

Item	6.18
Category	Legal, Compliance and Governance
Approval Authority	Board of Governors
Policy Owner	University Secretary
Approval Date	November 28, 2014
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Supersedes	

UOIT POLICY FRAMEWORK

PURPOSE

1. This framework is intended to provide for effective and consistent practice in the development and administration of University policy instruments.

DEFINITIONS

2. For the purposes of this policy the following definitions apply:

“Approval Authority” means a body or position that has authority to approve, amend, review or revoke a Policy Instrument.

“Deliberative Body” means a University body or committee responsible for discussion and consideration and that provides recommendations for Policy Instruments prior to submission for approval.

“Directive” means a set of mandatory instructions that specify actions to be taken to support the implementation of and compliance with a policy or procedure.

“Guideline” means a set of optional directions that provide guidance, advice or explanation to support the implementation of a policy or procedure.

“Policy” means a statement of principle intended to govern the operation of the University and which aligns with the legislative, regulatory and organizational requirements of the University.

“Policy Advisory Committee (PAC)” means a sub-committee of the Provost’s Advisory Committee on Integrated Planning (PACIP) that serves as the Deliberative Body for all Administrative Policy Instruments.

“Policy Instrument” means the different tools and documents that are utilized to provide direction in the governance and administration of the University. Policy instruments may have application within a single organizational unit (Local) or across more than one organizational unit (University).

“Policy Library” means a central repository for the coordination and communication of University Policy Instruments.

“Policy Owner” means the position responsible for overseeing the implementation, administration and interpretation of a Policy Instrument.

“Policy Lead” means the individual(s) responsible for drafting, reviewing, or amending a Policy Instrument.

“Procedure” means a process, information or step –by-step instructions to implement a policy.

“Senior Leadership Team (SLT)” means the President and other members of senior management selected to be on SLT by the President.

SCOPE AND AUTHORITY

3. This policy applies to all University Policy Instruments.
4. The University Secretary is delegated overall responsibility for the administration of the UOIT Policy Framework.
5. The UOIT Policy Library is the official repository for all University Policies and Procedures and is overseen and maintained by the University Secretary.

POLICY

The University is committed to developing and maintaining Policy Instruments that contribute to the achievement of its goals and priorities and that provide transparency, clarity and consistency in decision making related to the University’s academic, administrative, legal, compliance and governance requirements.

6. Policy Instruments

6.1. There are four main types of Policy Instruments:

- Policies
- Procedures
- Directives
- Guidelines

7. Categories

7.1. There are five categories of Policy Instruments:

- **Board** Policy Instruments that relate to the governance and administration of the Board of Governors.
- **Legal, Compliance and Governance** Policy Instruments that relate to: broader institutional planning and governance issues, management of institutional risk, accountability and legislative requirements, and academic governance matters outside those authorities explicitly delegated by the Board to Academic Council.
- **Administrative** Policy Instruments that relate to the ongoing management and operations of the University and that have application across more than one organizational unit.
- **Academic** Policy Instruments that relate to academic governance and administration within the delegated authority to Academic Council from the Board.
- **Local** Policy Instruments that relate to the ongoing management, work, and operation of the single organizational unit for which they were developed. Local policy instruments may be Academic or Administrative in nature.

8. Application

8.1. There are two levels of application of Policy Instruments:

- **University** Policy Instruments that have application across more than one organizational unit.
- **Local** Policy Instruments that have application to only the organizational unit for which they were developed.

9. Hierarchy

- 9.1. Policy Instruments at the University will follow a hierarchy. The hierarchy of Policy Instruments is detailed in Appendix A to this Policy.
- 9.2. Where two Policy Instruments in the hierarchy conflict, the Policy Instrument higher in the hierarchy takes precedence.
 - a) Local Policy Instruments may not contradict University Policy Instruments. University Policy Instruments take precedence where there is a conflict between a University and Local Policy Instrument.
 - b) Where there is a conflict between a Policy Instrument and an existing collective agreement between the University and one of its bargaining units, the collective agreement will prevail.

10. Development, Approval and Review

- 10.1. Policy Instruments will be developed, amended, approved and reviewed in accordance with the Procedures for the Development, Approval and Review of Policy Instruments.
- 10.2. Policy Instruments will be formatted and presented in a unified and consistent manner.

