
Policy Revision Process Procedure

Policy Sponsor:	Office of the University Secretariat
Name of Parent Policy:	Policy Development and Maintenance at AU
Policy Contact:	Policy Coordinator
Procedure Contact:	Policy Coordinator
Effective Date of Procedures:	June 26, 2009
Review Date:	This policy will be reviewed annually.

Purpose

To provide a consistent, effective, established process for the revision of Athabasca University (AU) policies that ensures sufficient research is completed and that thorough vetting and stakeholder involvement occur.

Definitions

Consultation Group	The group of individuals designated to consider, investigate, take action on or report on the development of the policy prior to the approval process.
Development Plan	A plan that includes defining the scope and range of the policy, affirming stakeholders and defining their role in development of the policy, developing a vetting and approval protocol, determining timelines and proposing how the policy would be operationalized.
Policy	A published statement that reflects AU's strategic direction, governing principles and institutional goals. Policies are statements of expectation, outcome or conduct that comply with relevant legislation, regulation and institutional requirements.
Policy Coordinator	The designated agent of the Office of the University Secretariat, who provides planning, co-ordination and facilitation support for the policy



Policy Sponsor	<p>sponsor and stakeholders in the development and maintenance of policies and procedures. The policy coordinator assists the policy sponsor and stakeholders in creating a development plan and workflow and then monitors and facilitates the execution of that plan.</p> <p>The executive officer or director of the department, centre or office who is responsible for the implementation of policies and procedures and is accountable for the content of the policies and procedures. The policy owner also ensures staff compliance with established policies and procedures. If the executive officer or director delegates the implementation of the policy to another person, a written delegation will be kept on file in the working policy file within the Office of the University Secretariat.</p>
Procedure	<p>The established operational steps to be followed routinely in order to ensure that the outcome and values expressed in the policy are achieved.</p>
Stakeholders	<p>Individuals or groups for whom the policies and procedures have an operational impact.</p>
Workflow	<p>Approval process attached to all policies once a development plan has been developed. Workflow is attached to prevent any future changes without all stakeholders and the approving bodies of each document being aware of and agreeing to the changes.</p>

Procedure

1. The policy sponsor or another member of the AU community identifies the need for a policy revision. After the need has been identified, the appropriate policy sponsor is notified and revision of the policy, if appropriate, is initiated. It is the responsibility of the policy sponsor to determine whether the revision should proceed.
2. The policy sponsor, in consultation with the policy coordinator if required, makes a determination of the type of revision required. Revisions may be nonsubstantive, substantive or involving the transfer or rescinding of a policy.
3. Nonsubstantive changes can be authorized by the policy sponsor. Examples of nonsubstantive changes are updates of telephone numbers, change of position title (if the position is the same position previously noted in the policy) and typographical/grammatical changes that do not affect meaning content or interpretation. The policy sponsor must provide the policy coordinator with a Policy Notification Form ([Appendix B](#)) and an updated electronic version of the policy. The policy coordinator will ensure the appropriate changes are made to web version of the policy and will ensure that the central files are updated.
4. Substantive changes must go through the [policy development process](#) as if they were a new policy. Examples of substantive changes include deletion of parts of the policy, addition of new sections and changes to the objective or the scope of the policy.



5. Transferring of a policy may constitute a nonsubstantive or substantive change depending on the revisions required. Transfers may occur as a result of changes in areas of responsibility. There should be consultation between the relevant areas and changes to the policy as a result of the transfer need to follow the steps outlined above for either a nonsubstantive or substantive change.
6. When a policy is clearly replaced by a subsequent policy that deals with substantially the same matters, the policy does not need to be formally rescinded but reference will be noted in the Policy Development Form ([Appendix A](#)) and workplan to the policy being replaced. This will take place in connection with the development of the new [Policy Development Process](#).
7. When a policy is being rescinded with no replacement policy being developed, the recommendation to rescind the policy must go through the normal policy development process.

Applicable Legislation and Regulations

N/A

Related References, Policies, Procedures and Forms

[Appendix A – Policy Development Form](#)

[Appendix B – Policy Notification Form](#)

[Policy Development and Maintenance at Athabasca University](#)

[Policy Development Process](#)

[Procedure Development and Maintenance at Athabasca University](#)

[Procedure Development Process](#)

History

N/A

Appendix A

ATHABASCA UNIVERSITY

Office of the University Secretariat

Policy Development Form

Document Type:

Policy

Indicate if this is a new policy or a revision. If the policy is being rescinded please state.

Document Title:

Enter title as it will appear on the document.



- Category:** List the category that best applies.
- Key Words:** Enter key search words. Separate each with a comma.
- Associated Documents:** Enter all associated documents.

Development Plan and Workflow Compliance

(completed prior to approval)

- Policy Sponsor:** Department/Centre responsible for the document. Mandatory for all documents.
- Development Responsibility:** Identify the person responsible and accountable for the development process for the document. Signed and dated by that person. Completes summary of due diligence.
- Administrative Responsibility:** Signed and dated by the most senior executive officer accountable for the document.
- Development Plan and Workflow Compliance:** Signed and dated by the policy coordinator upon completion of the development plan and workflow. Copy of the development plan and workflow attached.

Approvals

- Approver:** i.e. The Governors of Athabasca University, General Faculties Council Identify the group approving the document.
- Approval Date:** Identify the date of the meeting. Attach a copy of the meeting minutes.
- Effective Date:** Identify the date the document becomes effective.



Approver Signature:

Signed by the appropriate executive officer, chair or designate once approved.

Summary of Due Diligence

The summary of due diligence is completed by the person responsible for development of the document. List all parties involved and their input into the document development process.

Consultation Group/Stakeholder (list everyone consulted throughout development process – If Individuals: list name and title;

Describe the involvement and results for each Consultation Group/Stakeholder

If Committees/Groups: list name of committee/group/department/centre



Appendix B

ATHABASCA UNIVERSITY

Office of the University Secretariat

Policy Notification Form

Policy Title:

Policy number:

Requested by:

Date:

1. Who is the individual responsible for the accuracy of the information within the policy?

Name: E-Mail:

Phone: Job Title:

2. Is this a new policy?

Yes No

3. If a new policy, please explain why it is necessary:

4. If revising a policy, please check the appropriate boxes:

 Type of Change

 Typo

 Clarification



New Material

Format

Other

Describe Changes (attach old policy and new policy)

5. What will be the major impact and the overall goal of the new/revised policy?

6. Determine whether the new/revised policy will have a financial impact. Will new resources be required in order to implement the policy? Will there be any cost savings that result from the new/revised policy?

7. Will the new/revised policy be impacted by or impact any of the following?

Federal Laws (including Tax Laws)

Provincial Laws

Municipal Laws

Collective Agreements

Existing Policy

Existing Procedures

Existing Forms

Describe the impact:

8. What are the risks of not establishing/revising the policy?



9. List the individuals or groups for whom the policy has an operational impact or whose activities will be impacted by the policy. (A representative sample of the opinions of the individuals/groups listed here must be obtained during the consultation process.)

10. Who do you intend to include in the consultation process (please provide names and the division they represent)? Which committees will you consult? (The individuals/groups listed in #9 and #10 will form a part of the consultation group along with any others deemed appropriate.)

11. If you require any specific assistance or information please indicate your requirements below.