



## ACADEMIC COUNCIL REPORT

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**SESSION:**

Public   
 Non-Public

**ACTION REQUESTED:**

Decision   
 Discussion/Direction   
 Information

**TO:** Academic Council

**DATE:** May 10, 2018

**FROM:** Cheryl Foy, University Secretary and General Counsel

**SUBJECT:** Policy Framework Amendments – Request for Recommendation

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**ACADEMIC COUNCIL MANDATE:**

- Under the UOIT Act, section 9 (1), the Board has the power: “to establish academic, research, service and institutional policies and plans and to control the manner in which they are implemented”. The UOIT Policy Framework is a key institutional policy that delegates the Board’s power, establishing categories of policy instruments with distinct approval pathways.
- Under the UOIT Act, section 10 (5) the board has a “Duty to consult” with Academic Council before making a decision regarding the establishment of institutional policies.
- We submit this report and draft amendments to request your consideration of the draft amendments and the following motion:
- *That Academic Council hereby recommends the proposed amendments to the UOIT Policy Framework and associated procedures, as presented, for approval by the Board of Governors.*

**BACKGROUND/CONTEXT & RATIONALE:**

- The UOIT Policy Framework was approved by the Board November 28, 2014. Under the Framework, all policy instruments must be reviewed at least every three years. A review of the Framework has been completed, resulting in the attached proposed amendments.
- The UOIT Policy Framework establishes five categories of Policy Instruments as follows:
  - **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,

- **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.
- The approach of the UOIT Policy Framework is to ensure that governing bodies are engaged in the most effective manner by establishing differing approval authorities for each category. These approval paths have been updated.

**RESOURCES REQUIRED:**

- N/A

**IMPLICATIONS:**

- N/A

**ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:**

- N/A

**ALTERNATIVES CONSIDERED:**

- N/A

**CONSULTATION:**

- Through Policy Advisory Committee (PAC) and University Administrative Council, the USGC has solicited comments from policy leads or policy owners who have engaged in policy projects under the Policy Framework. Additionally, we have developed an online questionnaire targeted at Policy Framework users to collect comments. We have conducted a special meeting with Academic Council to obtain their views on the existing Policy Framework. To address comments from Academic Council, we engaged outside counsel to provide a perspective on the duty to consult and ensure that the Policy Framework is consistent with the UOIT Act. Those comments have informed the proposed amendments to the Policy Framework and Procedures.

**List of Consultation Dates:**

- Policy Advisory Committee (December 13, March 2, March 22, April 19)
- Academic Council (January 16, February 13, April 17)
- Online Consultation (community comments) (January 30 - February 28)
- University Administrative Council (February 13, April 10)
- Senior Leadership Team (February 26 and April 9)
- Governance, Nominations and Human Resources Committee (February 7, April 19)
- Board of Governors (March 7, May 9)

**Comments Received and Response:**

- GNHR requested a document including category definitions and a list of policy instruments approved under the Policy Framework in each of the categories. **Response:** We have prepared a document, distributed with this report.

- Many in the university community are not aware of the process involved in developing and consulting on policies at UOIT. **Response:** We will develop a training presentation to deliver to those involved in policy projects and other interested parties.
- There is a desire to clarify and simplify the policy development, consultation and approval process. A key concern is that the process from policy idea to approval can be long. We wish to explore ways to clarify the process, making it easier to navigate without losing sight of the importance of consultation in the policy development process. **Response:** Under the Policy Framework, the Policy Owner assigns a Policy Lead to conduct the consultation process, draft policies, and integrate or respond to stakeholder comments. Many factors can delay policy development, including limited resourcing to do policy work within the Policy Owner's unit and within the Secretariat. Given the limited resources, the Secretariat's focus is on education and facilitation. To that end, we will continue to develop tools and training related to stakeholder consultation and support Policy Leads in developing consultation schedules. We plan to make Policy Advisory Committee (PAC) agendas available to faculty and staff for increased transparency. In our proposed amendments, we set out mandatory consultation steps meant to ensure that consultation remains a priority.
- Strengthen the role of PAC to provide its comments more weight, and to include a role in the approval of administrative procedures. Ensure PAC reviews all Administrative and Legal, Compliance and Governance (LCG) policies and procedures. **Response:** Proposed amendments to the Policy Framework and Procedures have included PAC as a mandatory step for all Administrative and LCG policy instruments. PAC's assessment will be reported during deliberation and approval. We are also recommending increasing faculty numbers on PAC from one to two.
- The current implementation process for policies does not always include follow-up to ensure their successful implementation and adoption. **Response:** There is no audit function for policy compliance at this time as the focus continues to be on implementation and clean up. The Policy Framework places the responsibility for an implementation plan on the Policy Owner, but also requires the Policy Owner to evaluate the implementation and report on the implementation to the Approval Authority within one year of implementation. This requirement must be emphasized in our training and communications around the Policy Framework.
- There has been discussion of the categorization and approval authority for the Administrative and LCG categories. Administrative policies do not come to the Board for approval. The intent is to ensure that the Board is focused on high-level strategic policies, and not overwhelmed by operational policies. The Board is kept informed through an annual report on policies. **Response:** We are looking at how we can bring more clarity to the categorization of policies and also increase accountability to the Board. We have developed a delegation of authority chart as an appendix to the Policy Framework, as well as a Local Policy Approval Form to delegate authority within an organizational unit to approve Local policy instruments.
- There has been a suggestion to increase the opportunities for faculty members to contribute to policy development. **Response:** We agree that faculty members have a valuable perspective in the development of policies. We propose to increase the Teaching Staff membership of PAC to two. Additionally, the amendments to the Policy Framework provide for a mandatory open comment period on new or revised policies and procedures. These measures provide an additional opportunity for faculty members to consider and comment on policies in development.
- There has been discussion about approval authority and deliberation for Academic policy instruments. It has been suggested that any delegation of approval authority for Academic policy instruments should be done as part of a broader governance review and the development of committee terms of reference in the context of By-law No. 2 implementation. **Response:** We support re-examining Academic approval authorities at a

