The following Motions and Documents were considered by the GFCGeneral Faculties Council at its Monday, May 27, 2024 meeting:

Agenda Title: **New Members of GFC**

CARRIED MOTION:
MOTION I: TO APPOINT/REAPPOINT:
The following undergraduate student representatives to serve on GFC for terms commencing May 27, 2024 and ending April 30, 2025:
- Manan Upadhyaya Science
The following graduate student representatives at-large to serve on GFC for terms commencing May 27, 2024 and ending April 30, 2025:
- Jad-Julian Rachid
- Elise Osei
- Malik Awan
- Aitazaz Hassan
- Selina Fan
- Ibrahim Khodabocus
- Bilal Ashgar
- Zohaib Saleem
- Sophie Shi
- Simran Panesar

CARRIED MOTION:
MOTION II: TO RECEIVE:
The following statutory academic staff members who have been elected by their Faculty, to serve on GFC for a term of office beginning July 1, 2024, and ending June 30, 2027:
- Liz McGinitie Augustana
- Sanjay Banerjee Business, Alberta School of
- Paul Gareau Native Studies
- Colleen Norris Nursing
- Erin Pollock Public Health, School of
- Alison Murray Science
- Beth Powell Science
- Brian Lanoil Science
- Ryan McKay Science
- Charlie Mballa Saint-Jean, Faculté

Final Item: 4.

Agenda Title: **Proposed Changes to Thesis Requirements for Graduate Students (GPS)**

CARRIED MOTION:
That the General Faculties Council, on the recommendation of the GFC Committee on the Learning Environment, approve the changes to the Thesis Requirements for Graduate Students as outlined, for implementation upon final approval.

Final Item: 5.

Agenda Title: **GFC Motion asking for a thorough third-party independent investigation**

CARRIED MOTION:
THAT It is therefore resolved that the General Faculties Council at the University of Alberta respectully recommends to the Board of Governors that a thorough third-party independent investigation be held into the events and decisions made by the administration at the University of Alberta, and any others as warranted, associated with the decision to remove the protest encampment in the Quad by police action, which occurred on May 11, 2024, and that the full and final report associated with that thorough third-party independent investigation be released to the university community.

Final Item: 6.

Agenda Title: **University Policy Development Oversight**

CARRIED MOTION:
THAT the General Faculties Council recommend that the Board of Governors approve the Policy Development Policy.

Final Item: 7.

New Members of GFC

MOTION I: TO APPOINT/REAPPOINT:

The following undergraduate student representatives to serve on GFC for terms commencing May 27, 2024 and ending April 30, 2025:

-   Manan Upadhyaya   Science

The following graduate student representatives at-large to serve on GFC for terms commencing May 27, 2024 and ending April 30, 2025:

-   Jad-Julian Rachid
-   Elise Osei
-   Malik Awan
-   Aitazaz Hassan
-   Selina Fan
-   Ibrahim Khodabocus
-   Bilal Ashgar
-   Zohaib Saleem
-   Sophie Shi
-   Simran Panesar

MOTION II: TO RECEIVE:

The following statutory academic staff members who have been elected by their Faculty, to serve on GFC for a term of office beginning July 1, 2024, and ending June 30, 2027:

-   Liz McGinitie   Augustana
-   Sanjay Banerjee   Business, Alberta School of
-   Paul Gareau   Native Studies
-   Colleen Norris   Nursing
-   Erin Pollock   Public Health, School of
-   Alison Murray   Science
-   Beth Powell   Science
-   Brian Lanoil   Science
-   Ryan McKay   Science
-   Charlie Mballa   Saint-Jean, Faculté

ITEM NO. 5

Decision X **Discussion** ☐ **Information** ☐

ITEM OBJECTIVE: Propose Changes to the Thesis Formatting Requirements for Graduate Students

DATE	May 27, 2024
TO	General Faculties Council
RESPONSIBLE PORTFOLIO	Provost and Vice-President (Academic)

MOTION: That the General Faculties Council, on the recommendation of the GFC Committee on the Learning Environment, approve the changes to the Thesis Requirements for Graduate Students as outlined, for implementation upon final approval.

EXECUTIVE SUMMARY:

The proposal is before the committee to discuss changes to the current thesis format guidelines within the calendar. These changes highlight two areas:

1. Last year's Unit Review and consistent feedback from students have made clear that the current thesis format guidelines document lacks clarity, is not user friendly, and must be replaced.
2. At the same time, we have been receiving more requests from students and supervisors in recent years to allow theses in formats other than the traditional chapter- or paper-based document. These requests have been accommodated on a case-by-case basis, which takes up valuable staff time in the absence of any established procedure or student-facing formatting guidance.

This Calendar change enables students to create theses in any format deemed acceptable by their program, supervisor, and supervisory committee, and points to two new formatting guideline documents that address calls for more clarity and ease of use.

Note: The updated guidelines are available for information, but are not part of the Calendar language changes and do not require approval.

