

## **Policy Development Framework**

### **What is the University’s framework for developing and approving a policy?**

#### **Purpose**

The University governs its operations through ordinances, policies, procedures and guidelines. The Policy Framework provides the context for establishing University policies and procedures. This procedure describes the stages and actions required in the drafting, approval and implementation of a new policy or major review of an existing policy. This ensures that policies and supporting documents are developed and reviewed as part of a planned and structured process.

#### **Scope**

Policies apply to faculty, staff and students and other members of the University community. The development and review of all new policies and supporting documents must be consistent with the Policy Framework.

#### **Definitions**

<b>Term</b>	<b>Definition</b>
Approval Authority	Vice-Chancellor or other member of executive staff by designation.
Guideline	A statement offering advice and guidance on the purposes of and need for the University policy.
Policy	A formal statement of what is permissible and not, and under which circumstances. Policies guide decision-making. Depending on the policy, the application may be limited to one group or may be University-wide. Policies are recommended by appropriate Executive Staff member and approved by the Vice-Chancellor (or delegated to the Provost.) High-level policies, contained in the constitution and ordinances, are approved by the Trustees or Regents as applicable.
Policy Owner	Member of Senior or Cabinet Staff. Policy Owners are responsible for ensuring policies and associated documents are developed, approved and implemented in accordance with the Policy Framework. Policy Owners can delegate tasks to senior managers.

Procedure	A directive outlining the specific tasks, processes and responsibilities required to effectively implement a policy or regulation.
Promulgation	The official announcement to the University of a new policy or one which has undergone significant revision.
Template	The approved format for policies, procedures, guidelines and supporting documents.

## Actions

There are a number of stages involved in the formulation of new policy and supporting documents or major review of existing policy.

### Step 1: Predevelopment - Preliminary Considerations

If a need is identified for a new policy, major review or deletion of an existing one, the Policy Owner must conduct a preliminary investigation and provide evidence to justify the policy's development, review or deletion. The policy's purpose, reach, impact and relationship with other policy and organizational areas must be determined and constraints, issues and opportunities identified. Policy development is a collaborative process and staff with relevant subject knowledge, as well as staff involved in the policy's implementation, must be consulted during the process.

### Step 2: Approval to Develop a Policy

The Policy Owner must communicate to the Provost's Office the need for a policy or to change a policy to elevate awareness and seek affirmation to proceed with drafting.

*Rescinding a Policy:* A Policy Owner is required to communicate to the Provost and Vice-Chancellor any policies to be eliminated. Policies can only be rescinded with the approval of the Vice-Chancellor or by delegated authority to the Provost.

### Step 3: Policy Drafting or Revision

All policies and supporting documents are drafted, reviewed, distributed for consultation and promulgated through the Provost's Office. All policies and supporting documents must be drafted in the official templates and in accordance with the standards outlined in this policy framework procedure. Staff involved in drafting policies and supporting documents need to consider how best to explain the policy's subject matter to its audience. Good policy writing increases the effectiveness of communication and successful implementation of the policy.

A policy's framework (template) should include:

1. Purpose & values
2. Scope and application

3. Definitions
4. Clear policy statements
5. Consequences
6. Responsibilities
7. Procedures
8. Effective Date/Approved Date/revision dates

#### **Step 4: Consultation and Committee Review**

Consultation with relevant parties, best practice, insurance policy guidance and the broader University community is an integral part of the policy development process. The length of time and level of consultation should be determined by the type of policy and scope of its application. In addition to improving policy content, feedback can provide valuable information to assist the implementation process. The policy owner is encouraged to consult with constituencies, allowing staff and students to provide feedback. The policy owner must submit proposals for new policies or revised policies to the Policy Committee through the Provost's Office. The Policy Committee will accept, reject, or provide guidance for further revision to the proposal. Draft policies should be reviewed along with supporting documents such as a procedure or guideline.

#### **Step 5: Approval Process**

Once the final draft has been amended after the consultation stage, the policy owner forwards the document(s) to the Provost's Office. The Vice-Chancellor or the Provost and/or Cabinet approves all final drafts of the policy/procedure or can return the policy requesting revision or denying the policy.

#### **Step 6: Announcement**

New and Revised policies and procedures that have been approved, should be published on the University's Provost webpage and in broad email distribution, if appropriate. Stakeholders directly affected by the policy/procedure should be contacted directly to advise.

#### **Step 7: Monitoring and Review**

Policies are reviewed every three to five years, or more frequently if there are changes in legislation, compliance or business requirements. Outcomes must be measured at this stage as part of the review and improvement process.

Minor or administrative policy changes do not require formal approval and can be made by the policy editor by requesting access to the document in the Provost's Office. Minor amendments to a policy or procedure can include a position or title change; updating links; or adding new or amending existing supporting documents. The University community should be advised of the amended policy or procedure through the usual communication systems.

## **Updating official University forms**

University forms can only be revised by a policy owner. If there is a University form that needs revising, the policy owner needs to be advised by email to ensure that the inquiry is followed up. This process ensures that University forms are current and compliant with the relevant policy and procedure as well as internal and external legislation.

## **Referencing Policies and Procedures**

When referencing University policies and procedures on local University webpages, the documents must be direct linked to the original posting on the [Provost's website](#). This ensures that current versions of the documents are being referenced.

## **Responsibility**

The Vice-Chancellor and Provost are responsible for the effective implementation of the [Policy Development Framework](#). In general, other senior officers and bodies with specific responsibilities can be found on the [Master List of University Policies](#).

## **Promulgation**

The Policy will be promulgated through the following and records of this promulgation will be maintained:

1. Updated on the Sewanee website;
2. Announcement, if appropriate;
3. Memo/email to relevant constituencies.

## **Implementation**

Implementation will vary in accordance with the policy. Implementation may include training sessions, professional development and distribution of posters and brochures.

## **Record Keeping of Policy Additions or Revisions**

Previous policies, the updated policy (or new policy) and the rationale for changes must be retained by the policy owner and on the Provost's Office server.

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Framework adopted from other international standard frameworks (ISO, Australia, USC)