later date as part of By-law implementation. Any changes to committee terms of reference that may arise from the implementation of the new By-law will require amendments to the Policy Framework. The proposed amendments to the Policy Framework and Procedures make Academic Council the approval authority for all Academic Policy Instruments. Academic Council committees are the deliberative bodies.

- There has been discussion about the duty to consult Academic Council and ensuring that the Policy Framework is consistent with the UOIT Act. **Response:** Under the UOIT Act, section 10 (5) the Board has a “Duty to consult” with Academic Council before making a decision regarding the establishment of academic, research, service and institutional policies. The definition of Legal, Compliance and Governance (LCG) is intended to capture those policy instruments related to university governance and institutional planning, regulatory compliance and institutional risk. In the past, LCG policies have been brought to Academic Council as part of their role in the governance of the university and broader institutional planning. Some Administrative policies, which are operational in nature, have been brought on a case-by-case basis. After receiving comments from Academic Council and consulting outside counsel, we confirm that the intention is to consult Academic Council on both LCG and Administrative policy and procedure. Our proposed amendments to the Policy Framework and Procedures add clear mandatory consultation steps to give members of Academic Council an opportunity to review and provide comments on LCG and Administrative policies and procedures. Consultation at a scheduled meeting is required for LCG, and written consultation for Administrative.

**COMPLIANCE WITH POLICY/LEGISLATION:**

- The UOIT Policy Framework delegates the Board’s power “to establish academic, research, service and institutional policies and plans and to control the manner in which they are implemented”. The Board has a duty to consult Academic Council under the UOIT Act and By-law No. 2 before establishing such policies. We have taken steps to ensure that the Framework engages the governance bodies effectively, while ensuring that our approach is consistent with the requirements of the legislation.

**NEXT STEPS:**

- Return to GNHR for deliberation and Board for approval of the draft amendments (May 31/June 27)

**MOTION FOR CONSIDERATION:**

- *That Academic Council hereby recommends the proposed amendments to the UOIT Policy Framework and associated procedures, as presented, for approval by the Board of Governors.*

**SUPPORTING REFERENCE MATERIALS:**

- UOIT Policy Framework
- Procedures for the Development, Approval and Review of Policy Instruments
- Appendices (Appendix A – Guide to Approval Path and Mandatory Consultation Steps; Appendix B – Delegation of Authority Chart; Appendix C – Policy Advisory Committee Terms of Reference; Appendix D – Policy Instrument Templates; Appendix E – Local Policy Approval Form)

|                           |   |
|---------------------------|---|
| <u>Classification</u>     | <u>LCG 1100</u>                         |
| <u>Category</u>           | <u>Legal, Compliance and Governance</u> |
| <u>Approval Authority</u> | <u>Board of Governors</u>               |
| <u>Policy Owner</u>       | <u>University Secretary</u>             |
| <u>Approval Date</u>      | <u>DRAFT FOR RECOMMENDATION</u>         |
| <u>Review Date</u>        | <u>November 2017</u>                    |
| <u>Supersedes</u>         | <u>N/A</u>                              |

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## 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 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 an advisory committee and deliberative body, established to conduct Policy Assessments and deliberate on Policy Instruments as set out in Appendix A. 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 Assessment**” means a review of a draft Policy Instrument as described in the PAC Terms of Reference (Appendix C).

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“**Policy Instrument**” means the different tools and documents that are ~~utilized~~used 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-wide).

“**Policy Library**” means ~~the official~~a central repository for the coordination and communication of University-wide Policy Instruments.

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

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

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

“**University Administrative Council (UAC)**” means a body chaired by the Provost and made up of the Senior Leadership Team (not including the President) and the Senior Academic Team.

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

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#### 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 central repository for all University-wide Policy Instruments 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-wide** 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. All Policy Instruments will be subordinate to and interpreted consistent with the UOIT Act and By-laws.

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9.2. Policy Instruments at the University will follow a hierarchy. The hierarchy of Policy Instruments is detailed in Appendix A to this Policy as follows:

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a) Policies

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b) Procedures

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9.1-c) Guidelines / Directives

9.2-9.3. 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-wide Policy Instruments. University-wide Policy Instruments take precedence where there is a conflict between a University-wide 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.

