



## **SABARAGAMUWA UNIVERSITY OF SRI LANKA**

**Policy Title – Policy on formulating and regulating policies of SUSL**

**Policy Number – Policy / SUSL / Gov & Mgmt / 13**

**Date of Senate Approval – 11.10.2022**

**Date of Council Approval – 28.11.2022**

**Effective Date – 28.11.2022**

**Revised Dates – NA**

**Approving Authority – The Council, Sabaragamuwa University of Sri Lanka**

**Administrative Responsibility – The Senate**

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### **1. Overview**

Policies (“policy”) of the Sabaragamuwa University of Sri Lanka (SUSL) are important statements that serve to promote the mission, values, operational principles, and practices, and other matters of importance of the SUSL (“University”); foster innovation, excellence, and collaboration; enhance operational efficiencies and governance; and communicate expectations.

### **2. Purpose**

This Policy on formulating and regulating policies of the university (“Policy on policies”) allows for a common, consistent, and transparent process for all university Policies to be thoroughly reviewed, approved, implemented, maintained, communicated, and made broadly available to the campus community. It is intended to be efficient and user-friendly. It serves to promote Policy awareness, compliance, mitigation of risks, accountability across the institution and supports a culture of risk-aware decision-making. Implementation of this Policy ultimately seeks to protect the university and its faculty, staff, and students.

### **3. Scope**

This policy is applied for all the stakeholders (staff, student) and Faculties, Departments/ divisions / Centers / Units/ ad hoc committees at the Sabaragamuwa University of Sri Lanka. Also this policy is for the process of developing, modifying (revising), approving, publishing of all the policies of SUSL.

### **4. Legislative context**

NA

## 5. Definitions

|                         |   |
|-------------------------|---|
| AR                      | Assistant Registrar   |
| CQA                     | Centre for Quality Assurance  |
| DR                      | Deputy Registrar  |
| Policy                  | Statement of management philosophy and direction, established to provide guidance and assistance to the university community in the conduct of university affairs |
| Policy initiator /s     | Person /s/body that recognizes the need of the policy   |
| Policy Owner            | The Vice Chancellor, SUSL   |
| Policy Taxonomy of SUSL | categorization and coding of policies using an approved common coding system  |
| SAR                     | Senior Assistant Registrar  |
| SUSL                    | Sabaragamuwa University of Sri Lanka  |
| University              | Sabaragamuwa University of Sri Lanka  |

## 6. Policy Statement

### 6.1 General Information

- I. The process described herein applies to university policies that address significant institutional issues, matters, needs, and risks that applies to all, or a large portion of the university stakeholder groups.
- II. All the policy initiators of the university shall undergo the process described in the “policy on policies” when formulating, approving, regulating, implementing, revising, and dissemination of policies. A policy initiator can be a particular Faculty/ Department/ Library/ section/ division/ Centre /body (Specific Committee, Advisory Committee, Ad hoc committee etc), or an individual that approved by the council of the university.
- III. Approval should be granted for the development (drafting) of such policy from a recognized body of the University (e.g, Faculty Board, Management Committee meeting, and Senate, council, CQA). Final policy approval shall be taken form the Senate and the Council of the University.
- IV. Amendments for university policies should take place in frequent regular intervals (at least every five (05) years).

- V. Confidentiality of a proposing policy by the policy initiator shall be mentioned clearly and the dissemination of the policies is dependent on the confidentiality of the policy. This will limit the policy available for download/ view-only or view with login permissions in the policy database.
- VI. All the policies must draft in English (ISO 639-1: en-us) and then translated to Sinhala (ISO 639-2: sin) and or Tamil (ISO 639-1: ta). However, the English version will be applicable while implementation.

**a. Policy development, review and approval process**

**6.2.1 Policy draft formulation**

- I. Policy initiators shall conduct a preliminary search in the policy database to find whether a policy has already been formulated related to the need they are going to be addressed, or to identify a certain policy needs to be amend accordingly to include their concerns. Initiator must obtain a prior approval for the need for a policy to commence the development or amend of a university policy from a desired recognized body (e.g, Faculty Board, Management Committee meeting, Senate standing committee on Quality Assurance (SSCQA), or equivalent body).
- II. Internal policies of individual units, sections, divisions, departments, should not be conflict with university policies. If internal unit policies conflict with a university policy, then the University policy will control.
- III. Policy initiators must follow the latest edition of the policy format as set forth in Appendix A to develop, propose, and revise the policy draft (hereafter, “draft”) in a clear and concise manner, unless an exception is authorized by council of the University. Policy initiator must inform the Director/ CQA to display that the draft is being develop in the policy website. The initial policy proposal should draft in English (US). Policy draft must be formulated approaching the people how involved or affected by implementing the policy (hereafter, “multi-stakeholders”) to minimize conflicts and enhance the smooth implementation.
- IV. Policy initiator shall submit the draft for legal review and clearance form any legal and or regulatory compliance, obligations, risks from the DR/ SAR/ AR/ legal and documentation.

