

 DALHOUSIE UNIVERSITY Policy on Policies	<i>Policy Sponsor:</i> Board Senate	<i>Approval Date:</i> Board: April 18, 2017 Senate: March 27, 2017
	<i>Responsible Unit:</i> University Secretariat	<i>Amendments:</i>

A. Background & Purpose

Policies provide direction for the actions of members of the Dalhousie University community regarding particular matters. Effective policies address matters of broad scope within the University and assist in furthering the University’s mission and advancing core values. Moreover, policies should comply with applicable law, contribute to openness and transparency, ensure consistency of decision-making and effectively manage institutional risk.

The purpose of this Policy is to establish a mechanism to develop, approve, amend, review and revoke University Policies in a consistent and coordinated manner which respects the University’s governance requirements and core values that guide decision-making.

B. Application

This Policy applies to members of the University community when involved in identifying policy matters or gaps and developing, approving, amending, reviewing and revoking any University Policy.

C. Definitions

1. In this Policy:

- a. “Guideline” means a written, recommended practice that provides guidance to academic and/or administrative units on how particular matters within their area of operational or academic responsibility should be handled. Guidelines need not be connected to a particular University Policy.
- b. “Policy Developer” means one or more individuals designated by the Policy Sponsor to develop or review a University Policy.
- c. “Policy Repository” means the policy repository created under section E.2 of this Policy;
- d. “Policy Sponsor” means the Board of Governors, Senate, the President, or the appropriate Vice-President, Assistant Vice-President, Vice-Provost, Dean/University Librarian or School Director in accordance with their respective area of operational or academic responsibility.

- e. "Protocol" means a highly operational, written directive, intended to support an academic or administrative unit's responsibilities. Protocols need not be connected to a particular University Policy.
- f. "Responsible Unit" means the academic or administrative unit designated by the Policy Sponsor to be responsible for the administration of a University Policy.
- g. "Unit" means an academic or administrative unit within the University.
- h. "University Community" means faculty, staff and students of Dalhousie University and others engaged in activities under the auspices of Dalhousie University.
- i. "University Policy" means a document developed under this Policy that directs the actions of members of the University Community regarding particular matters that are of broad scope within the University.
- j. "University Regulations" means Dalhousie academic and University regulations.

D. Policy

1. All University Policies must be developed, approved, amended, reviewed or revoked pursuant to this Policy.
2. All University Policies must be current, compliant with applicable law and consistent with other University Policies and University Regulations.
3. Members of the University Community are ultimately responsible for familiarizing themselves and complying with University Policies.
4. New University Policies, and amendments to existing University Policies, may only be approved by the appropriate Policy Sponsor. University Policies may only be revoked by the appropriate Policy Sponsor.
5. An appropriate Policy Sponsor will be determined as follows:
 - a. Dean: The University Policy applies only to or only impacts activities or operations in the Dean's home Faculty. All such policies must be consistent with University Regulations and all applicable policies, protocols or guidelines of Senate, as operationalized through the Office of the University Registrar.
 - b. Directors of Schools: The University Policy applies only to or only impacts activities or operations in the Director's home School. All such policies must be consistent with University Regulations and all applicable policies, protocols or guidelines of the home Faculty, and of Senate as operationalized through the Office of the University Registrar.
 - c. University Librarian: The University Policy applies only to or only impacts activities or operations over which the University Librarian has operational or academic responsibility.

- d. Assistant Vice-President /Vice-Provost: The University Policy applies only to or only impacts activities or operations in the Unit over which they have operational or academic responsibility.
 - e. Vice-President: The University Policy applies to or impacts activities or operations in more than one Unit within the Vice-President's operational or academic responsibility.
 - f. President: The University Policy applies to or impacts activities or operations in the area of responsibility of more than one Vice-President, or of the Provost and one or more Vice-Presidents.
 - g. Senate: The University Policy falls solely within Senate's jurisdiction as set out in the Senate Constitution.
 - h. Board of Governors: The University Policy has a significant impact on University assets, resources, or governance.
6. Implementation of a University Policy is subject to a satisfactory Implementation Plan being developed and approved pursuant to section F2.6.
 7. University Policies must be drafted using the approved University template attached as Appendix A, as amended from time to time by the University Secretary in consultation with University Legal Counsel Office and posted on the Policy Repository.
 8. Responsible Units are responsible for administration, communication, training, review and compliance monitoring of University Policies under their administration.
 9. Any Unit may develop Protocols to support activities within their area of operational or academic responsibilities. Protocols must be consistent with University Regulations as well as applicable University Policies. Protocols may be compiled in the form of manuals or standing operating procedures where appropriate.
 10. Any Unit may develop Guidelines to support activities within their area of operational or academic responsibilities. Guidelines must be consistent with University Regulations as well as applicable University Policies and Protocols.
 11. Any Policy approved prior to this Policy remains in effect until it is amended. All such policies shall be reviewed within five years of the last date of approval of this Policy.

E. Administrative Structure

1. Authority: This Policy falls under the authority of the Board and Senate.
2. Policy Repository: The University Secretary will be responsible for maintaining a repository of all University Policies and making them available on the University's website, except for those University Policies where a Dean or School Director is the Policy Sponsor. Deans will be responsible for maintaining a similar repository of those University Policies under their respective scope of authority and making them available on the University's website.
3. Policy Oversight Committee: The Policy Oversight Committee shall comprise the University Secretary, General Counsel and any other members as may be appointed by the President from time to time. This Committee is responsible for undertaking regular reviews of University

Policies in the University Policy directory to identify possible gaps and matters, confirm compliance with this Policy and make recommendations, as appropriate, to the relevant Policy Sponsor.