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10.3. University-wide Policy Instruments will be subject to a Policy Assessment as set out in Appendix A before submitting for deliberation or approval.

~~10.2.~~

## 11. Approval and Administration

11.1. All Policy Instruments will have a designated Approval Authority. Approval Authorities are ~~detailed set out~~ in Appendix ~~B-A~~ 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, upon the advice of 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.

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11.6. Each organizational unit will maintain a Local Approval Authority Form (Procedures Appendix E) that sets out the designated approval and deliberation path for each type of Local Policy Instrument. This Form will be approved in accordance with the Procedures for the Development, Review and Approval of Policy Instruments, by:

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- a) The Vice-President responsible for the unit for Local Administrative Policies; or
- b) Academic Council, or delegate, for Local Academic Policy Instruments,

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~~11.5-11.7.~~ Each Local Approval Authority will report annually to the Dean or Vice-President responsible for their unit on Local Policy Instruments approved and reviewed during the year.

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## 12. Consultation

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- 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.

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~~12.2.12.3.~~ Requirements for mandatory consultation are set out in Appendix A.

## 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~~ University-wide Policy Instruments 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, as amended  
By-Law Number 2 of the University of Ontario Institute of Technology (effective September 1, 2018)

#### **RELATED POLICIES, PROCEDURES & DOCUMENTS**

18. Procedures for the Development, Approval and Review of Policy Instruments  
Policy Instrument Checklist-Review and Submission-Planning 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)



|                    |  |
|--------------------|--|
| Classification     | LCG 1100.01  |
| Framework Category | Legal, Compliance and Governance                     |
| Parent Policy      | UOIT Policy Framework                                |
| Approval Authority | Board of Governors                                   |
| Policy Owner       | University Secretary                                 |
| Approval Date      | <del>November 28, 2014</del> <b>DRAFT FOR REVIEW</b> |
| Review Date        | November 2017  |
| Supersedes         | N/A  |

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**PROCEDURES FOR THE DEVELOPMENT, APPROVAL AND REVIEW OF POLICY INSTRUMENTS**

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**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 that~~ provides recommendations for Policy Instruments prior to submission for approval.

**“~~Minor Editorial Amendment~~”** means an amendment that is essentially editorial in nature or does not change the purpose, scope or substantive content of the Policy Instrument. An editorial amendment may clarify language, correct typos, update contact information or titles to reflect current organizational structure, or modify the formatting of a Policy Instrument.

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

**“~~Policy Advisory Committee (PAC)~~”** means an advisory committee and deliberative body, established to conduct Policy Assessments and deliberate on Policy Instruments as set out in Appendix A of the Policy Framework.

**“~~Policy Assessment~~”** means a review of a draft Policy Instrument as described in the PAC Terms of Reference (Appendix C of the Policy Framework).“

**“~~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.

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“**Policy Instrument**” means the different tools and documents that are ~~utilized~~used 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-wide).

“**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.

“**Substantive Amendment**” means an amendment other than an Editorial Amendment. It changes the purpose, scope or substantive content of the Policy Instrument. An amendment may be minor in scope but still substantive in nature if it affects stakeholder groups (including students), reassigns organizational authority, or changes existing processes or responsibilities.

#### 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~~Policy Instruments in accordance with the UOIT Policy Framework and these Procedures;
  - Providing advice on amendments to existing ~~Policies and Procedures~~Policy Instruments to the Policy Owners for incorporation in subsequent updates;
  - Providing advice and guidance to policy developers and other staff across the University on ~~policy~~Policy Instrument development, consultation, communication, implementation and review processes;
  - Developing resources that support ~~policy~~Policy Instrument development, evaluation and review;
  - Ensuring that final drafts of new or amended ~~Policies and Procedures~~Policy Instruments are compliant with the UOIT Policy Framework;
  - Publishing and maintaining approved ~~Policies and Procedures~~Policy Instruments in the Policy Library;
  - Managing and coordinating a ~~policy~~Policy Instrument 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.

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**8.3.8.4.** The Policy Advisory Committee is available as a resource to Policy Leads in the early stages of a policy project to aid in identifying stakeholders, consider consultation and implementation planning, and provide recommendations on whether a policy need can be achieved by modifying or clarifying existing Policy Instruments.

## 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 Review and Submission-Planning Form~~.
- 9.3. Policy Instruments will be prepared using the official University templates (Appendix D).
- 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 Procedure~~ and Policy Instruments.
- 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. Mandatory Consultation and Assessment

**11.1.** Before submitting a Policy Instrument for deliberation, mandatory consultation steps and a Policy Assessment must be completed, as set out in Appendix A of the Policy Framework.

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**11.2.** Draft Policy Instruments will be shared with the University community on the University Secretariat’s website to solicit feedback.

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**11.3.** Policy Instruments submitted to a committee or governing body for mandatory consultation or Policy Assessment will be accompanied by a document satisfying the requirements of section 10.4. Submissions will be made to the University Secretary delegate, who will ensure compliance with the Policy Framework before it is shared.

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**11.4.** The required format of consultation is set out in Appendix A of the Policy Framework.

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#### **11.12. Deliberation**

**11.1.12.1.** 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.

**11.2.12.2.** Drafts and amendments of Policy Instruments will be submitted to a respective Deliberative Body for review prior to being submitted to the Approval Authority.