Supporting Materials:
1. Calendar Change Request Form: Thesis Changes
2. For Info: Digital Artistic Performance Mixed Thesis Format Guidelines
3. For Info: Paper Chapter Based Thesis Format

GOVERNANCE OUTLINE

ITEM NO. 6

SCHEDULE A:

Engagement and Routing

Additional Consultation:

Acting Director of Media and Technology Studies and Digital Humanities Area Coordinator, March 27, 2024
Department of Art and Design Director of Graduate Programs, April 3, 2024
Department of Music Director of Graduate Programs, April 5, 2024

Approval Route:

- GPST: March 25, 2024
- GPS Council: April 17, 2024
- CLE: April 24, 2024 (Anticipated)
- GFC: May 27, 2024 (Anticipated)

Supplementary Notes / Context *from University Governance:*

GOVERNANCE OUTLINE

Calendar Change Request Form
for Program and Regulation Changes
See the Calendar Guide for tips on how to complete this form.

UNIVERSITY OF ALBERTA

Faculty (& Department or Academic Unit):	Faculty of Graduate & Postdoctoral Studies
Contact Person:	Micah True (Associate Dean)
Level of change: (choose one only)	• Undergraduate
	• Graduate
Type of change request: (check all that apply)	• Program
	• Regulation
For which term is this intended to take effect?	Fall 2024 (Early Implementation Requested)
Does this proposal have corresponding course changes? (Should be submitted at the same time)	No

Rationale

Things to consider (maximum 500 words): Why is this being changed; How will it benefit students/department/unit; How is this comparable to similar programs (internal or external); Historical context; Impacts to administration or program structure; Consultation with stakeholders

Last year's Unit Review and consistent feedback from students have made clear that the current thesis format guidelines document lacks clarity, is not user friendly, and must be replaced. At the same time, we have been receiving more requests from students and supervisors in recent years to allow theses in formats other than the traditional chapter- or paper-based document. These requests have been accommodated on a case-by-case basis, which takes up valuable staff time in the absence of any established procedure or student-facing formatting guidance.

This Calendar change enables students to create theses in any format deemed acceptable by their supervisor and supervisory committee, and points to two new formatting guideline documents that address calls for more clarity and ease of use.

Note: The updated guidelines are available for information, but are not part of the Calendar language changes and do not require approval.

Calendar Copy

URL in current Calendar (or "New page")

Current Copy: ~~Removed language~~	**Proposed Copy:** New language

Thesis Requirements

Regulations and Outline of Responsibilities

All students in a thesis degree program must present and defend a thesis embodying the results of their research. The topic of the master's and doctoral thesis must have been approved by the student's supervisor and supervisory committee ~~respectively~~.

Departments may set specific requirements for student theses, including requirements pertaining to traditional format theses, paper-based theses (e.g., theses consisting of published, accepted or submitted papers), and mixed format theses (combining the ~~traditional format and the paper-based format~~). Clarity is recommended in setting departmental requirements to avoid disputes later.

For students in a master's degree program, the thesis, at a minimum, should ~~reveal~~ that the student is able to work in a scholarly manner and is acquainted with the principal works published on the subject of the thesis. As far as possible, it should be an original contribution.

A doctoral thesis, at a minimum, must embody the results of original investigations and analyses and be of such quality as to merit publication, meeting the standards of reputable scholarly publications. It must constitute a substantial contribution to the knowledge in the student's field of study.

The thesis should normally be written in English. In some departments, students may be permitted to write their thesis in a language other than English, provided that language has been approved for use by the supervisory committee, the department, and the Dean of the department's Faculty. Theses written in a language other than English must have two abstracts, one in the language of the thesis, and the other in English.

Students are responsible for following the [FGSR Minimum Thesis Formatting Requirements](#).

Thesis Requirements

Regulations and Outline of Responsibilities

All students in a thesis degree program must present and defend a thesis embodying the results of their research. The topic and format of the master's and doctoral thesis must have been approved by the student's supervisor and supervisory committee.

Departments may set specific requirements for student theses, including requirements pertaining to traditional format theses, paper-based theses (e.g., theses consisting of published, accepted or submitted papers), theses composed of digital, artistic, or performance-based materials, and mixed format theses (combining any of the above formats). Clarity is recommended in setting departmental requirements to avoid disputes later.

For students in a master's degree program, the thesis, at a minimum, should demonstrate that the program's learning outcomes have been achieved and that the student is able to work in a scholarly manner and is acquainted with the principal works published on the subject of the thesis. As far as possible, it should be an original contribution.

A doctoral thesis, at a minimum, must embody the results of original investigations and analyses. It must demonstrate that the program's learning outcomes have been achieved and be of such quality as to merit publication, meeting the standards of reputable scholarly publications. It must constitute a substantial contribution to the knowledge in the student's field of study.

The thesis should normally be written in English. In some departments, students may be permitted to write their thesis in a language other than English, provided that language has been approved for use by the supervisory committee, the department, and the Dean of the department's Faculty. Theses written in a language other than English must have two abstracts, one in the language of the thesis, and the other in English.

Students who write chapter- or paper-based theses, or theses combining these two formats, are responsible for following the [FGSR Minimum Thesis Formatting Requirements](#) <<insert new link>> for Chapter- and Paper-Based Theses.

