Policy Name: University Policies and Procedures

Approving Authority: President

Policy # AD-001

Approval Date: 7/29/2024

Date Last Reviewed: 6/14/2023

Next Review Date: 7/2029

Statement

University Policies and Procedures should be current, functional and readily accessible to the Beal University Canada ("BUC" or "University") community. The President will report annually to the Board of Governors on University Policies developed and reviewed during the year and the action taken or recommended.

Purpose

The purpose of this policy is to define and set standards for University Policies and Procedures, including a requirement for their periodic review.

Roles and Responsibilities

A University Policy will specify the roles and responsibilities of:

An Approving Authority: the individual or body responsible for final approval of a University Policy.

Approving Authorities include:
- the Board of Governors, which approves University Policies relating to the management, administration and control of the property, revenue, business and affairs of the university;
- the Academic Council, which approves University Policies relating to the academic governance of the University;
- the President, who approves University Policies in their capacity as Chief Executive Officer of the University;
- the President acting on authority delegated by the Board of Governors or the Academic Council; or
- a Dean or Director acting on authority delegated by the Board of Governors, the Academic Council or the President.

A Designated Executive Officer: the President or Director who is designated to be responsible and accountable for the:
- development, implementation, maintenance and review of a University Policy;
- education of members of the University community about a University Policy;
- promotion and monitoring of compliance with a University Policy; and
- development of a new University Policy within the scope of their authority or portfolio.

A Procedural Authority: the individual or body responsible for the approval of Procedures established under a University Policy and any amendments to them.

A Procedural Officer: the individual or body responsible for the development and recommendation of the Procedures established under a University Policy and any amendments to them.

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Members of the University community are responsible for familiarizing themselves with and complying with University Policies and Procedures.

Individuals in senior administrative and management positions are responsible for making a reasonable effort to ensure that members of the University community in their areas and departments are informed of University Policies and Procedures that govern their activities.

The Compliance Department is the official repository for University Policies.

The Director of Compliance will maintain records of delegations of authority by Approving Authorities that occur under this policy.

The Director of Compliance may make editorial changes to a University Policy or Procedures, provided that such changes do not substantively affect the University Policy or Procedures. Editorial changes are subject to approval by the Designated Executive Officer, in the case of editorial changes to a University Policy.

Policy

The University Policy is defined by *all* of the following criteria:
- It is a principle-based statement to be followed in carrying out the activities of the University;
- It has broad application throughout the University and is binding on members of the University community; and
- The subject matter is such that it requires Board of Governors, specific Committee, President, or Director for review and approval for policy issuance and revision.

A University Policy should promote governance, management practices, and behavior consistent with the University's core principles; advance the University's mission; comply with applicable laws and regulations; promote operational efficiencies; and/or reduce institutional risk.

Procedures associated with a University Policy may be developed subsequent to the establishment of the University Policy.

A University Policy becomes operational and enforceable upon approval or at a later date specified by the Approving Authority.

Procedures associated with a University Policy become operational and enforceable upon approval or at a later date specified by the Procedural Authority.

A University Policy must undergo a substantive review every five years but may be reviewed at any time as needed. Procedures associated with a University Policy must be reviewed when the University Policy is reviewed but may be reviewed at any time as needed. Faculties and other academic and administrative units may establish local department policies and procedures, but such policies may not contradict University Policies.

Addendums

Procedures for the Development and Revision of University Policies

Individuals, bodies or groups who perceive the need for the development of a new University Policy or the revision of an existing University Policy should consult the proposed (for a new University Policy) or named (for an existing University Policy) Designated Executive Officer, who will decide whether to develop or review the University Policy.

When a Designated Executive Officer decides to begin the development or revision of a University Policy, they will notify the Director of Compliance.

The Designated Executive Officer will assign an individual or team to carry out the development or review of a University Policy, which may include the following steps:
a) identify pertinent legislation and policy;
b) collect and analyze pertinent information;
c) determine, in conjunction with the Director of Compliance, who ought to be consulted and conduct these consultations as appropriate;
d) draft a preliminary University Policy and associated Procedures, if any, that meet the criteria set out in the *Policy on University Policies and Procedures* using the prescribed format and revise the draft as necessary during the consultation process;
e) submit the draft to the Director of Human Resources and the appropriate University legal advisor, who will provide feedback to the Designated Executive Officer;
f) revise the draft as necessary and submit to the Designated Executive Officer for review;
g) make the draft available to the University community for comment, if appropriate; and
h) finalize the draft and submit the final draft to the Designated Executive Officer so that they may recommend it for approval.

The Designated Executive Officer will submit the final draft to the Director of Compliance, who will submit the proposed new or revised University Policy and associated Procedures, if any, for approval to the appropriate Approving Authority.

Development and Revision of Procedures Associated with University Policies

Procedures may be developed or reviewed simultaneously with a University Policy or subsequently. When procedures are developed simultaneously with the development or review of a University Policy, the process in section d) above will be followed.