**12.3.** The Deliberative Body is based on the Policy Category of the Policy Instrument, as set out in Appendix B-A of the UOIT Policy Framework.

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**12.4.** The Deliberative Body will provide feedback and recommendations on a draft. The Deliberative Body may recommend;

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a) Approval of the Policy Instrument;

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b) Approval of the Policy Instrument with recommended changes; or

11.3.c) Further consultation and/or changes, followed by further deliberation.

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#### **12.13. Approval**

**12.1.13.1.** Once feedback and recommendations on draft Policy Instruments are provided by the Deliberative Body, the instruments will be forwarded to the appropriate Approval Authority along with the recommendations of the Deliberative Body.

**12.2.13.2.** Approval Authorities are set out in Appendix B-A of the UOIT Policy Framework.

**12.3.13.3.** 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.

#### **13.14. Approved Policy Instruments**

**13.1.14.1.** When approved, Policy Instruments will receive a final review by the University Secretariat prior to communication and implementation.

**13.2.14.2.** 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.

#### **14-15. Implementation**

**14.1-15.1.** 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.

**14.2-15.2.** 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.

#### **15-16. Review**

**15.1-16.1.** Policy Instruments will be reviewed at least once every three years. Such reviews will include a review of the Policy Instrument text as well as an assessment of compliance with the practices governed by the text.

**15.2-16.2.** Where a Policy has specific legislative requirements for reporting it will be reviewed against the stated compliance needs.

**15.3-16.3.** Where a Policy has Procedures, Guidelines and Directives associated with it, they will be reviewed at the same time as the parent Policy.

**15.4-16.4.** The University Secretariat will provide tools and templates to facilitate documentation for Policy Instrument review.

**15.5-16.5.** Amendments to Policy Instruments may be done at any time prior to the stated review date.

- a) Where a Policy Instrument is amended prior to the stated review date, the review will still take place according to the original stated date.
- b) Informal reviews of existing Policy Instruments may be done at any time but will not replace a formal scheduled review.
- c) 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.
- d) 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.

**15.6-16.6.** 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 and Policy Instruments;
- Any deleterious impacts resulting from the Policy Instrument; and

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- Whether updates to format or classification are required.

~~15.7.16.7.~~ Review of Policy Instruments will result in recommendations for one or more of the following outcomes:

- No amendment;
- ~~Minor-Editorial~~ amendment;
- ~~Major-Substantive~~ Amendment;
- Revocation;
- Development of new or additional supporting Policy Instruments;
- Additional communication and education of policy stakeholders.

~~15.8.16.8.~~ Upon completion of the review the review outcomes will be reported to the designated Approval Authority.

~~16.9.~~ 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.

## **17. Amendment**

~~17.1.~~ Policy Instruments requiring amendments will be submitted to the University Secretary delegate with a Policy Instrument Review and Planning Form for review and a determination if the amendment is an Editorial Amendment or Substantive Amendment.

~~17.2.~~ Amendments are subject to the deliberation and approval path set out in Appendix A of the Policy Framework.

~~15.9.~~

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## **MONITORING AND REVIEW**

~~16.18.~~ These Procedures will be reviewed every three years. The Policy Advisory Committee is responsible for reviewing and evaluating these Procedures.

## **RELEVANT LEGISLATION**

~~17.19.~~ [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, as amended](#)

[By-Law Number 2 of the University of Ontario Institute of Technology \(effective September 1, 2018\)](#)

## **RELATED POLICIES, PROCEDURES & DOCUMENTS**

~~18.20.~~ UOIT Policy Framework

Policy Instrument ~~Checklist-Review~~ and ~~Submission-Planning~~ Form

Policy Instrument Drafting Guidelines (To be developed)

Policy Instrument Templates (~~To be developed~~)

Policy Development and Review Cycle



DRAFT

**APPENDIX A – GUIDE TO APPROVAL PATH AND MANDATORY CONSULTATION STEPS**

| Category/Type                           | Policy Advisory Committee | Vice-President (or Policy Sponsor) | University Administrative Council | University Community | Academic Council | Academic Council Committees | President | Board Committee | Board of Governors |
|---|---------------------------|------------------------------------|-----------------------------------|----------------------|------------------|-----------------------------|-----------|-----------------|--------------------|
| BRD Policy                              |                           |                                    |                                   | MC2                  |                  |                             |           | D               | A                  |
| BRD Procedure                           |                           |                                    |                                   | MC2                  |                  |                             |           | D / A           |                    |
| BRD Guideline<br>BRD Directive          |                           |                                    |                                   | MC2                  |                  |                             |           | D / A           |                    |
| LCG Policy                              | PA                        | *                                  | MC1                               | MC2                  |                  | MC1                         | MC2       | D               | A                  |
| LCG Procedure                           | PA                        | *                                  | D                                 | MC2                  |                  | MC1                         | MC2       | A               |                    |
| LCG Directive<br>LCG Guideline          | PA                        | *                                  | D                                 | MC2                  |                  | MC2                         | A         |                 |                    |
| ADM Policy                              | PA                        | *                                  | D                                 | MC2                  |                  | MC2                         | A         |                 |                    |
| ADM Procedure                           | D                         | *                                  | A                                 | MC2                  |                  | MC2                         |           |                 |                    |
| ADM Directive<br>ADM Guideline          | D                         | A                                  |                                   | MC2                  |                  | MC2                         |           |                 |                    |
| ACD Policy                              |                           | *                                  | MC2                               | MC2                  | D                | A                           |           |                 |                    |
| ACD Procedure                           |                           | *                                  | MC2                               | MC2                  | D                | A                           |           |                 |                    |
| ACD Directive<br>ACD Guideline          |                           | *                                  | MC2                               | MC2                  | D                | A                           |           |                 |                    |
| Local ADM<br>Approval<br>Authority Form |                           | A                                  |                                   |                      |                  |                             |           |                 |                    |
| Local ACD<br>Approval<br>Authority Form |                           |                                    |                                   |                      |                  | A                           |           |                 |                    |

