



# Policy on Creating and Reviewing University Policies

**Category:** Operations

**Approval:** Presidents and Vice-Presidents Group (PVP)

**Responsibility:** University Secretary

**Date:** March 10, 2010, Reviewed and Revised October 30, 2018

## Definitions:

**Approval Authority:** The Approval Authority for a policy, if it is of University-wide application, is the President & Vice-Presidents Group and / or, with respect to matters within their respective jurisdiction under the Trent Act, the Board of Governors and /or the Senate. Policies of more local application may be approved by PVPs, the Provost's Planning Group (PPG), the President, a Vice-President, Dean, Associate Dean or Administrative Directors depending on the context. The University Policy Advisory Committee will provide advice regarding the appropriate approval authority in particular instances (refer also to Trent Policy Framework and Approval Hierarchy).

**Contact Officer:** A contact officer is the person who should be contacted for any matters relating to the policy, procedure or guideline.

**Guidelines:** Guidelines provide instructions that facilitate completion of a procedure or application of a policy in differing circumstances. Guidelines provide assistance when the use of judgment is required for the application of a policy. Often they will establish a "best practice" for applying a policy and can assist in interpreting policy.

**Policy:** A policy is a document that establishes key principles and values that guide the operation of the University. It generally has institution-wide implications, although does not always have application across all University departments. Policies typically enhance the University's Mission Statement, manage institutional risk, are enduring in nature and are approved at the senior levels of the University. Some policies can stand alone, but most often will be accompanied by associated procedures and/or guidelines.

**Procedure:** A procedure details the interrelated and sequential steps and/or actions that must be taken to implement a particular policy. They are mandatory and may be subject to routine changes based on operating practice. They are generally approved by the senior officer responsible for a policy.

**Senior Administrative Officer:** The senior administrative officer is responsible for ensuring the communication of the policy, development of associated procedures, interpretation and awareness of the policy, and for monitoring compliance. A senior administrative officer would normally be at the level of a president, vice-president, associate vice-president, dean, or director.

## Purpose/Reason for Policy:

To define a coordinated and consistent process for identification, development, approval and administration of all University policies, consistent with governing principles on which the activities of the University are based.

## Scope of this Policy:

This policy applies to all University staff and faculty who are responsible for developing, writing, approving and reviewing policies, procedures and guidelines on issues which have university-wide application.

This policy does not apply to regulations that are or would be communicated in the Academic Calendar (academic regulations, degree requirements, and regulations about admissions, fees, and financial aid).

This policy does not apply to management decisions made which provide local instruction and guidance to staff for matters that are limited to local operations only.

Management decisions must not be inconsistent with approved University policies or procedures. If there is an inconsistency, the University policy and/or procedure will take precedence.

## Policy Statement:

While policies may comprise elements of procedure, most policies should focus on principles and provide guidance and direction. Policies change infrequently, and changes to policy are subject to approval by the appropriate senior authority.

Procedures are put into place under the direction of the policy's Senior Administrative Officer.

Guidelines are more general in nature and may include additional documentation such as explanatory notes, forms and references.

## Approval Process

For a policy to become University Policy, it must be approved by the relevant senior authority(ies) e.g. PVP, Board of Governors and/or Senate.

Procedures must be approved by the relevant authority e.g. President, Vice-President, Dean, Department/College Chairs & Directors.

To ensure consistency, guidelines should be approved by the same authority as the procedure.

## Documentation

All policies, procedures and guidelines must be presented in the relevant approved template - attached to this Policy's Procedure titled Procedure for Creating and Reviewing University Policy.

## Review Cycle

All policies and procedures are to be reviewed on a regular and scheduled cycle.

Substantive changes to existing policies, procedures and guidelines are subject to the same requirements as for new policies, procedures and guidelines.

## Revocation

A policy or procedure remains in force unless formally revoked by the relevant Approval Authority.

The previous version of a policy or procedure is automatically revoked when a new version is approved by the relevant Approval Authority.

## **Responsibilities**

### **Policy Advisory Committee**

Prior to submission to the Approval Authority for final approval, all policies and procedures must be submitted to the University Policy Advisory Committee. The Committee will review policies and procedures to:

- ensure all policies are coherent in nature and scope;
- ensure policies have been checked for compliance with the relevant external legislation and internal policies and procedures, including Board of Governors' special resolutions, by-laws, and existing collective agreements;
- ensure terminology and format are consistent and readable;
- ensure appropriate consultation has been undertaken; and
- provide a central facility to avoid duplication or overlap of policies and procedures.

### **University Secretariat**

There will be one central resource incorporating all approved University policies, procedures and guidelines, managed by the University Secretariat.

### **Administration**

The President and Vice-Presidents (PVP) are responsible for ensuring that, within their areas of responsibility, appropriate plans with respect to policy are developed, resourced, kept current, and implemented.

The Associate Vice-Presidents, Deans, Associate Deans, Senior Directors, Directors, Registrar and University Librarian are responsible for:

- ensuring adherence to University policy is integrated into all planning and decision-making within their portfolios; and
- ensuring programs are developed, resourced, implemented, evaluated, and maintained to implement University policies effectively.

Managers and Principal Investigators are responsible for:

- ensuring University policies are implemented in the Program or Department as applicable; and
- University policies are integrated into all aspects of planning and decision-making within the Program or Department.

Every employee (faculty or staff) is responsible for complying with University policies in the course of performing their duties.

Contact Officer:

University Secretary

Date for Next Review:

November 1, 2023

Related Policies, Procedures & Guidelines

- a) Procedure for Creating and Reviewing University Policies

Policies Superseded by This Policy:

- a) N/A