

POLICY ON POLICY MANAGEMENT

PURPOSE

The purpose of this Policy is to ensure that University policies are developed, implemented and managed in an effective, consistent and sustainable manner, with appropriate consultation and accountability.

SCOPE

This Policy applies to all Brock University employees and members of the Board of Trustees.

This Policy applies to all administrative policies which fall under the jurisdiction of the Board of Trustees. It does not apply to educational / academic policies of the University which fall under the jurisdiction of the Brock University Senate.

This Policy does not apply to a faculty, department or division policy internal to a University group, and solely applicable to that area.

If any provision of this Policy is found to be inconsistent with the provisions of a collective agreement, the collective agreement will prevail, unless the Policy provision is required by law or government directive, in which case the Policy provision will prevail.

POLICY STATEMENT

Policy Management Framework

The University is committed to developing and maintaining policies that facilitate achievement of the University's strategic objectives, address key risks faced by the University and that provide transparency, clarity and consistency in decision making.

The University will develop, implement and manage its policies through a policy management framework that ensures that policies are aligned with the University's vision, mission and values in a manner consistent with its strategic priorities and operating environment.

Compliance with policy requirements will be proactively monitored, and instances of non-compliance will be handled in a timely, judicious and impartial manner, subject to collective agreements and/or other contractual conditions.

Policy processes

Policy development, approval, implementation and review must adhere to the Policy Management Procedures and all policies under the scope of this Policy must use the approved policy template.

Policy categories

All policies will be categorized into one of the following categories:

1. Board policies - policies which relate to the governance and administration of the Board of Trustees.
2. Compliance and governance policies - policies which are required by law or government directive or which are necessary to manage institutional risks, as well as policies which relate to broader institutional planning and governance.
3. Operational policies - policies which relate to the operations or administration of the University.

The Policy Management Team will be responsible for determining which category a policy falls within. Where a policy is not clearly within a single policy category, the Policy Management Team will determine the policy category in consultation with the President and the Governance/Nominating Committee of the Board.

Policy approval

All Board policies and Compliance and Governance policies must be approved by the Board of Trustees.

All Operational policies must be approved by the Executive Team.

The Board of Trustees retains the authority to:

1. Delegate its approval authority to the President as the Board of Trustees deems appropriate on a case-by-case basis; and

2. Modify the approval authority of any policy which falls under the scope of this Policy as the Board deems appropriate on a case-by-case basis.

Policy-related Instruments

All Policy-related Instruments developed to implement and support University policies must be approved by the Policy Owner, following consultation with the Senior Administrative Council.

Policy owner

Each policy must have a designated “owner” who is a senior administrator with overall responsibility for policy development, implementation, monitoring for compliance and periodic review of the policy.

Policy initiation

Any University employee or student may propose the creation of a new policy or changes to an existing policy by notifying the University Secretariat and the University Secretary shall refer the proposed policy or policy change to the responsible senior administrator.

Policy consultation, communications and implementation

Policy owners are required to consult with key stakeholders during policy development to ensure a comprehensive policy draft. Key stakeholders may include the relevant standing committee of the Board of Trustees.

Where required by a collective agreement, the policy owner must consult with the party to the collective agreement and, if required, negotiate the policy in accordance with the terms of the collective agreement and any applicable Policy Management Standards.

In addition, policy owners are required to develop an implementation plan which must include a communications plan, a training plan (where applicable) and a plan for monitoring compliance with the policy.

Periodic policy review

Each policy must be reviewed periodically, with the policy owner determining the review cycle. The review cycle cannot exceed three years. In determining the review cycle, policy

owners should consider factors such as, but not limited to: regulatory requirements for policy review (if applicable), the maturity of the underlying processes as well the inherent risk and related controls, among any other factors deemed relevant by the policy owner.

Policy changes

Changes to an existing policy must be made in accordance with the terms of the collective agreement(s) and the Policy Management Standards.

Changes to a policy must be approved as follows:

- a. Board approved policy: changes must be approved by the Board of Trustees, unless the Policy Management Team determines the changes to be minor, in which case, the changes may be approved by the Executive Team, on the advice of the Senior Administrative Council, provided that notice of the changes is provided to the Board of Trustees, which shall retain the authority to rescind the change.
- b. Executive Team approved policy: all changes must be approved by the Executive Team, on the advice of the Senior Administrative Council.

Policy repeal

A policy may only be repealed as follows:

- a. Board approved policy: repeal must be approved by the Board of Trustees.
- b. Executive Team approved policy: repeal must be approved by the Executive Team, on the advice of the Senior Administrative Council.

Policy library

The University Secretary will be responsible for maintaining a policy library of all administrative University policies and policy-related instruments.

The official version of a policy is the policy posted in the policy library by the University Secretary.

DEFINITIONS

Executive Team: means the President and Vice-Presidents.

Policy Management Team: means the University Secretary and the Vice-Presidents.

Policy: A policy is a high-level statement of principle intended to govern the operations of the University. Policy reflects the philosophies, attitudes or values of the University and outlines requirements without detailing how the policy will be applied.

Policy related instruments include:

- a. **Procedures:** A procedure is a step by step instruction on how to implement a particular aspect of a policy. A procedure includes information on the who, what, when, where and how of a policy. A procedure may take the form of a work instruction, a quick reference guide, a checklist, or detailed documented steps and typically addresses a single task.
- b. **Standards:** A standard is a specific mandatory control that helps enforce and support a policy.
- c. **Guidelines:** A guideline is recommended, non-mandatory guidance to help support the interpretation and implementation of a policy.

COMPLIANCE AND REPORTING

This Policy is under the jurisdiction of the University Secretary. The University Secretary will be responsible for the interpretation and application of this Policy. Final decisions related to this Policy will be made by the Policy Management Team.

This Policy will be enforced by the University Secretary through education, training and procedures as well as, where deemed appropriate by the University Secretary, policy compliance audits.

Policy violations will be assessed and action taken to remediate the violation, including consequences where appropriate, subject to collective agreements and / or other contractual conditions.

Policy owner:	University Secretary
Authorized by:	Board of Trustees, Governance / Nominating Committee
Accepted by:	Senior Administrative Council
Effective date:	December 2016
Next review:	March 2022
Revision history:	March 2019
Related documents:	<ul style="list-style-type: none"> Policy Procedures Policy Management Standards Policy Scope Statement Template Policy Template