**Policy Instrument Categories:** BRD – Board; LCG – Legal, Compliance and Governance; ADM – Administrative; ACD – Academic

PA – Policy Assessment      D – Deliberation      A – Approval      \* – Approval of editorial amendments

MC – Mandatory Consultation: MC1 – Face to Face      MC2 – Written<sup>1</sup>

<sup>1</sup> Written Consultation means posting a draft policy instrument on USGC website for community comments. Policy Lead may optionally consult face to face.

UOIT POLICY FRAMEWORK APPENDIX B – DELEGATION OF AUTHORITY CHART

| Individuals   |                      |             |              |                |         |          |          |    |           |  | Administrative Bodies |     | Academic Council |               |                  | Board of Governors |       |
|---------------|----------------------|-------------|--------------|----------------|---------|----------|----------|----|-----------|--|-----------------------|-----|------------------|---------------|------------------|--------------------|-------|
| Policy Office | University Secretary | Policy Lead | Policy Owner | Policy Sponsor | Manager | Director | AVP/Dean | VP | President |  | PAC                   | UAC | Faculty Council  | AC Committees | Academic Council | Board Committee    | Board |

**Policy Project Initiation, Drafting and Consultation**

|   |   |   |   |  |   |   |   |   |                |   |  |  |  |  |   |  |  |
|---|---|---|---|--|---|---|---|---|----------------|---|--|--|--|--|---|--|--|
| Policy Sponsor (approve projects to fill university-wide policy gaps)   |   |   |   |  |   |   |   |   | X              | X |  |  |  |  |   |  |  |
| Policy Owner (identify policy gaps, assign Policy Leads)  |   |   |   |  |   |   | X | X | X              |   |  |  |  |  |   |  |  |
| Policy Owner (Local Administrative Policies)  |   |   |   |  | X | X | X |   |                |   |  |  |  |  |   |  |  |
| Policy Owner (Local Academic Policy Instruments)  |   |   |   |  |   |   | X |   |                |   |  |  |  |  |   |  |  |
| Policy Lead (identify stakeholders, determine schedule and method of consultation and develop plan, benchmark, draft PI, submit for consultation, incorporate and/or respond to comments) |   |   | X |  |   |   |   |   |                |   |  |  |  |  |   |  |  |
| Policy Lead (submit draft to Policy Office for deliberation with a report on consultation to the deliberative body)   |   |   | X |  |   |   |   |   |                |   |  |  |  |  |   |  |  |
| Provide general training and advice on framework processes, advise on consultation planning, manage consultation website & schedule   | X |   |   |  |   |   |   |   |                |   |  |  |  |  |   |  |  |
| Classify PI, determine if amendments are editorial or substantive, report on PI reviews and approvals to Board and Academic Council. <sup>1</sup>   |   | X |   |  |   |   |   |   |                |   |  |  |  |  |   |  |  |
| Determine Policy Owner and Sponsor. Resolve questions about the approval authority for a PI where it is unclear   |   |   |   |  |   |   |   |   | X <sup>2</sup> |   |  |  |  |  |   |  |  |
| Required consultation for research, service & institutional policies <sup>3</sup>   |   |   |   |  |   |   |   |   |                |   |  |  |  |  | X |  |  |

<sup>1</sup> includes reporting on Local Policies submitted by Local Policy Owners  
<sup>2</sup> In collaboration with the Board Chair under the advice of the University Secretary  
<sup>3</sup> Research-related PI should undergo consultation with Research Board and all applicable research ethics or compliance committees

| Individuals   |                      |             |              |                |         |          |          |    | Administrative Bodies |     | Academic Council |                 |               | Board of Governors |                 |       |
|---------------|----------------------|-------------|--------------|----------------|---------|----------|----------|----|-----------------------|-----|------------------|-----------------|---------------|--------------------|-----------------|-------|
| Policy Office | University Secretary | Policy Lead | Policy Owner | Policy Sponsor | Manager | Director | AVP/Dean | VP | President             | PAC | UAC              | Faculty Council | AC Committees | Academic Council   | Board Committee | Board |