It is the responsibility of both the student and the supervisor(s) to be aware of any specific requirements of the student's department with respect to the student's thesis.	<mark>Students who prepare theses in other formats, or that combine other formats with papers or chapters, are responsible for following the FGSR Minimum Thesis Formatting Requirements for Digital, Artistic, Performance-based and Mixed-format Theses</mark> <<insert new link>>. It is the responsibility of both the student and the supervisor(s) to be aware of any specific requirements of the student's department with respect to the student's thesis.

Reviewed/Approved by:

REQUIRED: Faculty Council (or delegate) and approval date:

GPST: March 25, 2024
GPS Council: April 17, 2024
CLE: April 24, 2024 (Anticipated)
GFC: May 27, 2024

OPTIONAL: Other internal faculty approving bodies, consultation groups, or departments, and approval dates.
Acting Director of Media and Technology Studies and Digital Humanities Area Coordinator, March 27, 2024
Department of Art and Design Director of Graduate Programs, April 3, 2024
Department of Music Director of Graduate Programs, April 5, 2024

GPS Minimum Formatting Requirements:
Digital, Artistic, Performance-based, and Mixed-format Theses

With the approval of your supervisor and supervisory committee, you may choose to produce a thesis that is composed partly or entirely of digital, audio, video, or other materials that cannot be presented as text. Be aware that:

- It is your responsibility to ensure that all non-textual elements of your thesis are saved in one of the preferred formats appearing in the Library of Congress' most recent [Recommended Formats Statement](#).

- All non-textual elements of your thesis must be submitted to GPS with file names that match those in the List of Files described in the table below.

- Theses Canada (part of Library and Archives Canada) prohibits inclusion of personal information in a thesis. Examples include dates of birth, signatures, student numbers, home addresses, and telephone numbers.

- Discipline-specific guidelines in addition to these minimum requirements may be available from your program.

- Although your thesis may primarily use non-textual media, it must include a text-based component that consists at a minimum of a clear description of your thesis.

General Requirements for the Text-Based Component of the Thesis

- Every page except the title page must have a page number, in the same place on every page. Use lower-case roman numerals (i, ii, iii, etc.) for items 1-5 in the table below and arabic numerals (1, 2, 3, etc.) for items 6 and 7, if applicable.

- Use a single, conventional font, equivalent in size to Arial 10 pt or Times New Roman 12 pt. Choose a font that is easy to read on a screen, (eg: Georgia 11 pt, Times New Roman 12 pt, Trebuchet MS 10 pt, or Verdana 10 pt).

- Line spacing must be at least one-and-a-half spaces, except for the thesis abstract, which must be double-spaced. Single spacing may be used for long quoted passages and footnotes, if applicable (see "Additional Textual Elements," below).

- Use a consistent, discipline-appropriate style for footnotes, endnotes, or in-text references, if applicable. Check with your program or supervisor for guidance about preferred reference styles in your discipline.

- The text-based description of your thesis must be [saved in PDF/A format](#) for submission to GPS.

Elements of the Text-Based Component of your Thesis

Follow closely the guidance in the table below to format the various components of your thesis:
- ⇒ Green items are required
- ⇒ Yellow items are optional
- ⇒ Orange items may be required depending on the characteristics of your thesis
- ⇒ Items must appear in the order indicated

See Appendix for sample pages

Item	Element	Requirement
1	Title page	Make sure your title page matches the requirements shown in the Appendix.
2	Abstract	Concise summary of your thesis consisting solely of text (no images, tables, etc) and no more than 700 words. State the subject of your thesis, methods, and general conclusions. Theses written in a language other than English require abstracts in both languages. The abstract is always marked page "ii".
3	Preface	• Provide full bibliographic citations for any material in the thesis that has already been published and indicates the chapter(s) where it appears. • Acknowledge co-authorship or research collaboration that produced any of the material in the thesis and indicate the relative contributions of all collaborators and co-authors. • Provide details of any ethics approval you obtained for the research. • Acknowledge use of generative artificial intelligence/Large Language Models if this has been permitted by your program and supervisory committee. **OR** • State that the thesis consists solely of your own unpublished work.
4	Dedications or quotations	Ask your supervisor or program director if including such material is appropriate in your discipline. One page maximum.
5	Acknowledgements	Optional but recommended: acknowledge third-party funding (foundations, grant agencies, foreign countries, etc.) and the assistance of your supervisor, committee, and others. 2 pages maximum.
6	Table of Contents	Required only if your thesis includes textual elements saved in PDF/A format in addition to items 1, 2, 3, and 7. Also include every other item in this formatting guide that appears in your thesis, except the title page, in the same order as in the thesis.
7	List of Files	List items that make up your thesis, including titles and file names.
8	Additional Textual Elements	Chapters or any other textual portions of your thesis that you wish to submit in PDF/A instead of another format. Begin numbering any such pages with the Arabic numeral 1. **All** subsequent pages are numbered consecutively.
9	Bibliography, Works Cited, or References	Required if no other part of your thesis (e.g. a website) includes a complete list of all sources used in its preparation. Pages should be numbered consecutively, and in sequence with the item 8 above (if applicable).