11. Approval and Administration

- 11.1. All Policy Instruments will have a designated Approval Authority. Approval Authorities are detailed in Appendix B to this Policy.
- 11.2. Appendices to Policy Instruments form part of the document and are subject to the same approval, amendment, and review processes.
- 11.3. The Approval Authority for a Policy that is not clearly within a single policy category will be determined collaboratively between the President and the Chair of the Board of Governors, in consultation with the University Secretary as needed.
- 11.4. Policy Instruments will be submitted to a designated Deliberative Body prior to submission to the Approval Authority. Some categories of Policy Instruments may have more than one Deliberative Body in order to ensure the desired level of consultation and review prior to approval.
- 11.5. All Policy Instruments will have a designated Policy Owner responsible for the administration of the instrument.

12. Consultation

- 12.1. Consultation throughout the policy development and review cycle is crucial to the effective administration of Policy Instruments and to improve respect for and compliance with the instruments. Consultation on Policy Instruments will:
 - Consider relevant stakeholders;
 - Provide a comprehensive mechanism to gather and consider feedback and options;

- Demonstrate that stakeholders' views are being considered;
- 12.2.** The University Secretariat will develop and maintain mechanisms to update the University community regarding Policy Instruments under development or review and provide a means for gathering feedback.

13. Classification and Publication

- 13.1.** Policy Instruments will be organized and maintained according to a classification scheme that is a reflection of the content and application of the instrument.
- 13.2.** Policies and Procedures will be maintained in an official University Policy Library that is updated on an ongoing basis.

14. Review

- 14.1.** All Policies will undergo a substantive review every three years.

15. Reporting

- 15.1.** The University Secretary will report annually to the Board of Governors and Academic Council on Policies approved and reviewed during the year.

MONITORING AND REVIEW

- 16.** The Policy Framework will be reviewed every three years. The Policy Advisory Committee is responsible for reviewing and evaluating this Framework and its associated Procedures.

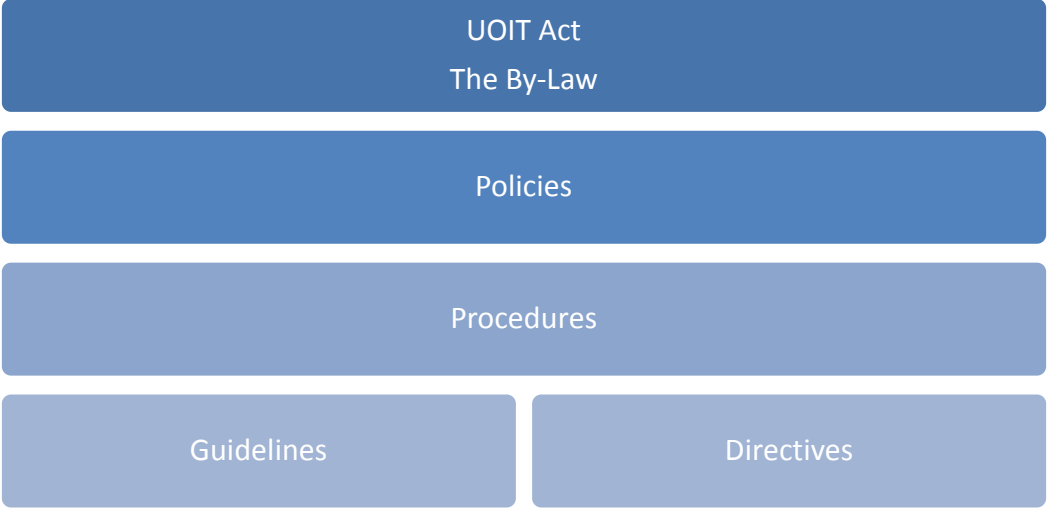
RELEVANT LEGISLATION

- 17.** [University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O](#)
[By-Law Number 1 of the University of Ontario Institute of Technology](#)

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 18.** Procedures for the Development, Approval and Review of Policy Instruments
- Policy Instrument Checklist and Submission Form
 - Policy Instrument Drafting Guidelines (To be developed)
 - Policy Instrument Templates (To be developed)
 - Policy Development and Review Cycle
 - Policy Instrument Review and Evaluation Guidelines (To be developed)

