

## **POLICY ON UNIVERSITY POLICIES AND PROCEDURES**

**University Policy No.:** GV0100  
**Classification:** Governance  
**Approving Authority:** Board of Governors  
**Effective Date:** November/07  
**Supersedes:**  
**Last Editorial Change:** October/09  
**Mandated Review:** November/14

### **Associated Procedures:**

[Procedures Relating to the Policy on University Policies and Procedures](#)

## **PURPOSE**

- 1.00 University Policies and Procedures should be current, functional and readily accessible to the university community. The purpose of this policy is to define and set standards for University Policies and Procedures, including a requirement for their periodic review.

## **DEFINITIONS**

- 2.00 University Policy: defined by *all* of the following criteria:
- a. It is a principle-based statement to be followed in carrying out the activities of the university;
  - b. It has broad application throughout the university and is binding on members of the university community; and
  - c. The subject matter is such that it requires Board of Governors, Senate, presidential or vice-presidential review and approval for policy issuance and revision.
- 3.00 Procedure: a process or set of steps to be followed in order to give effect to a University Policy.

## **POLICY**

- 4.00 A University Policy should promote governance, management practices, and behaviour consistent with the university's core principles; advance the university's mission; comply with applicable laws and regulations; promote operational efficiencies; and/or reduce institutional risk.

### Roles and Responsibilities

- 5.00 A University Policy will specify:
- 5.01 An Approving Authority: the individual or body responsible for final approval of a University Policy. Approving Authorities include:

- a. the Board of Governors, which approves University Policies relating to the management, administration and control of the property, revenue, business and affairs of the university pursuant to section 27 of the *University Act*;
  - b. the Senate, which approves University Policies relating to the academic governance of the university, pursuant to Section 37 of the *University Act*;
  - c. the Senate and Board of Governors;
  - d. the President, who approves University Policies in his/her capacity as Chief Executive Officer of the university, pursuant to sections 59-63 of the *University Act*;
  - e. the President acting on authority delegated by the Board of Governors or the Senate; or
  - f. a Vice-President acting on authority delegated by the Board of Governors, the Senate or the President.
- 5.02 A Designated Executive Officer: the President or Vice-President who is designated to be responsible and accountable for the:
- a. development, implementation, maintenance and review of a University Policy;
  - b. education of members of the university community about a University Policy;
  - c. promotion and monitoring of compliance with a University Policy; and
  - d. development of a new University Policy within the scope of his or her authority or portfolio.
- 5.03 A Procedural Authority: the individual or body responsible for the approval of Procedures established under a University Policy and any amendments to them; and
- 5.04 A Procedural Officer: the individual or body responsible for the development and recommendation of the Procedures established under a University Policy and any amendments to them.
- 6.00 A Vice-President will normally be named as the Designated Executive Officer for a University Policy within the scope of his or her authority or portfolio.
- 6.01 If a University Policy is within the scope of authority or the portfolio of more than one Vice-President, multiple Designated Executive Officers may be named.
- 6.02 The President will normally be named the Designated Executive Officer for a University Policy that is institutional in nature and transcends Vice-Presidential portfolios.
- 7.00 The Designated Executive Officer for a University Policy may also be specified as the Procedural Authority or the Procedural Officer or both.
- 8.00 Members of the university community are responsible for familiarizing themselves with and complying with University Policies and Procedures.

- 9.00 Individuals in senior administrative and management positions are responsible for making a reasonable effort to ensure that members of the university community in their areas and units are informed of University Policies and Procedures that govern their activities.
- 10.00 The Office of the University Secretary is the official repository for University Policies.
- 10.01 The University Secretary will maintain records of delegations of authority by Approving Authorities that occur under this policy.
- 11.00 The University Secretary may make editorial changes to a University Policy or Procedures, provided that such changes do not substantively affect the University Policy or Procedures. Editorial changes are subject to approval by:
- a. the Designated Executive Officer, in the case of editorial changes to a University Policy; or
  - b. the Procedural Authority, in the case of editorial changes to Procedures.

#### Format

- 12.00 A University Policy will be classified and presented in the format prescribed by the *Procedures Relating to the Policy on University Policies and Procedures*.

#### Procedures

- 13.00 Procedures associated with a University Policy may be developed subsequent to the establishment of the University Policy.

13.01 The Approving Authority for a University Policy has the authority to specify:

- a. the Procedural Authority; and
- b. the Procedural Officer.

#### Effective Date

- 14.00 A University Policy becomes operational and enforceable upon approval or at a later date specified by the Approving Authority.

- 15.00 Procedures associated with a University Policy become operational and enforceable upon approval or at a later date specified by the Procedural Authority.

#### Review

- 16.00 A University Policy must undergo a substantive review every seven years, but may be reviewed at any time as needed.

- 17.00 Procedures associated with a University Policy must be reviewed when the University Policy is reviewed, but may be reviewed at any time as needed.

#### Other Policies and Agreements

18.00 Faculties and other academic and administrative units may establish local unit policies and procedures, but such policies may not contradict University Policies.

19.00 Where a University Policy or Procedures conflict with the Framework Agreement or any existing collective agreement between the university and its faculty or staff, the provisions of the agreement will prevail.

#### Reporting

20.00 The President will report annually to the Board of Governors and the Senate on University Policies developed and reviewed during the year and the action taken or recommended.