GPS Minimum Formatting Requirements:
Chapter- and Paper-Based Theses

General Requirements

- Every page <u>except the title page</u> must have a page number, in the same place on every page. Use lower-case roman numerals (i, ii, iii, etc.) for items 1-10 in the table on page 2 and Arabic numerals (1, 2, 3, etc.) for items 11-13.

- Use a single, conventional font throughout the thesis, equivalent in size to Arial 10 pt or Times New Roman 12 pt. Choose a font that is easy to read on a screen, (eg: Georgia 11 pt, Times New Roman 12 pt, Trebuchet MS 10 pt, or Verdana 10 pt).

- Line spacing must be at least one-and-a-half spaces, except for the thesis abstract, which must be double-spaced. Single spacing may be used for long quoted passages and footnotes.

- Use a consistent, discipline-appropriate style for footnotes, endnotes, or in-text references. Check with your program or supervisor for guidance about preferred reference styles in your discipline

- Theses Canada (part of Library and Archives Canada) prohibits inclusion of personal information in a thesis. Examples include dates of birth, signatures, student numbers, home addresses, and telephone numbers.

- Your thesis must be [saved in PDF/A format](#) for submission to the Faculty of Graduate and Postdoctoral Studies.

- Discipline-specific guidelines in addition to these minimum requirements may be available from your program.

Components of the Thesis

Follow closely the guidance in the table on page 2 to format the various components of your thesis:

⇒ Green items are required
⇒ Yellow items are optional
⇒ Orange items may be required depending on the characteristics of your thesis
⇒ Items must appear in the order indicated

See Appendix for sample pages.

Item	Component	Requirement
1	Title page	Make sure your title page matches the requirements shown in the Appendix.
2	Abstract	A concise summary of your thesis consisting solely of text (no images, tables, etc.) and no more than 700 words. State the subject of your thesis, methods, and general conclusions. Theses written in a language other than English require abstracts in both languages. The abstract always begins on page "ii".
3	Preface	- Provide full bibliographic citations for any material in the thesis that has already been published and indicate the chapter(s) where it appears. - Acknowledge co-authorship or research collaboration that produced any of the material in the thesis and indicate the relative contributions of all collaborators and co-authors. - Provide details of any ethics approval you obtained for the research. - Acknowledge the use of generative Artificial Intelligence/Large Language Models if this has been permitted by your program and supervisory committee. **OR** - State that the thesis consists solely of your own unpublished work.
4	Dedications or quotations	Ask your supervisor or program director if including such material is appropriate in your discipline. One page maximum.
5	Acknowledgments	Optional but recommended: acknowledge third-party funding (foundations, grant agencies, foreign governments, etc.) and the assistance of your supervisor, committee, and others. 2 pages maximum.
6	Table of contents	Include chapter headings and 2-4 levels of subheadings. Also include every other item in this formatting guide that appears in your thesis, except the title page, in the same order as in the thesis.
7	Lists: tables, figures, illustrations, videos, sound files, etc.	Include a separate list, beginning on a new page, for each kind of non-textual item appearing in the body of the thesis (one list for tables, another for illustrations, etc.). Lists can be in any order.
8	Lists of symbols or abbreviations	Ask your supervisor or program director if your thesis needs a list of symbols or abbreviations. Each list must start on a separate page.
9	Glossary of terms	Ask your supervisor or program director if this is necessary.
10	Other preliminary items	Any discipline- or thesis-specific prefatory materials not mentioned in these guidelines should be placed directly before the body of the thesis.
11	Body of the thesis	Minimum requirement: introduction, presentation of your research, and conclusion. The first page is always numbered with Arabic numeral 1. **All** subsequent pages are numbered consecutively.
12	Bibliography, Works Cited, or References	List all sources used for the thesis, even if individual papers in a paper-based thesis have their own lists. This list is not numbered as a chapter. Pages are numbered consecutively with the body.
13	Appendices	Supporting material that is referenced in the body of the thesis. Appendices are not numbered as chapters, and should be kept to a minimum. Pages are numbered consecutively with the Bibliography.

Submitted GFC Motion asking for a thorough third-party independent investigation into the events and decisions made associated with the decision to remove the May 2024 protest encampment in the Quad

Moved by Professor GE Swaters, President of the Association of Academic Staff at the University of Alberta

Whereas, as acknowledged by President Bill Flanagan in the May 23, 2024 edition of the University of Alberta Quad newsletter, the police action on May 11, 2024 to forcefully remove the protest encampment located in the Quad has caused hurt and trauma for many university community members and beyond, especially those who have had harmful experiences with the police, including Black and Indigenous community members, and others , such as Jewish and Palestinian community members and their families, who have experienced harm and violence at the hands of the military and military-like organizations.

Whereas there are divergent and contradictory accounts and narratives surrounding the events and actions that allegedly occurred within the encampment and within the administration, respectively, leading up to the decision by the administration to remove the protest encampment from the Quad by police action.

