

---

## Procedure Development Process Procedures

---

<b>Policy Sponsor:</b>	Office of the University Secretariat
<b>Name of Parent Policy:</b>	<a href="#">Policy Development and Maintenance at AU</a>
<b>Policy Contact:</b>	Policy Coordinator
<b>Procedure Contact:</b>	Policy Coordinator
<b>Effective Date of Procedures:</b>	June 26, 2009
<b>Review Date:</b>	This policy will be reviewed annually.

---

### Purpose

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

### Definitions

<b>Consultation Group</b>	The group of individuals designated to consider, investigate, take action on or report on the development of the procedures prior to implementation.
<b>Development Plan</b>	A plan that includes defining the scope and range of the procedure, affirming stakeholders and defining their role in development of the procedures, developing a vetting protocol, determining timelines and proposing how the procedures would be operationalized.
<b>Policy</b>	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.
<b>Policy Coordinator</b>	The designated agent of the Office of the University Secretariat, who provides planning, co-ordination and facilitation support for the



procedure sponsor and stakeholders in the development and maintenance of policies and procedures. The policy coordinator assists the procedure sponsor and stakeholders in creating a development plan and then monitors and facilitates the execution of that plan.

### **Policy Sponsor**

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 sponsor also ensures staff compliance with established policies and procedures. If the executive officer or director delegates the implementation of the policies and procedures to another person, a written delegation will be kept on file in the working policy file within the Office of the University Secretariat.

### **Procedure**

The established steps to be followed routinely in order to ensure that the outcome and values expressed in the policy are achieved.

### **Stakeholders**

Individuals or groups for whom the policies and procedures have an operational impact.

### **Workflow**

Approval process attached to all procedures once a development plan has been developed. Workflow is attached to prevent any future changes without all stakeholders of each document being aware of and agreeing to the changes.

### **Procedure**

1. The policy sponsor or another member of the AU community identifies the need for a new or revised procedure. After the need has been identified, the appropriate policy sponsor is notified and development or revision of the procedure is initiated.
2. The appropriate policy sponsor completes a Procedure Development Form ([Appendix A](#)) and Procedure Notification Form ([Appendix B](#)) and submits them to the policy coordinator.
3. Upon receipt of the procedure development form and the procedure notification form, the policy coordinator will meet with the policy sponsor to prepare a development plan consisting of the identification of stakeholders and the proposed consultation group.
4. Workflow is assigned and the policy sponsor initiates the development plan and completes the summary of due diligence. The policy coordinator is to be utilized for consultation, questions, comments, attendance at stakeholder or working group meetings and for reviews of drafts at any stage in the development. All AU procedures will be developed using the AU procedure template ([Appendix C](#)) and the following guidelines:
  - *review existing policies and procedures* – determine whether existing procedures are adequate or require revision, or if a new procedure should be developed;



- *review relevant legislation that may impact the procedures;*
  - *establish the procedure parameters* - identify stakeholders, quantify problems/demands to be addressed, show how procedures will contribute to the successful compliance with policy, etc;
  - *operational impact* - describe the costs, benefits, risks and other relevant impacts for the procedures.
5. A procedure must:
- facilitate the compliance of AU's approved policies;
  - assign responsibility and outline operational process to appropriate faculty and staff;
  - try to address all details and provide established solutions;
  - be written in clear and concise language;
  - be sufficiently researched;
  - consider the impact on faculty, staff and students;
  - comply with legislation, policy and collective agreements;
  - include the development of appropriate forms, guidelines, best practices and relevant documentation and make them accessible to faculty, staff and students.
6. Vetting of the procedures must include the original policy approving body and any other consultative groups identified in the development plan as being affected by the proposed or revised procedures. The policy sponsor or designate must ensure that, where appropriate, feedback received is incorporated into the draft procedure.
7. A final draft is forwarded to the policy coordinator for review and confirmation of compliance with the development plan and workflow prior to posting the procedures in the appropriate format.
8. The policy coordinator will ensure that the procedures are posted on AU's website, updated in AU's policy and procedure manual and that the policy sponsor is notified accordingly.
9. One paper copy of each procedure directly associated and referred to in the policies, and each version of the procedure, will be kept in a central location within the Office of the University Secretariat and will be considered the official version.



10. Once finalized, the policy sponsor is responsible for implementation of the policy. The procedures should be communicated to all affected faculty, staff and students and arrangements should be made by the policy sponsor for appropriate training, interpretation and compliance monitoring.
11. All procedures must be reviewed annually, at a minimum, to ensure currency and relevancy. As part of this review, an annual status report indicating revisions to existing procedures and new procedure development for the coming year will be prepared by the procedure sponsor with the assistance of the policy coordinator. This annual report will be presented to Executive Group, The Board and GFC by the Office of the University Secretariat.
12. Notwithstanding the formal review process and annual report, procedure sponsors are responsible for keeping their procedures current and informing the policy coordinator of any changes.
13. AU departments and centres will be responsible for developing their own internal procedures. All AU departments and centres must maintain an up-to-date internal procedures manual and must make appropriate stakeholders aware of its location. If appropriate procedures should be published on the intranet or on the department or centre webpage.