**b. Approval of the policy**

- I. Drafted policy should be forwarded through the relevant authorities to the Director/ CQA for compliance clearance and further approval process.
- II. Director/ CQA shall verify whether the policy initiator has submitted the draft compliance with the approved template as the Appendix A and it has obtained the legal

clearance (if it is required only), and the draft is free from any other format errors. Non compliances should be communicated to the policy initiator /s who submitted the policy and policies which are compliance, should be proceed with submission to the Senate standing committee for approval and further approval needs.

- III. Legal clearance (legal review) from the legal office (legal and documentation branch) of the University should be taken for policies which required legal coverage (not for all the policies). This can be determined at the Senate Standing Committee on Quality Assurance (SSC QA) when the draft has been submitted to the CQA, prior to the Senate submission.
- IV. Upon the approval of the SSC QA, Director/ CQA forward the draft to the senate for approval.
- V. The decision of the senate should be informed to the policy initiator by the Director/ CQA. If any revisions needed the initiator should follow the above steps of the policy on policies to correct the draft and resubmit for approval. Once the approval is granted from the senate, Director/ CQA shall forward the draft to the council of the university.
- VI. Upon the approval of the senate, it is must to get the approval of the university council.
- VII. Once the approval is granted from the Council, the decision of the council should be informed to the relevant parties by CQA in written format within one (1) week after receiving the decision. If any revisions needed the initiator should follow the above steps of the policy on policies to correct the draft and resubmit for approval. If the council recommended for further approval from the UGC, Parliament, or the Cabinet of Sri Lanka, Policy Owner (The Vice Chancellor) shall forwards and continue the approval process until it approved by the last such authority.
- VIII. Once the final approval is granted, Director/ CQA shall inform the policy initiator as well as the policy owner about the approval of the draft as a university policy. Policy shall have a standard policy number. The approved policy must be uploaded to the policy database in compliance with the policy format (Appendix B) and disseminate through the policy website in compliance to the confidentiality of the policy.
- IX. It is the duty of the policy owners to take initial steps in implementing the policy or they should direct the responsible authority to implement them.

**c. Policy regulation**

- I. Policies should be categorized and coded using an approved common coding system (Policy Taxonomy of SUSL) throughout the University. Policy taxonomy can be updated

upon the requirements of the university and must be update the policy database and policy website accordingly to any such changes made.

- II. University Authority (e.g. Registrar, Deans of the Faculties, Vice chancellor) is responsible for promoting the policies and make the relevant groups aware and promulgation of the policies. If the policy requires any training, awareness, communication, those should be developed by the authority for proper dissemination. In case of minor revision these communications are not needed whereas for substantive changes done in any policy, it is required to do communications, training and awareness.
- III. Policy Owner/ any implementing authority named by the Policy Owner should implement the policy with immediate effect and proper records should be maintained and should monitor the implementation process.
- IV. Revisions of an existing policy can be done with the approval of the Senate. If there are major revisions to be made, that should be justified submitting a proposal (Annex...) whereas minor changes such as grammar, typographical, upgrading titles etc. can be done only with the senate approval without submitting a proposal. Prior to establishment of revised policy proper approval should be taken.
- V. If any policy should be removed, it is necessary to justify why it is required to remove. It is necessary to submit the form for removing a policy (Annex ...). Such retirement of policies should be done with the Council approval. If the approval is granted by the Council can be removed from the system and its function, but it is necessary to make the stakeholders aware on that by the policy owner. Removed policies should be archived. (Possible channels to convey the message)
- VI. If any existing policy is not in the set standard format and not approved according to the policy on policies, they should be converted into the recommended format and get the approval as mentioned in this policy

## **7. Supporting Documents:**

- I. Policy format
- II. Policy decisions notification form
- III. Policy revisions request form
- IV. Policy retiring request from
- V. Policy withdrawal form
- VI. SOP for policy preparation and approval

**Responsibility:**

Vice Chancellor

**Promulgation:**

- I. This will be circulated among all members of SUSL through Email
- II. This will be available in University Web

**Implementation**

This policy will be implemented by the Vice Chancellor.

*This policy is prepared by a committee suggested by the Senate Standing on Quality Assurance, SUSL (42<sup>nd</sup> SSC-QA meeting, held in July 2022).*

**\*\*\*\*This policy has been approved at the 268<sup>th</sup> Senate held on 11.10.2022 and 290<sup>th</sup> Council held on 28.11.2022**

*The committee composition is as follows,*

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|---|--|
| <i>Mr. I.D.K.L. Fernando (Chairman)</i>   | <i>Prof. H.M.S. Priyanath (Member)</i>     |
| <i>Prof K.R. Koswattage (Member)</i>      | <i>Mr. Saman Uyangoda (Member)</i>         |
| <i>Prof. H.A.D. Ruwandeepika (Member)</i> | <i>Dr. Sampath Bandara Wahala (Member)</i> |
| <i>Ms. P.G.I. Dias (Secretary)</i>        |  |

**Centre for Quality Assurance,  
Sabaragamuwa University of Sri Lanka, August 2022**