APPENDIX A - HIERARCHY OF UNIVERSITY POLICY INSTRUMENTS



APPENDIX B - APPROVAL AUTHORITIES

Policy Instrument Category	Category Description	Policy Instrument Type	Deliberative Body		Approval Authority
Board	Policy Instruments that relate to the governance and administration of the Board of Governors.	Policy	Board Committees		Board of Governors
		Procedures	Board Committees		Board Committees
		Guidelines & Directives	Board Committees		Board Committees
Legal, Compliance and Governance	Policy Instruments that relate to: <ul style="list-style-type: none"> • Broader institutional planning and governance issues; • Management of institutional risk, accountability and legislative requirements; • Academic governance matters outside those authorities explicitly delegated by the Board to Academic Council. 	Policy	Senior Leadership Team	Board Committees	Board of Governors
		Procedures	As determined by the Senior Leadership Team.		Senior Leadership Team and/or Board Committees
		Guidelines & Directives	As determined by the Senior Leadership Team.		Senior Leadership Team
Administrative	Policy Instruments that relate to the ongoing management and operations of the University and that have application across more than one organizational unit.	Policy	Provost’s Advisory Committee on Integrated Planning		Senior Leadership Team
		Procedures	Policy Advisory Committee		Vice-President
		Guidelines & Directives	As determined by Vice-President.		Assistant Vice-President, Associate Provost, Dean, Director
Academic	Policy Instruments that relate to academic governance and administration within the delegated authorities of Academic Council from the Board.	Policy	As determined by Academic Council		Academic Council
		Procedures	As determined by Academic Council		As determined by Academic Council
		Guidelines & Directives	As determined by Academic Council		As determined by Academic Council
Local	Policy Instruments that: <ul style="list-style-type: none"> • Are either Administrative or 	Policy	As determined by the organizational unit.		Assistant Vice-President, Associate Provost, Dean, Director

	<p>Academic in nature; and</p> <ul style="list-style-type: none"> Relate to the ongoing management, work and operation of the single organizational unit for which they were developed. 	Procedures	As determined by the organizational unit.	Assistant Vice-President, Associate Provost, Dean, Director
		Guidelines & Directives	As determined by the organizational unit.	Designated managerial authority within the organizational unit.

Item	6.18.1
Category	Legal, Compliance and Governance
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PROCEDURES FOR THE DEVELOPMENT, APPROVAL AND REVIEW OF POLICY INSTRUMENTS

PURPOSE

1. These procedures are intended to ensure clarity and consistency in the administration of policy instruments across the University.

DEFINITIONS

2. For the purposes of these procedures the following definitions apply:

“Approval Authority” means a body or position that has authority to approve, amend, review and revoke a Policy Instrument.

“Deliberative Body” means a University body or committee responsible for discussion and consideration and provides recommendations for Policy Instruments prior to submission for approval.

“Minor Amendment” means an amendment that is essentially editorial in nature or does not change the purpose, scope or substantive content of the Policy Instrument.

“Major Amendment” means an amendment that substantially change the purpose, scope or content of the Policy Instrument.

“Policy Advisory Committee (PAC)” means a sub-committee of the Provost’s Advisory Committee on Integrated Planning (PACIP) that serves as the Deliberative Body for all Administrative Policy Instruments.

“Policy Category” means one of the defining categories of Policy Instruments as set out in the UOIT Policy Framework, as amended.

“Policy Framework” means the UOIT Policy Framework, as amended, which is the enacting Policy for these procedures.

“Policy Instrument” means the different tools and documents that are utilized to provide direction in the governance and administration of the University. Policy instruments may have application within a single organizational unit (Local) or across more than one organizational unit (University).

“Policy Lead” means the individual(s) responsible for drafting, reviewing, or amending a Policy Instrument and for facilitating consultation throughout the development and approval process.

“Policy Owner” means the position responsible for overseeing the implementation, administration and interpretation of a Policy Instrument.

“Policy Sponsor” means the Vice-President or delegate who oversees the organizational unit proposing a new Policy Instrument.