Whereas the decision by the administration to remove the encampment from the Quad raises important questions related to charter protected free speech and academic freedom, which are rights and contractual obligations fundamental to the research, scholarship and teaching and other academic goals of the University of Alberta, which is thus arguably and properly an "academic affair" as contemplated in Section 26(1) of the Alberta Post-Secondary Learning Act.

Whereas the May 23, 2024 meeting of the Arts Faculty Council passed a motion of non-confidence in President Bill Flanagan as a consequence of the administration's decision to authorize the use of police to remove the protest encampment in the Quad.

Whereas finding a path forward for the university community after the police action on May 11, 2024 can only occur, in the spirit and traditions of truth and reconciliation, after all the facts leading up to and associated with the decision to remove the encampment are fully known to the university community and beyond, as determined by an authoritative and trusted thorough third-party independent examination and investigation.

Whereas the Students' Union, Graduate Students' Association, Post-Doctoral Fellows Association, Non-Academic Staff Association, and the Association of Academic Staff at the University of Alberta have jointly called for a thorough third-party independent investigation into the events and decisions within the administration culminating in the forceful police removal of the protest encampment located in the Quad on May 11, 2024.

Whereas the proposed Alberta Serious Incident Response Team (ASIRT) investigation into the police action on May 11, 2024 will only focus on the specific actions of the police and not on the events and decisions leading up to authorizing the police action.

Whereas the General Faculties Council, as set out in Section 26(1) the Alberta Post-Secondary Learning Act, subject to the authority of the Board of Governors, "is responsible for the academic affairs of the University."

It is therefore resolved that the General Faculties Council at the University of Alberta respectfully recommends to the Board of Governors that a thorough third-party independent investigation be held into the events and decisions made by the administration at the University of Alberta, and any others as warranted, associated with the decision to remove the protest encampment in the Quad by police action, which occurred on May 11, 2024, and that the full and final report associated with that thorough third-party independent investigation be released to the university community.

FINAL ITEM NO. 8

Decision ☒ **Discussion** ☐ **Information**

ITEM OBJECTIVE: To approve the revised *Policy Development Policy*.

DATE	May 13, 2024
TO	General Faculties Council
RESPONSIBLE PORTFOLIO	Office of General Counsel

MOTION:
THAT the General Faculties Council recommend that the Board of Governors approve the *Policy Development Policy* as set out in Attachment 1.

EXECUTIVE SUMMARY:
Policies are important tools as they set out authority and responsibility within the University for compliance with legislation, the University's positions on certain issues, and how the University will address those issues.

The [Policy Development Framework](#) and its [Visions, Principles and Definitions](#) were originally approved by the Board of Governors (the "**Board**") on May 7, 2004, with a recommendation from GFC. Following direction from the Board Governance Committee, a revised and renamed *Policy Development Policy* has been drafted (see [Attachment 1](#)), distributed for discussion and feedback, and is now brought forward for approval.

Governance oversight of policies
The Board and General Faculties Council ("**GFC**") have key roles in University policy, including ensuring there is a policy framework within which the University sets out its own taxonomy of policy instruments. In this aspect, policies represent an opportunity to implement and extend the university's vision, mission, values and even strategy.

a) Revised *Policy Development Policy*

Significant primary changes from the 2004 version included:

- Refreshing and including principles for policy development in the policy itself;
- Formally defining University policy documents and the policy development processes;
- Increasing clarity around roles and responsibilities for policy developers, sponsors and approvers in areas of consultation, processes for creation, amendments and removal of policy documents; and approval; and
- Adding a definition of "**Board-level Policy**", as defined by the Board, into the Policy definitions.

Additional updates to the proposed Policy, based on feedback received at and after the March 11, 2024 GFC Executive Committee meeting include:

- Additional clarity in definitions;

GOVERNANCE OUTLINE

- Addition of proposed Board-level Policy definition as presented for approval by the Board of Governors;
- Acknowledging that there can be some level of administrative or operational overlap in policy and procedure across responsible units, so long as there are no contradictions in guidance or interpretations.

As noted above, the revised policy includes a clear definition of "Board-level Policy", which will help establish a scope for the Board to determine policies, strategies, or similar documents that it should be focused on. This definition makes it clear what policies fall under the Board's authority and where delegation of more operational policies and policy documents and their management (creation, approval, implementation, consolidation or rescission) to committees or to administration is appropriate.

Next Steps
The Policy will next go to GFC on May 27, 2024 for recommendation for approval by the Board of Governors.

Supporting Materials:
1. Draft *Policy Development Policy* (4 pages) - clean version
2. Draft *Policy Development Policy* (5 pages) - redlined version

SCHEDULE A:

Engagement and Routing

Consultation and Stakeholder Participation / Approval Route (parties who have seen the proposal and in what capacity)

*Those who are actively **participating**:* ● President's Executive Committee - Operations ● Office of General Counsel ● University Governance
*Those who have been **consulted**:* ● Board Governance Committee ● GFC Executive Committee ● General Faculties Council ● AASUA
*Those who have been **informed**:*

GOVERNANCE OUTLINE

FINAL ITEM NO. 8

Approval Route:
- May 13, 2024 - GFC Executive Committee (for recommendation)
- May 27, 2024 - General Faculties Council (for recommendation)
- May 29, 2024 - Board Governance Committee (for recommendation)
- June 14, 2024 - Board of Governors (for final approval)

Original Approval Date: **May 7, 2004**

Most Recent Approval: **DRAFT May 3, 2024**

Most Recent Editorial Date: **January 24, 2024**

Policy Development Policy

Office of Accountability:	President's Executive Committee - Operations (PEC-O)
Office of Administrative Responsibility:	Office of General Counsel, Policy Standards Office
Approver:	Board of Governors
Scope:	Compliance with this University-wide policy extends to all members of the University community involved with University Policy development, approval and review.