### **Applicable Legislation and Regulations**

N/A

### **Related References, Policies, Procedures and Forms**

[Appendix A – Procedure Development Form](#)

[Appendix B – Procedure Notification Form](#)

[Appendix C – Procedure Template](#)

[Procedure Template - Standard Format](#)

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

[Policy Development Process](#)

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

[Policy Revision Process](#)

### **History**

N/A



## Appendix A

### ATHABASCA UNIVERSITY

Office of the University Secretariat

#### Procedure Development Form

<b>Document Type:</b>	i.e. Procedure, Appendix, Guideline, Form	Delete all those that do not apply.
<b>Document Title:</b>		Enter title as it will appear on the document.
<b>Category:</b>		List the category that best applies.
<b>Key Words:</b>		Enter key search words. Separate each with a comma.
<b>Associated Documents:</b>		Enter all associated documents.

#### Development Plan and Workflow Compliance

(completed prior to approval)

<b>Policy Sponsor:</b>	Department/Centre responsible for the document. Mandatory for all documents.
<b>Development Responsibility:</b>	Identify the person responsible and accountable for the development process for the document. <b>Signed and dated</b> by that person.  <b>Completes summary of due diligence.</b>



**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

**Original Policy  
Approving Body:**

i.e. The Governors of Athabasca University, General Faculties Council

Identify the group that approved the associated policy

**Original Approval Date:**

Identify the date of the meeting. Attach a copy of the meeting minutes.

**Effective Date of  
Procedures:**

Identify the date the document becomes effective.

**Approving Body  
Notification:**

**Signed** by the appropriate executive officer, chair or designate once the appropriate approving body has reviewed the new or revised document.

### 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:**

**Describe the involvement and results for  
each Consultation Group/Stakeholder**



**list name and title;**

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

## **Appendix B**

### **ATHABASCA UNIVERSITY**

**Office of the University Secretariat**

### **Procedure Notification Form**

**Procedure Title:**

**Associated Policy Title:**

**Department:**

**Requested by:**

**Date:**

1. Who is the individual responsible for the associated procedures?



Name:            E-Mail:

Phone:           Job Title:

2. Are these new procedures?

Yes                No           

3. Are these procedures the result of a new policy or a revision to a policy? Explain why the change in published procedures is necessary.

4. Describe changes to procedure (attach old and new procedures)

5. Will the new/revised procedures impact any of the following?

           Collective Agreements

           Existing Policy

           Existing Procedures

           Existing Forms

Describe the impact:

6. What new forms or documentation will be associated with these procedures?

7. List the individuals or groups for whom the procedures has an operational impact or whose activities will be impacted by the procedures.

8. Has an appropriate training plan been developed to institute the new/revised procedures? Provide details. If not yet developed, a training plan must be included for information when procedures are provided to the original approving group and the consultative group.





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

## Appendix C – Policy Template

### Enter Title of Procedure

<b>Policy Sponsor:</b>	Enter the name of department/Centre responsible for the administration of the policy.
<b>Name of Parent Policy:</b>	Enter the name of the associated policy.
<b>Policy Contact:</b>	Enter the position title of the appropriate contact for questions, etc. regarding the policy.
<b>Procedure Contact:</b>	Enter the position title of the appropriate contact for questions, etc. regarding the procedures.
<b>Effective Date of Procedures:</b>	Enter the date the procedures will be effective.
<b>Review Date:</b>	Enter the next review date. Policies are to be reviewed annually at a minimum.

---

### Purpose

Provide a succinct statement indicating the reason for the procedure's existence and importance.

### Definitions

Define words to specify which meaning of a word or expression is being used in the procedures. Keep the definitions consistent between the associated policies and procedures. Be wary of defining a common word that may also be used in its everyday sense elsewhere.

Definitions can also be used to avoid repeating long phrases or qualifiers or to create a shorthand phrase for a complex concept.

### Procedure

In this section, provide a clear, concise outline of the required procedural steps that need to be taken. Specify who is responsible for what steps. Detail what forms and other documentation are required to comply with procedure.



Students, faculty and staff should be regarded as the ultimate user of the procedures, and procedures should be written with these users in mind. Try to avoid the use of strictly technological language unless clear definitions are provided. Remember that procedures are public documents and will be published.

If an action is mandatory "must" or "will" is used. If the action is recommended, then "should" is used. If the action is permissive, "may" is used. In most cases, the present tense is preferred.

Avoid the use of gender-specific pronouns. Use "their" in place of "he/she."

Internal consistency in the use of language is important. In particular, different words and expressions should not be used for the same thing. Ambiguity will cause difficulty for those using the procedures. Always refer to the relevant policies to ensure that clarity is maintained. Use the active voice rather than the passive voice. Make it clear who is responsible for the action, rather than leaving it ambiguous.

Avoid the use of double negatives.

Before using acronyms detail the full term/title.

### **Applicable Legislation and Regulations**

State the relevant legislation this policy must comply with or is referenced to.

Regulations are rules or orders issued by an executive authority or regulatory agency of government that have the force of law. State any relevant regulations that affect this policy.

### **Related References, Policies, Procedures and Forms**

If any procedure has a number of policies, guidelines and/or documents associated with it, these should be listed in this section of the procedures. All policies, guidelines or forms that have been prepared to assist in the implementation of the procedures must be referenced here and provided through hyperlink.

### **History**

List dates the policy was reviewed, updated and/or reformatted.