SCOPE AND AUTHORITY

3. These procedures apply to the development, approval and review of all University Policy Instruments.
4. The University Secretary is responsible for strategic oversight and overall administration of the UOIT Policy Framework and its associated Procedures and for ensuring the Framework meets University compliance obligations and is aligned with the strategic goals of the University.
5. The University Secretary will assign a delegate who is responsible for supporting the administration of the UOIT Policy Framework and its associated Procedures. This position is responsible for:
 - Coordinating the development, approval, amendment, publication and review of policies and procedures in accordance with the UOIT Policy Framework and these Procedures;
 - Providing advice on amendments to existing Policies and Procedures to the Policy Owners for incorporation in subsequent updates;
 - Providing advice and guidance to policy developers and other staff across the University on policy development, consultation, communication, implementation and review processes;
 - Developing resources that support policy development, evaluation and review;
 - Ensuring that final drafts of new or amended Policies and Procedures are compliant with the UOIT Policy Framework;
 - Publishing and maintaining approved Policies and Procedures in the Policy Library;
 - Managing and coordinating a policy review schedule.
 - Preparing an annual report on the development, amendment, revocation and review of University Policy Instruments.
6. The Policy Owner is responsible for overseeing the administration of Policy Instruments under his/her jurisdiction in accordance with the Policy Framework and these Procedures. For any given Policy Instrument, the Policy Owner may assign a Policy Lead to carry out the following responsibilities :
 - Developing, preparing amendments to and consulting on Policy Instruments;
 - Facilitating and evaluating the communication and implementation of Policy Instruments;
 - Monitoring adoption and compliance with Policy Instruments that have been implemented;
 - Conducting a review of existing Policy Instruments according to established procedures.

PROCEDURES

7. Identifying Policy Needs

- 7.1. A policy need will arise from identifying:

- Gaps where no Policy Instrument currently exists and where development of an instrument is the appropriate mechanism for addressing the issue;
 - Amendments that are required to existing Policy Instruments for compliance or administrative reasons.
 - Where an existing Policy Instrument should be revoked.
- 7.2. The development of new Policy Instruments requires the approval of a Policy Sponsor.
 - 7.3. The amendment or proposed revocation of an existing Policy Instrument requires the approval of the Policy Owner.
 - 7.4. The Policy Sponsor or Policy Owner will consult with the University Secretary delegate prior to beginning the development, amendment or revocation of a Policy Instrument.
 - 7.5. The University Secretary delegate will advise on the need for a Policy Instrument, the appropriate type of instrument, as well as provide guidance on the processes under the Policy Framework.
 - 7.6. The Policy Sponsor or Policy Owner will assign an individual who will act as the Policy Lead.

8. Preliminary Stakeholder Consultation

- 8.1. The Policy Lead will identify key policy stakeholders paying particular attention to faculty, staff and students, and will conduct preliminary consultations with those key policy stakeholders. When applicable, the Policy Lead will give particular consideration to the policies of any and all strategic institutional partners with whom the University shares academic or administrative operations that may overlap or otherwise affect the proposed policy (e.g. Durham College).
- 8.2. Preliminary consultation should include the gathering of feedback on:
 - Content of the Policy Instrument;
 - Operational practicality;
 - Potential impact and resources required for implementation and compliance;
 - Planning and requirements for successful communication and implementation.
- 8.3. Information on preliminary consultations will be provided when instruments are submitted for deliberation and approval.

9. Drafting

- 9.1. The Policy Lead is responsible for the drafting of all Policy Instruments.
- 9.2. All Policy Instruments will be accompanied by a completed Policy Instrument Checklist and Submission Form.
- 9.3. Policy Instruments will be prepared using the official University templates.
- 9.4. Sections of the templates may not be added or removed. Where a section is not required, the wording “This section intentionally left blank” will be used.
- 9.5. The Policy Lead will ensure Policy Instruments are coherent and are consistent with existing legislation, Policies and Procedures.

- 9.6.** Where a Policy is being drafted or amended, any Procedures, Directives, Guidelines or other associated documents (e.g. templates, schedules) will also be drafted or amended at the same time in order to ensure consistency and compliance with the Policy.