**Policy Assessment**

|   |  |   |   |  |  |  |  |  |  |   |  |  |                |  |  |   |
|---|--|---|---|--|--|--|--|--|--|---|--|--|----------------|--|--|---|
| Submit to Policy Office for Policy Assessment                               |  |   | X |  |  |  |  |  |  |   |  |  |                |  |  |   |
| Policy Assessment of Legal, Compliance and Governance and Administrative PI |  |   |   |  |  |  |  |  |  | X |  |  |                |  |  |   |
| Policy Assessment of Academic PI  |  |   |   |  |  |  |  |  |  |   |  |  | X <sup>4</sup> |  |  |   |
| Policy Assessment of Board PI   |  | X |   |  |  |  |  |  |  |   |  |  |                |  |  |   |
| Amend Policy Advisory Committee terms of reference                          |  |   |   |  |  |  |  |  |  |   |  |  |                |  |  | X |

**Deliberation**

|  |   |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |
|--|---|--|---|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Determine if Mandatory Consultation & Policy Assessment are complete. Review formatting of PI. Submit for deliberation | X |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Report on deliberations to approval authority  |   |  | X |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Approvals (New or Substantive Amendments)**

|   |   |  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |
|---|---|--|---|---|---|--|--|--|--|--|--|--|--|--|--|--|
| Submit PI for approval  | X |  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |
| Training and communications to support implementation of PI. Assess adoption and compliance with new PI and report to the Approval Authority after one year of implementation |   |  | X | X | X |  |  |  |  |  |  |  |  |  |  |  |

**Approvals (Editorial)**

|  |  |  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |
|--|--|--|---|---|---|--|--|--|--|--|--|--|--|--|--|--|
| Approve editorial amendments to all PI Categories (except Local) |  |  |   |   | X |  |  |  |  |  |  |  |  |  |  |  |
| Report editorial amendments to Approval Authority                |  |  | X | X | X |  |  |  |  |  |  |  |  |  |  |  |

**Policy Library**

|   |   |  |   |   |  |  |  |  |  |  |  |  |  |  |  |  |
|---|---|--|---|---|--|--|--|--|--|--|--|--|--|--|--|--|
| Notify Policy Office of new PI or amendment approvals   |   |  | X | X |  |  |  |  |  |  |  |  |  |  |  |  |
| Maintain official copy of university-wide PI & record of approvals & amendments. Review formatting of PI. | X |  |   |   |  |  |  |  |  |  |  |  |  |  |  |  |

<sup>4</sup> Recommend that a committee of Academic Council fill this role

|  | Individuals   |                      |             |              |                |         |          |          |    | Administrative Bodies |     | Academic Council |                 |               | Board of Governors |                 |       |
|--|---------------|----------------------|-------------|--------------|----------------|---------|----------|----------|----|-----------------------|-----|------------------|-----------------|---------------|--------------------|-----------------|-------|
|  | Policy Office | University Secretary | Policy Lead | Policy Owner | Policy Sponsor | Manager | Director | AVP/Dean | VP | President             | PAC | UAC              | Faculty Council | AC Committees | Academic Council   | Board Committee | Board |
| Determine related Policies, Procedures and Documents. Post to Policy Library   |               |                      |             |              |                |         |          |          |    |                       |     |                  |                 |               |                    |                 |       |
| <b>Policy Review</b>   |               |                      |             |              |                |         |          |          |    |                       |     |                  |                 |               |                    |                 |       |
| Determine Policy Review priorities and initiate a Policy Review <sup>5</sup>   |               |                      |             |              |                |         |          |          |    |                       |     |                  |                 |               |                    | X               |       |
| Determine outcome of Policy Review <sup>6</sup>  |               |                      |             |              |                |         |          |          |    | X                     |     |                  |                 |               | X                  |                 | X     |
| Maintain University-Wide Policy Review Schedule  | X             |                      |             |              |                |         |          |          |    |                       |     |                  |                 |               |                    |                 |       |
| <b>Approvals (Local Administrative Policy)</b>   |               |                      |             |              |                |         |          |          |    |                       |     |                  |                 |               |                    |                 |       |
| Approve new Local Administrative Policy or amendment   |               |                      |             |              |                |         | X        | X        | X  |                       |     |                  |                 |               |                    |                 |       |
| Approve Local Administrative Approval authority form   |               |                      |             |              |                |         |          |          | X  |                       |     |                  |                 |               |                    |                 |       |
| Submit an annual report on all new Local Administrative Policy and amendments to Vice-President. Maintain the official copy and a record of approvals & amendments of Local Admin Policy over time |               |                      |             | X            |                |         |          |          |    |                       |     |                  |                 |               |                    |                 |       |
| <b>Approvals (Academic Local Policy)</b>   |               |                      |             |              |                |         |          |          |    |                       |     |                  |                 |               |                    |                 |       |
| Approve new Local Academic PI or substantive amendment   |               |                      |             |              |                |         |          |          |    |                       |     |                  | X               |               |                    |                 |       |
| Approve editorial amendments to Local Academic PI and report to Faculty Council  |               |                      |             |              |                |         |          | X        |    |                       |     |                  |                 |               |                    |                 |       |
| Approve Local Academic Approval Authority form   |               |                      |             |              |                |         |          |          |    |                       |     |                  |                 | X             |                    |                 |       |
| Submit an annual report on all new Local Academic Policy and amendments to Faculty Council. Maintain the official copy and a record of approvals & amendments of Local Academic PI over time       |               |                      |             |              |                |         |          | X        |    |                       |     |                  | X               |               |                    |                 |       |

