Approval Date: August 19, 2005

Most Recent Editorial Date: March 29, 2020

Parent Policy: Policy Development Framework

UAPPOL Document Development Procedure

Office of Administrative Responsibility:	Vice-President (Finance and Administration)
Approver:	Vice-President (Finance and Administration)
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

University policy, procedure and other related documents apply to all members of the University community. Policies must be clear and concise statements of expected behaviors, practices and standards; procedures outline the steps expected to be taken to comply with policies; appendices are intended to complete policy or procedure; information documents communicate additional important information; forms assist in following outlined procedure. UAPPOL documents must be developed and revised using an effective and consistent approach. The *Policy Development Toolkit* contains further information and resources for the development and publication of UAPPOL materials and the rescission of outdated materials.

Purpose

To have a consistent approach to the development of policies and procedures that ensures there is no overlap, that sufficient research is done, and that thorough vetting and **stakeholder** involvement occur.

PROCEDURE

1. POLICY DEVELOPMENT

Development of new policy and redevelopment of existing policy begins with an endorsement as a priority by the Board of Governors, the General Faculties Council or by a senior administrative or academic leader (Vice-President, Dean or Director). In order to keep within the *Policy Development Framework*, the following steps must be followed:

a. The **Office of Accountability** (VP) appoints an **Office of Administrative Responsibility** and a **development lead**.

b. The Office of Administrative Responsibility and the Development Lead write a Policy Development Plan, and identify stakeholders and an approval path.

c. The development lead conducts an **Environmental Scan**.

d. The Policy Development Plan is shared with University governance for review of the approval routing, and with the UAPPOL team for verification that there are no overlapping or contradicting documents currently in development.

e. Workflow is assigned and the development plan is forwarded to the Office of Accountability for approval to proceed.

f. The development lead implements the Development Plan. The UAPPOL team is available for consultation, questions, comment, attendance at stakeholder or working group meetings, or for review of drafts at any stage in the development.

g. Drafts are developed and vetted. Vetting of the policy must include all groups affected by the policy, the Office of Accountability, and the UAPPOL Team.

h. A final draft and workflow are forwarded to the Office of Administrative Responsibility for review and to the UAPPOL team for confirmation of *Policy Development Framework* compliance and approval of workflow.

i. The Office of Administrative Responsibility recommends the proposed policy for approval to the Office of Accountability.

j. The Office of Administrative Responsibility and/or the development lead request rescission of any prior policies that incorporate similar or contradicting information. (Note: rescission date of the old policy and the effective date of the new policy must be the same.)

k. The Office of Accountability affirms due diligence, supports the policy and either:

i. approves the policy; or,

ii. escalates the policy to higher Governance bodies according to the Development Plan's Approval Path.

l. Once the policy has been routed to the final approver and is approved, the Office of Accountability notifies the Office of Administrative Responsibility and the development lead. A *UAPPOL Document Development and Publication Form* is completed and sent to the appropriate content manager.

m. The content manager loads the policy into UAPPOL with the approval date entered into the document and workflow attached.

n. The Office of Administrative Responsibility and/or the development lead carry out the necessary communications identified in the Development Plan to inform campus of the policy.

Development of other UAPPOL documents to be published in UAPPOL, such as procedures and appendices, will follow similar steps to ensure due diligence. The steps will vary for these document types based on the type of document it is and the approval routing that applies. The UAPPOL team is available to assist with questions if it is not clear which steps in the process apply to the development of procedure or other related documents.

2. DOCUMENT REQUIREMENTS

In order to create a document server that offers a consistent look to its contents, all documents must adhere to certain standards and styles.

a. Policy, Procedure and Appendix document types must be created in the templates provided in the *Policy Development Toolkit*. (contact your Development Lead)

b. The Overview section of the policy template must indicate where the approver of the document derives the authority to approve documents relating to this matter.

c. As part of the due diligence in development of a document, the development lead must check with a legislative/regulatory expert to verify the authority on this matter.

d. Procedure and Appendix document types must link to a parent policy.

e. Document types that do not have a required template (Information Documents and Forms) must include the following information in the footer of the document:

University of Alberta Policies and Procedures Online (UAPPOL) Document
Last Update:

Office of Administrative Responsibility:
Parent Document (if applicable):

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top]	
Stakeholders	All groups or units for whom this policy has an operational impact or whose activities will be impacted by the policy.
Office of Accountability	The senior administrative office or governance unit that is responsible for developing the policy, any future re-development of the policy, ensuring the policy is in compliance with the *Policy Development Framework*, and ensuring the policy is properly vetted and approved.
Office of Administrative Responsibility	The office responsible for executing the policy, for assisting with the development or redevelopment activities and for assisting with the monitoring of compliance.
Development Lead	Acting as the sponsor's agent, the lead plays a planning, co-ordination and facilitation role. While stakeholders have ownership for the policy deliverable, the lead supports the sponsor and stakeholders in achieving that outcome. A key activity is working with the stakeholders and sponsor to create a policy development plan, then monitoring and facilitating the execution of that plan.
Policy Development Plan	A plan that includes defining the scope of the policy issue, affirming stakeholders and defining their role in development, completing the environmental scan, summarizing the changes if it is change to an existing policy, developing a vetting protocol, determining the approval protocol and timelines, and indicating how the proposed policy would be operationalized.
Environmental Scan	A review of: current policy (GFC, BOG, MAPPS), legislation that may impact the policy, other applicable information existing on campus, and information and policies from other post-secondary institutions or private sector organizations.
Workflow	Workflow is the electronic approval process that is attached to all policies, and may also be attached to procedures as necessary. Workflow is attached after all of the approvals have occurred preventing future changes without the approving bodies of each document being aware of and agreeing to the changes.

FORMS

There are no forms for this Procedure. [▲Top]

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca. [▲Top]

UAPPOL Governance (University of Alberta)