10. Consultation on Drafts

- 10.1.** The Policy Lead will facilitate broader consultation on draft Policy Instruments with key policy stakeholders.
- 10.2.** Consultation will be done in all cases except where amendments to an existing Policy Instrument are essentially editorial in nature.
- 10.3.** The Policy Lead will incorporate feedback, as appropriate, and advise the policy stakeholders of action taken related to the feedback provided.
- 10.4.** When Policy Instruments are submitted for deliberation and approval they will specify:
- The key stakeholders who were consulted with;
 - The mechanism used to gather feedback and opinions;
 - A description of how stakeholders' views were incorporated into the draft of the instrument;
 - If consultation was not done an explanation of why it was not necessary.

11. Deliberation

- 11.1.** In order to ensure compliance with the Policy Framework, the Policy Lead will submit copies of all draft documents to the University Secretary delegate before submission to any Deliberative Body or Approval Authority.
- 11.2.** Drafts and amendments of Policy Instruments will be submitted to a respective Deliberative Body for review prior to being submitted to the Approval Authority.
- 11.3.** The Deliberative Body is based on the Policy Category of the Policy Instrument, as set out in Appendix B of the UOIT Policy Framework.

12. Approval

- 12.1.** Once feedback and recommendations on draft Policy Instruments are provided by the Deliberative Body, the instruments will be forwarded to the appropriate Approval Authority.
- 12.2.** Approval Authorities are set out in Appendix B of the UOIT Policy Framework.
- 12.3.** Appendices to Policy Instruments form part of the instrument and are subject to the same approval, amendment, consultation and review processes as the instrument they are a part of.

13. Approved Policy Instruments

- 13.1.** When approved, Policy Instruments will receive a final review by the University Secretariat prior to communication and implementation.
- 13.2.** Within two weeks of the approval of a Policy Instrument by the Approval Authority the University Secretary delegate will:

- Notify the Policy Sponsor and Policy Owner of when the approved Policy Instrument is ready for publication;
- Provide a final draft of the Policy Instrument to the Policy Sponsor and Policy Owner including classification number, approval date and mandatory review date;
- Publish copies of the Policy Instrument to the Policy Library.
- Report on approved Policy Instruments to other Deliberative Bodies and Approval Authorities.

14. Implementation

- 14.1.** Once notified by the University Secretary delegate that a Policy Instrument is ready for publication, the Policy Owner is responsible for ensuring information is communicated to policy stakeholders according to the communication and implementation plan.
- 14.2.** The Policy Owner will evaluate the implementation of the Policy Instrument and report on the implementation to the Approval Authority within one year of implementation.

15. Review

- 15.1.** Policy Instruments will be reviewed at least once every three years. Such reviews will include a review of the Policy text as well as an assessment of compliance with the practices governed by the text.
- 15.2.** Where a Policy has specific legislative requirements for reporting it will be reviewed against the stated compliance needs.
- 15.3.** Where a Policy has Procedures, Guidelines and Directives associated with it, they will be reviewed at the same time as the parent Policy.
- 15.4.** The University Secretariat will provide tools and templates to facilitate documentation for Policy Instrument review.
- 15.5.** Amendments to Policy Instruments may be done at any time prior to the stated review date.
 - 15.5.1.** Where a Policy Instrument is amended prior to the stated review date, the review will still take place according to the original stated date.
 - 15.5.2.** Informal reviews of existing Policy Instruments may be done at any time but will not replace a formal scheduled review.
 - 15.5.3.** Where significant concerns related to the content, consistency or compliance with a Policy Instrument exist, a formal review may be undertaken prior to the stated date.
 - 15.5.4.** Where it is determined that a Local Policy Instrument conflicts with a University Policy Instrument, the Local Policy Instrument will be reviewed and amended to align with University Policy.
- 15.6.** Reviews of Policy Instruments will take into consideration:
 - The extent to which Policy objectives are being achieved;
 - An assessment of the adoption and use of the Policy Instrument;

- Whether the Policy Instrument complies and remains consistent with University strategic goals as well as existing legislation, Policies and Procedures;
 - Any deleterious impacts resulting from the Policy; and
 - Whether updates to format or classification are required.
- 15.7.** Review of Policy Instruments will result in recommendations for one or more of the following outcomes:
- No amendment;
 - Minor amendment;
 - Major Amendment;
 - Revocation;
 - Development of new or additional supporting Policy Instruments;
 - Additional communication and education of policy stakeholders.
- 15.8.** Upon completion of the review the review outcomes will be reported to the designated Approval Authority.
- 15.9.** Further development or amendment of Policy Instruments as a result of review outcomes will be done in accordance with the Policy Framework and these Procedures.

