



**Development, Approval and Administration of Non-Academic  
University Governance and Compliance Policies**  
#15.1

<b>CATEGORY:</b> Governance	<b>APPROVAL DATE:</b> April 1, 2013
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<b>APPROVAL:</b> Board of Governors	
<b>SPONSOR:</b> Vice-President, Finance and Administration	
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<b>PREVIOUS VERSIONS:</b> Please contact the Office of the Vice-President, Finance and Administration, to view any of the following previous policy versions: <input type="checkbox"/> none	

**PURPOSE:**

To define a coordinated and consistent process for identification, development, approval, dissemination and administration of all non-academic University governance and compliance policies.

**SCOPE:**

All non-academic University governance and compliance policies and related procedures except academic policies and regulations.

**DEFINITIONS:**

**Sponsor** - A senior administrator, normally a Vice-President, with overall responsibility for an assigned policy including: drafting the policy; carrying out appropriate consultation/assessment; evaluating implications of the policy including risks and costs, and seeking legal advice, where appropriate; developing and carrying out the communications plan and the implementation plan; writing any related procedures; monitoring compliance through regular review of the policy. The sponsor may designate a delegate, who must be named.

**Units** – Discreet university entities such as departments, faculties, programs, offices, centres, etc.

**POLICY:**

Policies exist to ensure that the University's processes and practices align with the University's strategic direction, core principles, regulatory and governance environment and need for change. They describe the University's position on a particular issue. Procedures for implementation, communication and compliance monitoring should be developed for each policy.

A University policy:

- states the University's position on issues which have university-wide application;
- reflects and upholds the University's governing principles;
- identifies and prescribes compliance with applicable laws, regulations, and other policies;
- promotes operational efficiencies;
- enhances the University's mission and strategic plan and/or reduces institutional risk;
- provides decision-makers with limits, alternatives and guidance;
- changes infrequently.

Non-academic University governance and compliance policies require the approval of the Board of Governors.

Units may develop, approve and implement local policies that have applicability within their discreet operational unit. Local policies must be consistent with University-wide policies and it is recommended that their development follow the same principles for development, consultation, approval, dissemination and review as the University-wide policies.

#### **PROCEDURES:**

Procedures provide guidance on the implementation of policies. For new policies the relevant procedures shall be developed and approved concurrent with the new policy development so that the policy can be implemented once approved.

Existing procedures may be changed by the sponsor after appropriate consultation normally through the Senior Management Group.

To ensure coordination of policies and procedures, procedures, when published, will refer to and be appropriately linked to the relevant policy(ies).

#### **Process for the Development, Approval and Administration of a Policy:**

##### ***1. Approval of Concept***

Any member of the University community may propose that a new University policy, or revision to an existing policy, is required. Such a proposal must contain a well-crafted rationale, must recommend a sponsor for the policy, must have the support of the appropriate unit leader who will submit the proposal to the appropriate Vice-President. Once approved by the Vice-President, the proposal will be vetted by the President's Cabinet who, following an assessment of need, will determine whether policy development proceeds and if so will assign a sponsor; it may provide advice on how to proceed.

##### ***2. Drafting and Consultation***

The sponsor has the responsibility for researching and drafting, using a common format, the policy or policy changes, drafting relevant procedures, if any (for new policies), developing a communications plan and an implementation plan. The sponsor is also responsible for carrying out appropriate consultations/assessments, for evaluating the implications of the policy including potential risks and costs, and where appropriate, for seeking legal advice.

### ***3. Recommendation for Approval***

The sponsor will forward the draft policy/policy revision (and relevant procedures, in the case of new policies) to the Senior Management Group for review and for subsequent forwarding to the President. Where appropriate, the Senate may be asked to review and assess a policy submission.

### ***4. Implementation***

Once approved by the Board, implementation of the new policy/revised policy will proceed including: communicating the approval to all relevant units and employees, arranging and delivering appropriate training, monitoring compliance, etc.

### ***5. Review of Policies***

The policy sponsor conducts a review of his/her policies every four years at a minimum or more frequently if required for compliance purposes in order to identify anachronisms, gaps and potential overlaps and to monitor the effectiveness of the ongoing administration of the policies. The results of the review are reported to the President's Cabinet.

### ***6. Maintenance of the Policy Portfolio***

The Office of the Vice-President, Finance & Administration has responsibility for the curatorial aspects of all policies, i.e., keeping a directory of the approved policies and ensuring that they are available on the University's web site. The on-line version of policies and procedures will be the official version and there will be only one on-line version.

### ***7. Incidental Amendments***

The President's Cabinet has authority to make incidental amendments to policy documents, which do not alter the meaning of the policy, such as adding definitions for clarity or consistency, and making changes resulting from other related policies being adopted.