OVERVIEW

Policies and procedures are clear, concise directives that define and promote appropriate behaviors and practices on behalf of the University. University policies and procedures reflect the values and internal governance structures of the University, and as such they must be developed, approved, reviewed, updated and made accessible according to a standardized approach or methodology.

This Policy provides direction to policy developers to create, implement and maintain clear, concise and differentiated policy documents that are easily accessible and understood; enable operational efficiency; reduce institutional risk; and ensure compliance and alignment with applicable laws, rules, regulations, and the University's culture and values.

The Policy also serves to assist policy developers in understanding the appropriate governance approval pathways for policies, including identifying policies for which approval by the University's Board of Governors should be sought (defined in this document as **Board-level Policy**).

PURPOSE

The Policy Development Policy provides direction for effective and consistent practice in the development and administration of University **Policy Documents**. The purpose of this Policy is to explain the process of how Policy Documents are developed, approved, implemented, reviewed and communicated. In particular, this Policy describes:

- principles that apply to the development of Policy Documents;

- the roles and responsibilities of various offices and individuals;

- who may approve Policy Documents;

- an outline of the policy development process; and

- the responsibility for ongoing review, amendment and removal of Policy Documents.

POLICY

1. **PRINCIPLES FOR POLICY DEVELOPMENT**

   The following principles apply to the development of all Policy Documents. Policy Documents must:

   a. represent and be consistent with the University's strategic plans, direction and initiatives;

   b. not contradict other Policy Documents;

   c. be sufficiently researched and comply with applicable laws;

   d. be clearly written, in plain language;

   e. follow standard templates, style and structure;

   f. integrate and consider the needs of, and the impacts on, its users and **Interest-Holders**;

   g. be approved and implemented at the appropriate level of authority; and

   h. be retained in and made accessible through a single source electronic repository, institutionally referred to as **University of Alberta Policies & Procedures Online (UAPPOL)**.

2. **POLICY DOCUMENTS**

   The university's Policy Documents types are as follows: **Policy**, **Board-level Policy**, **Framework**, **Procedure**, and **Appendix**.

3. **ROLES AND RESPONSIBILITIES IN POLICY DEVELOPMENT**

   The Policy Document development process requires:

   a. the involvement of the **Policy Standards Office**, **Policy Development Sponsor**, **Office of Accountability**, **Office of Responsibility**, and **Approver**; and

   b. consultation with Interest-Holders.

4. **AUTHORITY TO APPROVE POLICY DOCUMENTS**

   Under the *Post-Secondary Learning Act* ("PSLA"), the Board of Governors and the General Faculties Council have authority to approve university policies and procedures and may delegate this approval authority to a unit or person..

5. **POLICY DEVELOPMENT PROCESS**

   a. Policy Documents will be developed, vetted, approved and published in accordance with a standard Policy Development Plan.

   b. Developing new Policy Documents or amending or removing existing Policy Documents will be a planned activity that includes:

      i. consulting with the Policy Standards Office;
      ii. identifying the appropriate Policy Development Lead, Office of Accountability, Office of Responsibility, Sponsors and Approvers;
      iii. conducting issue-appropriate due diligence and consultation;
      iv. using standard Policy Document templates;
      v. obtaining approval pursuant to the powers imparted by the PSLA; and
      vi. arranging for the publication of Policy Documents in UAPPOL.

6. **POLICY REVIEW, AMENDMENT AND REMOVAL**

   a. The Office of Accountability and Office of Administrative Responsibility are responsible for regularly reviewing Policy Documents for which they are responsible, to ensure that they continue to align with the University's strategic plans and initiatives and remain necessary, legally compliant and effective.

b. The Office of Accountability and Office of Administrative Responsibility are also responsible for initiating amendments to, or removal of a Policy Document where warranted. In doing so, these offices will work closely with the Policy Standards Office, as described in the University Policy Document Development Procedure.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
Appendix	An appendix contains supplemental information to a University Policy, Framework or Procedure.
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Board-level Policy	A Board-level Policy is a policy that articulates the University's values and communicates behavioral expectations with respect to strategic, material, and institutionally significant matters falling within the Board's jurisdiction as set out in the *Post-Secondary Learning Act* (Alberta), the bylaws of the Board, and other applicable statutes and associated regulations. A Board-level Policy must be approved by the Board of Governors. In addition to the foregoing, the Board of Governors will at all times retain its inherent jurisdiction to make and amend policies with respect to its own governance.
Framework	A framework is a Policy Document that serves as a support or guide for constructing other Policy Documents or related guidelines.
Interest-Holder	An Interest-Holder is any unit, office or individual that is impacted by a Policy Document.
Office of Accountability	The Office of Accountability is the senior administrative office or governance unit that is responsible for developing the University Policy, any future re-development of the policy, and ensuring the Policy Documents are in compliance with this Policy.