MONITORING AND REVIEW

- 16.** These Procedures will be reviewed every three years. The Policy Advisory Committee is responsible for reviewing and evaluating these Procedures.

RELEVANT LEGISLATION

- 17.** [University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O](#)
[By-Law Number 1 of the University of Ontario Institute of Technology](#)

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 18.** UOIT Policy Framework
 Policy Instrument Checklist and Submission Form
 Policy Instrument Drafting Guidelines (To be developed)
 Policy Instrument Templates (To be developed)
 Policy Development and Review Cycle
 Policy Instrument Review and Evaluation Guidelines (To be developed)

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POLICY ADVISORY COMMITTEE

1. Purpose

The Policy Advisory Committee (PAC) is a subcommittee of the Provost's Advisory Committee on Integrated Planning (PACIP). The PAC provides recommendations to both PACIP, Policy Sponsors and Policy Owners who have brought forward Policies for approval.

2. Terms of Reference

The Committee shall review all policies under development, amendment or review that are related to the ongoing management and administration of University operation and services, in order to:

a. Administrative Policies

The PAC has an advisory role in the development, amendment and review of Administrative Policy, but not a decision-making role. It is expected that broader consultation on the development and drafting of policies has occurred prior to a policy reaching the PAC. The purpose of the committee is not to act in place of appropriate consultative processes in the development of policies.

The PAC will have the following responsibilities related to Administrative Policies:

- i. Review and consider all Administrative Policy submissions prior to submission to PACIP.
- ii. Make recommendations on whether a new policy is needed or whether the purpose can be achieved by modifying or clarifying existing policies and procedures.
- iii. Ensure that policies are aligned as far as possible with operational practicalities and that potential operational gaps are identified.
- iv. Assess the policy for consistency or conflict with legislation, the Policy Framework and Procedures, as well as other existing policies and procedures, regulations and collective agreements. When applicable, the Committee will give particular consideration to the policies of any and all strategic institutional partners with whom the University shares academic or administrative operations that may overlap or otherwise affect the proposed policy (e.g. Durham College).
- v. Determine coherence and consistency with the established policy format.
- vi. Review the process and extent of consultation and advise the Policy Sponsor or Policy Owner on areas where additional consultation may be needed.
- vii. Provide advice and guidance to the Policy Sponsor or Policy Owner on issues related to implementation and communication.
- viii. Provide feedback to PACIP regarding the implications of proposed policies, including impact on students, faculty and staff, as well as potential risks, costs and operational requirements, and make recommendations to PACIP regarding possible areas for consideration or change.

b. Legal, Compliance and Governance Policies

The PAC has a role in the communication of Legal, Compliance and Governance Policies. The PAC will have the following responsibilities related to Legal, Compliance and Governance Policies:

- i. Receive for information the Policies approved by the Board of Governors.
- ii. Serve in an advisory capacity where requested by the Deliberative Bodies for these Policies.
- iii. Provide feedback to the Deliberative Bodies, as required, regarding the implications of proposed policies, including potential risks, costs and operational requirements and make recommendations regarding possible areas for consideration or change.

3. Responsibilities

- a. The PAC will be responsible to undertake periodic review of the UOIT Policy Framework and its associated Procedures and for making recommendations to improve the effectiveness and implementation of the Framework.
- b. Representatives to the PAC will be responsible for disseminating information and updates regarding Administrative and Legal, Compliance and Governance Policies to their respective areas.

4. Membership

- University Secretary, or delegate (Chair)
- Policy Analyst and Compliance Officer (Secretary to the Committee)

One representative from each of the following areas:

- Provost
- Academic Affairs
- External Relations
- Research and International
- Finance
- Human Resources
- Office of Campus Infrastructure and Sustainability (OCIS)
- Student Life
- Graduate Studies
- Faculty Planning and Budget Officers Group
- Teaching Staff (selected by the Provost after consultation with PACIP)
- Registrar
- IT Services

Representatives are appointed by the Vice-President or delegate for each organizational area. Representatives are expected to be a person within each area who has either direct knowledge or responsibility for the administration and application of policy for their respective unit (i.e. a senior administrative staff member).