<sup>5</sup> Policy Reviews can be initiated by the policy sponsor, owner or approval authority of a Policy

<sup>6</sup> Review outcome is determined by the approval authority of the Policy under review, with the recommendation of the Policy Sponsor or Owner



|                     |                                    |
|---------------------|------------------------------------|
| Item Classification | 5.12 LCG 1100 (Appendix C)         |
| Parent Policy       | UOIT Policy Framework              |
| Approval Authority  | Board of Governors                 |
| Policy Owner        | University Secretary               |
| Approval Date       | November 28, 2014 DRAFT FOR REVIEW |
| Review Date         | November 2017                      |
| Supersedes          |                                    |

## APPENDIX C – 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~~ an advisory committee and Deliberative Body that provides recommendations to ~~both PACIP~~ other Deliberative Bodies, Approval Authorities, Policy Sponsors and Policy Owners who have brought forward ~~Policies for approval~~ Policy Instruments under development.

~~It is expected that broader consultation on the development and drafting of policies~~ Policy Instruments has occurred prior to a ~~a~~ Policy Instrument reaching the PAC. The purpose of the ~~the~~ Committee is not to act in place of appropriate consultative processes in the development of ~~a~~ Policy Instruments.

### 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. The Committee will conduct an assessment of Policy Instruments and act as a Deliberative Body as set out in Appendix A of the UOIT Policy Framework. When PAC deliberates on a Policy Instrument, the committee should also conduct a Policy Assessment of the instrument, if it has not previously done so.~~

~~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.~~

#### ~~a) Optional Early Consultation~~

~~The PAC will have~~ Committee can provide a consultation in the following responsibilities related ~~early stages of a policy project to Administrative Policies:~~

- ~~i. — Review and aid in identifying stakeholders, consider all Administrative Policy submissions prior to submission to PACIP.~~

~~Make~~ consultation and implementation planning, and provide recommendations on whether a ~~policy~~ need can be achieved by modifying or clarifying existing Policy Instruments.

## **b) Policy Assessment**

When conducting a Policy Assessment, the Committee will:

- ii.i. ~~Assess whether and what type of new policy~~ Policy Instrument is needed or whether the ~~purpose~~ policy need can be achieved by modifying or clarifying existing ~~policies and procedures~~ Policy Instruments.
- ii.ii. Ensure that ~~policies~~ Policy Instruments are aligned as far as possible with operational practicalities and that potential operational gaps are identified.
- iv.iii. Assess the ~~policy~~ Policy Instrument for consistency or conflict with legislation, the Policy Framework and Procedures, as well as other existing ~~policies and procedures~~ Policy Instruments, 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~~ Policy Instruments (e.g. Durham College).
- v.iv. Determine coherence and consistency with the established ~~policy~~ template and format.
- vi.v. Review the process and extent of consultation and advise the Policy Sponsor or Policy Owner on areas where additional consultation may be needed.
- vii.vi. Provide advice and guidance to the Policy Sponsor or Policy Owner on issues related to implementation and communication.
- viii.vii. 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.~~

## **c) Deliberation**

When acting as a Deliberative Body, the Committee is responsible for discussion and consideration and provides recommendations for Policy Instruments prior to submission for approval. Committee members should consider the elements of a Policy Assessment when deliberating on a Policy Instrument.

## **d) Policy Priorities and Planning**

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The Committee will discuss and consider policy gaps and policy needs at the University to provide recommendations to and advise the University Administrative Council on priorities for policy development and review.

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### 3. Responsibilities

- a) The PAC Committee will be responsible ~~to undertake~~for the 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 Committee 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~~Advisor (Secretary to the Committee)

One representative from each of the following Administrative 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

- Two representatives from the Teaching Staff with direct knowledge and interest in University policies and policy development. Teaching Staff Representatives will be selected by the Provost after consultation with Academic Council.

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Administrative Representatives are appointed by the Vice-President or delegate for each organizational area. ~~Representatives are~~Each representative is 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).





|                       |  |
|-----------------------|--|
| Classification Number | <i>To be assigned by Policy Office</i> |
| Parent Policy         |  |
| Framework Category    |  |
| Approving Authority   |  |
| Policy Owner          |  |
| Approval Date         |  |
| Review Date           |  |
| Supersedes            |  |

**[GUIDELINES/DIRECTIVES] TITLE**

**PURPOSE**

1. The purpose of these [Guidelines/Directives] is to

**DEFINITIONS**

2. For the purposes of these [Guidelines/Directives] the following definitions apply: **definitions should be listed in alphabetical order, and defined terms must be capitalized throughout the document]**

“A term” means

“B term” means

**SCOPE AND AUTHORITY**

3. These [Guidelines/Directives] apply to
4. The [insert position title], or successor thereof, is responsible for overseeing the implementation, administration and interpretation of these [Guidelines/Directives].