#### **AUTHORITIES AND OFFICERS**

21.00 The following is a list of authorities and officers for this policy:

- a) Approving Authority: Board of Governors, on the recommendation of Senate
- b) Designated Executive Officer: President
- c) Procedural Authority: President
- d) Procedural Officer: University Secretary

#### **RELEVANT LEGISLATION**

*University Act*

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## Procedures Relating to the Policy on University Policies and Procedures

**Procedural Authority:** President  
**Procedural Officer:** University Secretary  
**Parent Policy:** [Policy on University Policies and Procedures GV0100](#)

**Effective Date:** November/07  
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### Development and Revision of University Policies

- 1.00 Individuals, bodies or groups who perceive the need for the development of a new University Policy or the revision of an existing University Policy should consult the proposed (for a new University Policy) or named (for an existing University Policy) Designated Executive Officer, who will decide whether to develop or review the University Policy.
- 2.00 When a Designated Executive Officer decides to begin the development or revision of a University Policy, he or she will notify the University Secretary.
- 3.00 The Designated Executive Officer will assign an individual or team to carry out the development or review of a University Policy, which may include the following steps:
  - a) identify pertinent legislation and policy;
  - b) collect and analyze pertinent information;
  - c) determine, in conjunction with the University Secretary, who ought to be consulted and conduct these consultations as appropriate;
  - d) draft a preliminary University Policy and associated Procedures, if any, that meet the criteria set out in the *Policy on University Policies and Procedures* using the prescribed format and revise the draft as necessary during the consultation process;
  - e) submit the draft to the Director of Equity or Human Rights and the General Counsel, who will provide feedback to the Designated Executive Officer;
  - f) revise the draft as necessary and submit to the Designated Executive Officer for review;
  - g) make the draft available to the university community through the University Secretary's office for comment, if appropriate; and

- h) finalize the draft and submit the final draft to the Designated Executive Officer so that he or she may recommend it for approval.
- 4.00 The Designated Executive Officer will submit the final draft to the University Secretary, who will submit the proposed new or revised University Policy and associated Procedures, if any, for approval to the appropriate Approving Authority.

### **Development and Revision of Procedures Associated with University Policies**

- 5.00 Procedures may be developed or reviewed simultaneously with a University Policy or subsequently.
- 6.00 When Procedures are developed simultaneously with the development or review of a University Policy, the process in sections 3.00 and 4.00 will be followed.
- 7.00 When Procedures are developed or reviewed after a University Policy has been approved, the Procedural Officer will assign an individual or team to:
- a) draft the Procedures;
  - b) conduct consultations as appropriate and revise the draft as necessary during the consultation process;
  - c) submit the Procedures to the Director of Equity and Human Rights and the General Counsel for review; and
  - d) submit the final draft of the Procedures to the Procedural Officer so that he or she may recommend it for approval.
- 8.00 The Procedural Officer will submit the final draft to the University Secretary, who will submit the proposed new or revised Procedures to the Procedural Authority for approval.

### **Approved University Policies and Procedures**

- 9.00 Once a University Policy and associated Procedures, if any, have been approved, the University Secretary will:
- a) maintain a record of the current, enforceable version of the University Policy and Procedures;
  - b) publish copies of the University Policy and Procedures and make them accessible to the university community; and
  - c) maintain a record of the initial approval of a University Policy and Procedures and of all subsequent substantive and editorial changes.
- 10.00 The Designated Executive Officer will communicate the approval of new or revised University Policies and associated Procedures as appropriate.

### Rescindment of University Policies and Procedures

11.00 A University Policy or Procedures may be rescinded at any time, subject to approval by:

- a) the Approving Authority, in the case of a University Policy; or
- b) the Procedural Authority, in the case of a Procedure.

### Mandated Periodic Review of University Policies and Procedures

12.00 The University Secretary will set a cyclical schedule for the mandated review of all University Policies and Procedures.

12.01 The University Secretary will advise a Designated Executive Officer of the schedule for mandated review of a particular University Policy.

12.02 The University Secretary will advise a Procedural Authority of the schedule for mandated review of a particular Procedure.

12.03 In cases where a University Policy undergoes substantive review outside the regular review cycle, the mandated review date should normally be re-set at the standard number of years following the review.

13.00 The Designated Executive Officer for a University Policy will:

- a) initiate and direct the mandated reviews according to the steps set out in these Procedures;
- b) recommend revisions when warranted; and
- c) report to the President, through the University Secretary, on the outcomes of the review.

### Standard Format and Components of University Policies

14.00 The standard components for University Policies include the following:

- a) **The Heading**, which includes:
  - the University of Victoria logo
  - policy title
  - university policy number
  - policy classification
  - Approving Authority (e.g.: Board, Board on the recommendation of Senate, Senate)
  - effective date (the date when the policy or revised policy comes into force)
  - the effective date of the previous version which is superseded by the new version
  - the date of the last editorial change
  - mandated review date (the date by which the mandated review must be completed)

- b) **Policy Purpose**
- c) **Definitions** (optional)
- d) **Jurisdiction/Scope** (optional)
- e) **Policy** (A clear and concise statement of the policy. This section should not include Procedures.)
- f) **Authorities and Officers** (A list of all authorities and officers for the policy.)
  - i) Approving Authority
  - ii) Designated Executive Officer
  - iii) Procedural Authority
  - iv) Procedural Officer
- g) **Relevant Legislation** (optional)
- h) **Related Policies and Documents** (optional)

University Policy Functional Classification System and Numbering

15.00 University Policies will be classified according to the following functional classification system:

<b>Code</b>	<b>Functional Classification</b>
GV	Governance
AC	Academic and Students
AD	Administration
BP	Buildings and Properties
ER	External Relations
FM	Financial Management
HR	Human Resources
IM	Information Management
RH	Research
SS	Safety and Security

16.00 The University Secretary will assign each University Policy a three-digit number (001-999) following the relevant two-letter alpha code associated with the functional classification system outlined above.