When procedures are developed or reviewed after a University Policy has been approved, the Procedural Officer will assign an individual or team to:
a) draft the procedures;
b) conduct consultations as appropriate and revise the draft as necessary during the consultation process;
c) submit the procedures to the Director of Human Resources and the appropriate University legal advisor for review; and
d) submit the final draft of the procedures to the Procedural Officer so that they may recommend it for approval.

The policy development and review checklist is designed to assist individuals in developing and reviewing University policy and procedures. Refer to: Policy Development or Revisions Checklist.

The Procedural Officer will submit the final draft to the Director of Compliance, who will submit the proposed new or revised procedures to the Procedural Authority for approval.

Approved University Policies and Procedures

Once a University Policy and associated Procedures, if any, have been approved, the Director of Compliance will:
   a) maintain a record of the current, enforceable version of the University Policy and Procedures;
   b) publish copies of the University Policy and Procedures and make them accessible to the University community; and
   c) maintain a record of the initial approval of a University Policy and Procedures and of all subsequent substantive and editorial changes.

The Designated Executive Officer will communicate the approval of new or revised University Policies and associated Procedures as appropriate.

Rescindment of University Policies and Procedures

A University Policy or Procedures may be rescinded at any time, subject to approval by:
   a) the Approving Authority, in the case of a University Policy; or
   b) the Procedural Authority, in the case of a Procedure.

Mandated Periodic Review of University Policies and Procedures

The Director of Compliance will set a cyclical schedule for the mandated review of all University Policies and Procedures.
   • The Director of Compliance will advise a Designated Executive Officer of the schedule for mandated review of a particular University Policy.
   • The Director of Compliance will advise a Procedural Authority of the schedule for mandated review of a particular procedure.
   • In cases where a University Policy undergoes substantive review outside the regular review cycle, the mandated review date should normally be re-set at the standard number of years following the review.

The Designated Executive Officer for a University Policy will:
   a) initiate and direct the mandated reviews according to the steps set out in these procedures;
   b) recommend revisions when warranted; and
   c) report to the President on the outcomes of the review.

Standard Format and Components of University Policies

The standard components for University Policies include the following:
  a) **The Heading**, which includes:
    - Policy Name
    - Policy Number (Policy #)
    - Approving Authority
    - Approval Date (the date when the policy or revised policy comes into force)
    - Date Last Reviewed (Effective date of the previous version which is superseded by the new version)
    - Next Review Date (the date by which the mandated review must be completed)
  b) **Statement**
  c) **Purpose**
  d) **Roles & Responsibilities**
  e) **Definitions (optional)**
  f) **Policy (A clear and concise statement of the policy. This section should not include Procedures.)**
  g) **Related Policies and Documents (optional)**

The Director of Compliance will assign each University Policy number following the relevant two-letter alpha code associated with Approving Authority.

Policy Development or Revision Checklist

University Policy Development and Review Checklist

Purpose - This checklist is designed to assist individuals developing and reviewing University Policies and Procedures. The questions below will not apply to every policy; the intention of the checklist is to provide considerations rather than requirements for the development and review of University Policies and Procedures.

A. Policy Initiation or Revision

☐ Is a policy required or is the issue better resolved through other means such as improved communication, an educational campaign, or a memorandum?

☐ Are the resources, knowledge and expertise available to develop a policy on this issue?

☐ Is there an existing policy with the same or a similar intent?

☐ Has the requisite Approving Authority been identified? Is the Approving Authority and Designated Executive Officer aware of the intention to develop or revise this policy?

☐ Have policies from similar institutions been examined for comparison?

☐ Have plans been made on how the policy will be implemented and who is responsible for implementing it? Have plans been made on how the policy will be communicated to the University community and any applicable external organizations?

B. Reviewing a Draft Policy

☐ Is the purpose of the policy clearly established in the document?

☐ Is the policy written in a manner that can be understood by a wide audience?

☐ Have related University Policies and Procedures and other governing documents (e.g., Strategic Plan) been reviewed to ensure the draft policy aligns with existing documents?

☐ If there are policies that are inter-related, are appropriate references included to related policies and is it clear when each policy will apply?

☐ Does the policy accurately reflect current practice?

☐ Has applicable legislation been identified and reviewed to ensure that the draft policy is in accordance?

☐ Are key terms in the policy adequately defined?

☐ Is the use of terminology consistent in the draft policy and across related policies?

☐ Is it clear to whom and what the policy applies?

☐ Does the document employ gender neutral and inclusive language?

☐ Have all procedures been separated from the policy?

☐ Have all references in the draft policy been verified to ensure accuracy and currency?

C. Consultations

☐ Have experts in the subject area been consulted?

☐ Have all stakeholders and departments been identified who may be impacted by the terms of the draft policy?

☐ Have stakeholders been consulted and had an opportunity to provide input and feedback on the draft policy?

☐ Have proposed major practice changes been discussed with stakeholders and affected academic and administrative units so that they are aware of the implications of any potential change?

D. Policy Approval

☐ Has the requisite Approving Authority approved any proposed revisions to existing policies or new policy?

e. Rescinding a Policy

☐ If an existing policy is no longer relevant, recommend that the policy be rescinded by contacting the responsible Approving Authority.