOPMENT PROCEDURE

Alberta University of the Arts

Policy Type:	Institutional	**Initially Approved:**	May 01, 2023
Policy Sponsor:	President and CEO	**Last Revised:**	May 01, 2023
Primary Contact:	University Secretary	**Review Scheduled:**	May 2028
Approver:	President and CEO		

A. PURPOSE

The purpose of this Procedure is to define the steps by which Policies and Procedures are developed and revised.

B. POLICY CATEGORY

Policy documents at the University are assigned to one of the following categories:

Category	Approval Authority
Board of Governors	Board
Finance	Institutional
Academic Administration	Institutional
Human Resources	Institutional
Executive Administration	Institutional
Computing and Technical Services	Institutional
Health and Safety	Institutional
Facilities Management	Institutional
Advancement	Institutional
General Faculties Council	Academic

C. PROCEDURES

1. INITIATION (IDENTIFICATION OF POLICY REQUIREMENTS)

1.1 An issue or idea can arise at any level or from any area or individual within or external to the institution. Once identified, issues/ideas are typically presented to the Policy Sponsor to determine appropriate resolution. If, after consideration of the issue, the Policy Sponsor is of the opinion that a Policy Document may be required, they appoint the Primary Contact, who contacts the University Secretariat to clearly identify the issue and need for a Policy Document.

1.2 This element requires the identification of:
   a) Current Policy which needs to be reviewed, updated or rescinded;
   b) Policy under development which requires review or feedback from Policy Constituents;

c) Policy gaps where no current or approved Policy Document exists and where a Policy Document is required; or

d) Any related Procedures to be revised or developed.

1.3 It is highly recommended that Procedures be developed and revised at the same time as the applicable Policy. The Responsible Office should take into consideration whether a related Procedure should be developed or revised.

2. DEVELOPMENT

2.1 The development process is a collaborative and iterative activity among faculty, staff, students, and Policy Constituents who have the content knowledge and expertise, the Primary Contact, and the University Secretariat. The Primary Contact provides content subject expertise to inform the subject content of the Policy Document; and the University Secretariat provides policy expertise to maintain the integrity of the Policy Document, ensuring consistent language, standardized format, and maintaining the processes in accordance with the provisions of the Framework; Policy Constituents provide feedback into the content of the Policy Document, ensuring alignment with applicable legislation, bylaws, professional standards, industry standards, and other requirements.

2.2 This stage may include developing new Policies, reviewing existing Policies scheduled for review, or revising Policies to address identified "gaps".

2.3 The development process involves several elements and tasks. Under the lead of the Primary Contact with support and direction from the University Secretariat, development includes an assessment of the issue to establish the plan for Policy Document preparation, benchmarking, consultation, the identification of resources, infrastructure, Policy Constituents, and drafting of the Policy Document. Key elements of the development process are described below:

3. IDENTIFICATION OF PRIMARY CONTACT(S)

3.1 The Primary Contact acts as the primary content expert for the life of the Policy Document in recognition of their expertise and responsibility for the subject matter addressed in the Policy Document. The Policy Sponsor will identify the Primary Contact for every Policy Document to be developed.

3.2 Once identified, the Primary Contact establishes a preliminary plan for development, including identification of potential Policy Constituents to develop the document, expected consultation process, timelines, and possible resource implications. The Primary Contact must have sufficient resources (i.e., experience and time) to conduct or coordinate the policy development process.

4. BENCHMARKING

4.1 Benchmarking provides an opportunity to examine a range of policy alternatives and best practices and apply lessons learned by other institutions. The Primary Contact undertakes benchmarking and environmental scans to ensure compliance, consistency, and alignment with relevant internal and external influences. The University Secretariat can assist with benchmarking, as needed.

5. IDENTIFICATION OF POLICY CONSTITUENTS

5.1 With the assistance of the University Secretariat, the Primary Contact will identify Policy Constituents to engage as a part of the consultation process. Where feedback is sought from faculty, the Policy Constituent will be the applicable standing committee of GFC. Where feedback is sought from students, the Policy Constituent will be the most appropriate member of the executive of the AUArts Students' Association. Where feedback is sought from administration, the Policy Constituent will be the appropriate member of leadership from the administrative department or unit.

6. CONSULTATION

6.1 Genuine and comprehensive consultation is fundamental to the University Policy Document development cycle and underpins successful policy implementation. This is accomplished by bringing together Policy Constituents from an array of units, programs, and disciplines who have the subject matter expertise and knowledge to guide and inform a particular Policy Document and to have in place a structure that ensures resources fully support the successful implementation of a Policy Document.

6.2 Targeted consultation with Policy Constituents and, if required, external Policy Constituents ensures that broad organizational issues related to the Policy Document are identified early to minimize anticipated operational risks or problems associated with implementation. Policy Constituent consultation also assists in achieving acceptance and compliance with the Policy Document once implemented.

6.3 Engagement and consultation are an iterative process. The level of engagement is guided by several factors, including subject, impact on employees, resources, and infrastructure.

6.4 External consultation may be required on the proposed contents of a draft Policy Document. Comments may be sought from students, external institutions, and/or members of the public depending on the topic and relevance to the nature of the Policy Document.

7. DRAFTING AND REVISING

7.1 The official Policy and Procedure Templates, found on InfoLab, provide the basis for drafting Policy Documents. The Primary Contact is primarily responsible for drafting a Policy Document.