**[GUIDELINES/DIRECTIVES]**

5. **Sub-Heading**
  - 5.1. General direction or instruction under the sub-heading.
    - a) Use letters to denote specific steps
6. **Sub-Heading**
  - 6.1.
7. **Sub-Heading**
  - 7.1.

**MONITORING AND REVIEW**

8. These [Guidelines/Directives] will be reviewed as necessary and at least every three years (**unless another timeframe is required for compliance purposes**). The [insert

position/committee], or successor thereof, is responsible to monitor and review these [Guidelines/Directive].

**RELEVANT LEGISLATION**

- 9. Legislation 1
- Legislation 2
- Legislation 3

If no associated legislation use the text “This section intentionally left blank”.

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

- 10. Associated Document 1
- Associated Document 2
- Associated Document 3

|                       |  |
|-----------------------|--|
| Classification Number |  |
| Framework Category    |  |
| Approving Authority   |  |
| Policy Owner          |  |
| Approval Date         |  |
| Review Date           |  |
| Supersedes            |  |

## POLICY TITLE

## PURPOSE

1. The purpose of this Policy is to

## DEFINITIONS

2. For the purposes of this Policy the following definitions apply: [definitions listed in alphabetical order, and defined terms are capitalized throughout the document]

“A term” means

“B term” means

## SCOPE AND AUTHORITY

3. This Policy applies to
4. The [insert position title], or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

## POLICY

[Insert general Policy Statement]

### 5. Policy Sub-Heading

- 5.1. Statement or broad principle under the policy sub-heading.

- a) Use lower case letters for lists, examples, conditions or exceptions

### 6. Policy Sub-Heading

- 6.1.

### 7. Policy Sub-Heading

- 7.1.

## MONITORING AND REVIEW

8. This Policy will be reviewed as necessary and at least every three years (unless another timeframe is required for compliance purposes). The [insert position/committee], or successor thereof, is responsible to monitor and review this Policy.

## **RELEVANT LEGISLATION**

**9.** Legislation 1

Legislation 2

Legislation 3

If no associated legislation use the text “This section intentionally left blank”.

## **RELATED POLICIES, PROCEDURES & DOCUMENTS**

**10.** Associated Document 1

Associated Document 2

Associated Document 3

|                       |  |
|-----------------------|--|
| Classification Number |  |
| Parent Policy         |  |
| Framework Category    |  |
| Approving Authority   |  |
| Policy Owner          |  |
| Approval Date         |  |
| Review Date           |  |
| Supersedes            |  |

## PROCEDURE TITLE

### PURPOSE

1. The purpose of these Procedures is to

### DEFINITIONS

2. For the purposes of these Procedures the following definitions apply: [definitions listed in alphabetical order, and defined terms are capitalized throughout the document]

“A term” means

“B term” means

### SCOPE AND AUTHORITY

3. These Procedures apply to
4. The [insert position title], or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

### PROCEDURES

5. **Procedure Sub-Heading**
  - 5.1. General direction or instruction under the Procedure sub-heading.
    - a) Use letters for procedural steps
6. **Procedure Sub-Heading**
  - 6.1.
7. **Procedure Sub-Heading**
  - 7.1.

### MONITORING AND REVIEW

8. These Procedures will be reviewed as necessary and at least every three years (unless another timeframe is required for compliance purposes). The [insert position/committee], or successor thereof, is responsible to monitor and review these Procedures.

### RELEVANT LEGISLATION

9. Legislation 1

Legislation 2

Legislation 3

If no associated legislation use the text "This section intentionally left blank".

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

10. Associated Document 1

Associated Document 2

Associated Document 3

**APPENDIX E – LOCAL POLICY APPROVAL AUTHORITY FORMS**

**Local Academic Approval Authorities**

|                       |  |
|-----------------------|--|
| <b>Unit:</b>          |  |
| <b>Date:</b>          |  |
| <b>Approved by:</b>   |  |
| <b>Approval date:</b> |  |

| <b>Category/Type</b>       | <b>Deliberative Body</b> | <b>Approval Authority</b> |
|----------------------------|--------------------------|---------------------------|
| <b>Local ACD Policy</b>    |                          |                           |
| <b>Local ACD Procedure</b> |                          |                           |
| <b>Local ACD Directive</b> |                          |                           |
| <b>Local ACD Guideline</b> |                          |                           |

Local Academic approval authorities are subject to approval by Academic Council. Positions and/or bodies eligible to be assigned as approval authorities are detailed in the Delegation of Authority Chart, Appendix B to the UOIT Policy Framework.

**Local Academic Policy (ACD) Approval Authorities**

|                       |  |
|-----------------------|--|
| <b>Unit:</b>          |  |
| <b>Date:</b>          |  |
| <b>Approved by:</b>   |  |
| <b>Approval date:</b> |  |

| <b>Organizational Area</b> | <b>Deliberation</b> | <b>Position with Approval Authority</b> |
|----------------------------|---------------------|---|
|                            |                     |   |
|                            |                     |   |
|                            |                     |   |

Local Administrative approval authorities are subject to approval by the Vice-President responsible for the organizational area. Positions eligible to be assigned as approval authorities are detailed in the Delegation of Authority Chart, Appendix B to the UOIT Policy Framework.