Office of Administrative Responsibility	Appointed by the Office of Accountability, the Office of Administrative Responsibility is responsible for executing a University Policy, for assisting with the development or redevelopment activities, and for assisting with the monitoring of policy or procedure compliance.
Policy	A Policy is a high-level statement of guiding principles and standards articulating the University's values and communicating behavioral expectations to be followed by its intended audience. A Policy provides direction and guidance to members of the University community on issues relevant to the University's mission, values, governance, and operations. A Board-level Policy is a type of Policy, in the context of this Policy Document.
Policy Development Lead	Acting as the Policy Development Sponsor's agent, the Policy Development Lead plays a planning, coordination and facilitation role.
Policy Development Plan	The Policy Development Plan is a formal document that assists policy document developers to define the purpose and direction of the policy issue to be developed, including identifying Interest-Holders and their role in policy document development, from consultation to approval.
Policy Development Sponsor	The Policy Development Sponsor is a member of the University's senior administration or a governance unit who is assigned by the Office of Administrative Responsibility to be responsible for a specific policy development/redevelopment activity.
Policy Documents	Policy Documents are created and approved as tools used by the University to promote certain behaviors in achieving a predefined set of goals. Policy Documents consist of one or more of Policy, Framework, Procedure, and Appendix.
Policy Standards Office	The Policy Standards Office is the administrative unit at the University responsible for the policy development process and the maintenance and publication of the Policy Documents produced thereof.
Procedure	A procedure is a description of the operational processes necessary to operationalize, and enable compliance with a University Policy.

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RELATED POLICIES, FRAMEWORKS, AND PROCEDURES

University Policy Document Development Procedure

RELATED LINKS

No related links

Approval Date: May 7, 2004

Most Recent Editorial Date: January 24, 2014

Most Recent Approval Date: DRAFT May 3, 2024

Policy Development PolicyFramework

Office of Accountability:	President's Executive Committee - Operational (PEC-O)
Office of Administrative Responsibility:	Office of General Counsel, Policy Standards OfficeOffice of the Vice-President (Finance and Administration)
Approver:	Board of Governors and General Faculties Council (EXEC)
Scope:	Compliance with this University-wide policy extends to all members of the University community involved with University Policy development, approval and review.Compliance with this University-wide policy extends to all members of the University community.

Overview

Policies and procedures are clear, concise directives that define and promote appropriate behaviors and practices on behalf of the University. University policies and procedures reflect the values and internal governance structures of the University, and as such they must be developed, approved, reviewed, updated and made accessible according to a standardized approach or methodology.

This Policy provides direction to policy developers to create, implement and maintain clear, concise and differentiated policy documents that are easily accessible and understood; enable operational efficiency; reduce institutional risk; and ensure compliance and alignment with applicable laws, rules, regulations, and the University's culture and values.

The Policy also serves to assist policy developers in understanding the appropriate governance approval pathways for policies, including identifying policies for which approval by the University's Board of Governors should be sought (defined in this document as **Board-level Policy**). University policy and procedure apply to all members of the University community. Policies need to be clear and concise statements of expected behaviors, practices and standards. As policy reflects the values of the University it is important that new and existing policy be developed or revised using an effective and consistent approach. This supports the University's commitment to being an exemplary organization, one that seeks to adopt best practices in dealing with administrative matters.

Purpose

The Policy on Policy Development provides direction for effective and consistent practice in the development and administration of University **Policy Documents**. The purpose of this Policy is to explain the process of how Policy Documents are developed, approved, implemented, reviewed and communicated. In particular, this Policy describes:

- principles that apply to the development of Policy Documents;

- the roles and responsibilities of various offices and individuals;

- who may approve Policy Documents;

- an outline of the policy development process; and

- the responsibility for ongoing review, amendment and removal of Policy Documents.

~~To ensure University policy is well cited, serves and is appropriately compliant with the vision and mission of the University of Alberta.~~

POLICY

1. **PRINCIPLES FOR POLICY DEVELOPMENT**

   a. The following principles apply to the development of all Policy Documents. Policy Documents must:

   - represent and be consistent with the University's strategic plans, direction and initiatives;

   - not contradict other Policy Documents;

   - be sufficiently researched and comply with applicable laws;

   - be clearly written, in plain language;

   - follow standard templates, style and structure;

   - integrate and consider the needs of, and the impacts on, its users and **Interest-Holders**;

   - be approved and implemented at the appropriate level of authority; and

   - be retained in and made accessible through a single source electronic repository, institutionally referred to as **University of Alberta Policies & Procedures Online (UAPPOL)**.

2. **POLICY DOCUMENTS**

   The university's Policy Documents types are as follows: **Policy, Board-level Policy, Framework**, **Procedure**, and **Appendix**.