7.2 The Primary Contact may revise draft Policy Documents, as appropriate, to reflect outcomes from the consultation processes prior to proceeding for endorsement and approval.

8. ENDORSEMENT AND APPROVAL

8.1 A Policy Document may be "endorsed" prior to submission for formal "approval". Endorsement is the agreement of the relevant leadership teams or committees, and senior leaders identified during development, consultation, and engagement to secure support for the requirements set out in a Policy Document and is guided by the subject matter and type of Policy Document.

8.2 Approval demonstrates the institution's commitment to uphold the requirements set out in a Policy Document. The authority for approval varies based on the type of Policy Document. The approval process will include revoking outdated or superseded policy versions (if any) and concurrent approval of new or updated policy in accordance with approval authorities outlined in this Framework.

8.3 Where a Procedure is approved in advance of its associated Policy, the approval of the Procedure will be contingent upon approval of the associated Policy and will take effect no earlier than the effective date of the associated Policy.

8.4 In some circumstances, Policies may require approval from both governing bodies.

9. EFFECTIVE DATE

9.1 A Policy comes into full force and effect immediately upon approval by the Board or GFC, as appropriate, unless the approving body approves an alternate effective date.

9.2 A Procedure comes into full force and effect upon approval by the PC or GFC Executive, as appropriate, where the associated Policy has been approved and is in force. However, where a Procedure is approved in advance of the effective date of the associated Policy, the Procedure will take effect no earlier than the effective date of the associated Policy.

10. IMPLEMENTATION

10.1 Implementation of Policy Documents includes circulation to relevant organizational units/areas, University-wide communication (including inclusion in the Policy Repository), education, training, and practice change support. It is a complex undertaking that requires commitment, work, and resources. The Primary Contact is responsible for managing the implementation process, including resource management, communication and educational and practice change activities identified during the development and consultation stages.

11. COMMUNICATION

11.1 The Primary Contact or Policy Sponsor works with the Office of Marketing and Communications to undertake any extended communication (for example, inclusion in student, staff and faculty news bulletins and briefings) and oversee educational and practice change activities identified during the development and consultation stages. Management and Unit leaders who receive the information regarding new or revised Policy Documents are responsible to ensure that others in the Unit also receive the information. The Primary Contact disseminates the information using a variety of available resources. The University Secretariat will upload approved Policy Documents on the official Policy Repository. The respective responsible offices will upload links to approved Policy Documents to their respective websites (if any). Policy Documents are communicated and published through approved avenues within the University.

12. EDUCATION AND TRAINING

12.1 The Responsible Office is responsible for ensuring appropriate education and training occurs on new or revised Policy Documents. This may involve:
   a) presentations to committees, staff meetings or student groups,
   b) conduct of information sessions, training programs and/or discussion groups; and/or
   c) conduct of professional development initiatives focused on implementation of relevant requirements.

13. PRACTICE CHANGE

13.1 The supervisor for a responsible office and all other applicable areas or units are responsible for initiating and overseeing any required practice or procedural change resulting from a new or revised Policy Document.

D.   DEFINITIONS

Academic Policy:	Means a Policy affecting academic programs which is delegated to the General Faculties Council through powers conferred in the PSLA or the Board of Governors.
Approval Authority:	Means the individual or entity with the authority to approve a Policy, Procedure or Guideline, as described in this Policy.
Board Policy:	Means a Policy of that deals with Board responsibilities to AUArts or the Governance of AUArts as set out in the PSLA.
Employees:	Includes Faculty, Staff, Exempt employees, and Management Employees.
Guideline:	A Policy support document that provides recommended guidance, or best practice for the implementation of Policies and/or Procedures.
Institutional Policy:	Means a Policy of that deals with administrative matters, operations, facilities, personnel and /or standards of protocol.
Management Employees:	Includes the President + CEO, Vice-Presidents, Associate Vice-Presidents, Chairs, Directors, Managers and all employees classified as management by the Human Resources department.
Policy:	A written statement of intent or principle which governs, directs and regulates the actions of all Employees and Board of Governors members. Policies may also govern, direct, and regulate the actions of Students, contractors, volunteers, and visitors while they are present on AUArts property or are participating in AUArts programs or activities. A Policy is either a

Policy Template:	Board Policy, Institutional Policy or an General Faculties Council Policy. AUArts' document outlining the format and steps for the development and revision of AUArts Policies, Procedures, and Guidelines.
Policy Sponsor:	The President or a member of the President's Cabinet who initially approves of a Policy idea to be drafted within their area of responsibility. The Sponsor may delegate the responsibility for drafting a Policy as well a communication and implementation plan.
Procedure:	Means a Policy document that outlines a series of actions related to a Policy that specifies how a process will be completed and includes information on the who, what, when and where with respect to the implementation of the Policy.
Standard Operating Procedures:	Documents setting out departmental practices created autonomously within individual departments or schools.

E.   RELATED POLICIES

- Policy Development Policy

F.   RELATED LEGISLATION

- *Post-Secondary Learning Act*

G.   RELATED DOCUMENTS

- AUArts Policy Template
- AUArts Procedure Template
- Policy Development Framework

H.   REVISION HISTORY

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorized Revision (Position Title)
May 01, 2023	New	All	University Secretary	University Secretary