4. **Review:** The Responsible Unit will, in relation to University Policies within their area of operational or academic responsibility:
 - a. Review those University Policies every 5 years, or earlier as required, and recommend amendments to or revocation of such policies;
 - b. Ensure those University Policies are communicated appropriately; and
 - c. Monitor compliance and assess outcomes.

F.1 Procedures for Policies where the Board is the Policy Sponsor

1. Any requests for the development of a policy where the Board is the Policy Sponsor must be led by the President or a Vice-President in consultation with the applicable Board Standing Committee.
2. F.2 Procedures apply to policies where the Board is the Policy Sponsor, with the following modifications:
 - a. The responsibilities of the Policy Sponsor shall be undertaken by the President or Vice-President;
 - b. The Policy Developer shall be identified by the President or Vice-President in consultation with the Policy Oversight Committee; and
 - c. The Work Plan shall be developed in consultation with the Policy Oversight Committee.
3. Policies where the Board is the Policy Sponsor require the approval of the Board upon the recommendation of the applicable Board standing committee.

F2. Procedures for Policies EXCEPT where the Board is the Policy Sponsor

1. **Identification of Need:** Requests that a new University Policy be developed or that an existing University Policy be amended or revoked must be made in writing to the appropriate Policy Sponsor and describe the background, justification and likely impact of the new or amended policy.
2. **Assessment:** The Policy Sponsor will identify a Policy Developer to assess the policy request and recommend what action, if any, should be taken. In undertaking this assessment and recommending whether to approve the policy request, the Policy Developer will consider:
 - a. existing University Policies which may apply to or impact upon the policy matter identified;

- b. the extent to which the Policy contributes, directly or indirectly, to furthering the University's mission and advancing the core values;
 - c. the existing legal and regulatory framework which may inform the policy;
 - d. the benefits and risks of introducing a new policy or amending an existing one;
 - e. any impact on equity, diversity, and inclusiveness at the University;
 - f. measures designed to eliminate or to reduce any identified negative impact on equity, diversity, and inclusiveness at the University;
 - g. possible unintended consequences of proceeding with the request; and
 - h. the implications of not proceeding with the request.
3. Work Plan: If the Policy Sponsor approves the policy request, the Policy Developer will prepare a Work Plan which considers all items in section F2.2. The Work Plan will include time-lines and appropriate responsibility for development, consultation, drafting and approval. The Work Plan is subject to the approval of the Policy Sponsor.
4. Draft Policy: The University Policy will be drafted in accordance with the Work Plan.
5. Legal Review: University Legal Counsel Office must be consulted when a University Policy may be relevant to the University's compliance with any law or regulation or impact an individual's legal rights.
6. Implementation Plan: The Policy Developer will prepare an Implementation Plan which will confirm:
- a. the impact of implementation on University resources (budgetary, human resources, IT support, facilities or other infrastructure);
 - b. that required University resources are in place;
 - c. how the changes will be communicated to those members of the University Community most directly affected by the policy and the University Community as a whole;
 - d. what training, if any, will be provided and by whom; and
 - e. the process for monitoring compliance and measuring outcomes and which will be the Responsible Unit for doing so.

This Implementation Plan is subject to the approval of the Policy Sponsor.

7. Approval process where Senate is the Policy Sponsor: Where Senate is the Policy Sponsor, the following approvals must be obtained:
- a. Senate, upon the recommendation of the applicable Senate standing committee; and
 - b. Where the subject matter of the policy falls within sections 1.2(a), (b), (c) or (d) of the Senate Constitution, the Board (normally by way of the consent agenda at a regular meeting).
8. Approval process where Senate is a co-Policy Sponsor: For all University Policies that fall within the partial jurisdiction of Senate and another Policy Sponsor, the approvals set out in section F2.7 and the Policy Sponsor are required.

9. Approval process for policies that are not Senate or Board-sponsored policies. All University Policies where the Policy Sponsor is neither the Board nor Senate require the approval of the applicable Policy Sponsor. A positive recommendation from the Provost Committee is also required for policies for which the President is the Policy Sponsor.

10. Policy Repository. Once a policy has been approved, the Policy Sponsor shall forward a copy of the policy to the University Secretariat for inclusion in the Policy Repository described in section E.2 of this Policy. If a policy is revoked, the Policy Sponsor shall notify the University Secretariat so that it can be deleted from the Policy Repository.

Appendix A

 DALHOUSIE UNIVERSITY Policy Title	<i>Policy Sponsor:</i>	<i>Approval Date:</i>
	<i>Responsible Unit:</i>	<i>Amendments:</i>

Index (where appropriate)

- A. Background & Purpose: Provides background information on the matter and addresses what the University Policy is intended to accomplish, and how it furthers the University mission and advances its core values.
- B. Application: Confirms to whom and/or what situations the University Policy applies.
- C. Definitions: Lists specific terms and their meaning in the context of that particular University Policy. Terms will be listed in alphabetical order.
- D. Policy: High-level, prescriptive statements that provide direction for the actions of members of the Dalhousie University Community regarding matters being addressed by the University Policy. Policy statements should not be confused with Procedures, below.
- E. Administrative Structure: This section requires that the appropriate Policy Sponsor is identified as having authority for the University Policy.

Other matters which may be addressed in this section include, but are not limited to, record-keeping requirements, how possible conflicts of interest should be managed, the role of identified individuals and/or groups in implementing the University Policy and reporting and review requirements.

- F. Procedures: Confirms the steps required to apply the University Policy and manage University activity pursuant to the University Policy. Procedures should not be confused with Protocols or Guidelines.