3. **ROLES AND RESPONSIBILITIES IN POLICY DEVELOPMENT**

   The Policy Document development process requires:

   a. the involvement of the **Policy Standards Office**, **Policy Development Sponsor**, **Office of Accountability**, **Office of Responsibility**, and **Approver**; and

   b. consultation with Interest-Holders.

4. **AUTHORITY TO APPROVE POLICY DOCUMENTS**

   Under the Alberta *Post-Secondary Learning Act* ("PSLA"), the Board of Governors and the General Faculties Council have authority to approve university policies and procedures and may delegate this approval authority to a unit or person.

5. **POLICY DEVELOPMENT PROCESS**

   a. Policy Documents will be developed, vetted, approved and published in accordance with a standard **Policy Development Plan**.

   b. Developing new Policy Documents or amending or removing existing Policy Documents will be a planned activity that includes:

   i. consulting with the Policy Standards Office;
   ii. identifying the appropriate **Policy Development Lead**, Office of Accountability, Office of Responsibility, Sponsors and Approvers;
   iii. conducting issue-appropriate due diligence and consultation;
   iv. using standard Policy Document templates;

v.   obtaining approval pursuant to the powers imparted by the PSLA; and

vi.   arranging for the publication of Policy Documents in UAPPOL.

6. POLICY REVIEW, AMENDMENT AND REMOVAL

a.   The Office of Accountability and Office of Administrative Responsibility are responsible for regularly reviewing Policy Documents for which they are responsible, to ensure that they continue to align with the University's strategic plans and initiatives and remain necessary, legally compliant and effective.

b.   The Office of Accountability and Office of Administrative Responsibility are also responsible for initiating amendments to, or removal of a Policy Document where warranted. In doing so, these offices will work closely with the Policy Standards Office, as described in the *University Policy Document Development Procedure*.

~~The University's Board of Governors and/or General Faculties Council and its most senior administrative and academic leaders (Vice-Presidents, Deans and the Directors of central administrative units) will initiate the development of new policy and revisions to existing policy. This is not to preclude such initiatives by others, but would have them participate in the process through those named above.~~

~~Newly developed or revised policy will:~~

~~not overlap or contradict other policy;~~

~~be sufficiently researched and legislation compliant;~~

~~integrate and consider the needs of its users and stakeholders; and~~

~~as applicable, stipulate a specified approval protocol (i.e. GFC and/or the Board) for certain associated procedure.~~

~~Developing new or revising existing policy will be a planned activity allowing for appropriate due diligence and consisting of:~~

~~identifying the appropriate policy development sponsor and policy development lead;~~

~~conducting the issue-appropriate due diligence;~~

~~obtaining approval pursuant to the powers imparted by the Post-secondary Learning Act of Alberta; and~~

~~publishing in a manner easily accessible and consistent across all University policy.~~

~~c.   Normally the key stakeholders will support the development initiative in principle before this activity begins in earnest.~~

DEFINITIONS

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Policy Development Lead	Acting as the Policy Development Sponsor's agent, the Policy Development Lead plays a planning, coordination and facilitation role. ~~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 the 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	The Policy Development Plan is a formal document that assists policy document developers to define the purpose and direction of the policy issue to be developed, including identifying Interest-Holders and their role in policy document development, from consultation to approval. ~~A plan that includes defining the scope of the policy issue, affirming interest-holders 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.~~
Policy Development Sponsor	The Policy Development Sponsor is a member of the University's senior administration or a governance unit who is assigned by the Office of Administrative Responsibility to be responsible for a specific policy

	development/redevelopment activity.~~A member of the University's senior administration or a governance unit who assumes responsibility for a specific policy development/re-development activity. Accountabilities: a suitable development/re-development strategy and process, stakeholder involvement, mitigation of issues as required, the appropriate and effective utilization of any allocated resources, financial or otherwise, and the timely completion of activity.~~
Policy Documents	Policy Documents are created and approved as tools used by the University to promote certain behaviors in achieving a predefined set of goals. Policy Documents consist of one or more of Policy, Framework, Procedure, and Appendix.
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~~**University Policy**~~	~~A statement outlining an expectation of behavior pertaining to certain activities or matters set out in relevant legislation (i.e. Post-Secondary Learning Act of Alberta) and approved at the University's senior levels of governance: Board of Governors and/or General Faculties Council (GFC); committees of the Board and GFC having the delegated authority to approve certain policy; and the President, President's Executive Committee (PEC), or Vice-Presidents.~~

RELATED LINKS

No related links ~~Should a link fail, please contact~~ ~~uappol@ualberta.ca~~~~.~~ ~~**[▲ Top]**~~

~~UAPPOL Vision, Principles and Definitions (UAPPOL) - existing, for rescission; components have been incorporated into the Policy Development Policy~~

PUBLISHED PROCEDURES OF THIS POLICY

~~UAPPOL~~ University Policy Document Development Procedure

~~UAPPOL Document Information Update Procedure~~ - existing; for rescission

~~UAPPOL Document Load Procedure~~ - existing; for rescission

~~UAPPOL Documents Rescission Procedure~~ - existing; for rescission

~~UAPPOL Records Retention Requirements Procedure~~ - existing; for rescission