



University Policies & Procedures

Institutional Manual

Approving Authority: President (Vice-Chancellor)

Established: October 7, 2011

Date of Last Review/Revision: May 28, 2015, replaces April 5, 2013

Office of Accountability: President

Administrative Responsibility: Vice-President, Administration

Statement

University policies and procedures promote operational efficiencies and reduce institutional risk. They define standards that are consistent with the University's core values and principles, and applicable laws and regulations. They should be current, functional, and accessible to the University community. In the event a University policy or procedure differs from a framework document (e.g., *St. Jerome's University Act of Incorporation*, Collective Agreement; Board by-law), the provisions of the framework document prevail.

This foundational policy defines the standards for the initiation, development, review and approval of University policies and procedures.

Definitions

1. Policy - a principle-based statement, plan or course of action that is binding on all those to whom it applies
2. Procedure - the operational steps to be followed to effect a policy

Scope

A University policy or procedure becomes operational upon approval or at a later date specified by the Approving Authority at the time of approval. Procedures may be developed subsequent to the establishment of the policy. University policies must be reviewed at least every five years; associated procedures may be reviewed more often, but must be reviewed coincident with any policy review.

Obsolete policies within the Institutional, Operations and Staff manuals may be rescinded at any time, subject to approval by the Approving Authority. In the case of a procedure in support of a policy within the aforementioned manuals, revisions will be subject to the Office of Accountability. Policies within the Academic Operations Manual are subject to the established approval procedures of Senate Council.

Members of the University community are responsible for being aware of and complying with University policies and procedures.

Policy Governance

A University policy will specify an Approving Authority, Date Established, Date of Last Review or Revision, Office of Accountability, and Administrative Responsibility:

Approving Authority: the individual or body responsible for final approval of a University policy. An Approving Authority may be one or more of the:

- Board of Governors, which approves policies relating to University property and revenue and to the conduct of the University's business affairs pursuant to the *St. Jerome's University Act of Incorporation*.
- SJU Senate Council, which approves policies relating to the academic governance and educational mandate of the University, subject to the *St. Jerome's University Act of Incorporation*, the Federation Agreement with the University of Waterloo, St. Jerome's University Bylaw, and the Terms of Reference for the SJU Senate Council.
- President, acting as Chief Executive Officer of the University or on the authority delegated to him/her by the Board of Governors pursuant to the *St. Jerome's University Act of Incorporation*.

Office of Accountability: the head of the office designated to be responsible and accountable for the:

- Initiation, development, implementation and review of a University policy;
- Initiation, development, implementation, review and approval of a procedure related to a policy;
- Education of members of the University community about a University policy or procedure;
- Monitoring compliance with a University policy or procedure

If a University policy is within the scope of authority or the portfolio of more than one Office of Accountability, multiple offices may be named.

Office of Administrative Responsibility: the individual or body to whom the Accountability Officer delegates initiation, development, implementation or review of a University policy or procedure. The Office of Accountability and the Office of Administrative Responsibility may be one and the same.

The office designated to house the official copy of a University Policy or manual is further responsible for its dissemination.

Policy Categorization

University policies will be classified according to the categories identified below:

1. **Institutional Manual** – a collection of policies and procedures that affect all members of the University community. The Institutional Manual consists of policies and procedures required by provincial or federal legislation and those that are not specific to an employee group. Development will require University community consultation (draft policies will be posted on line and feedback sought) and, where appropriate, may involve the work of a committee with members from stakeholder groups. Directed consultation or feedback may be requested from heads/supervisors/managers, staff, faculty and students. External consultation may include, but is not limited to, professionals and consultants with specific expertise or experience within a field of work.

Approving Authority: President (Vice-Chancellor)
Office of Accountability: Vice-President, Administration
Administrative Responsibility: Various
Maintenance of Official Copy: Vice-President, Administration

2. Academic Operations Manual – a collection of policies, guidelines and procedures that govern, direct and guide academic processes, including those required by the University of Waterloo.

Approving Authority: SJU Senate Council
Office of Accountability: Vice President Academic and Dean
Administrative Responsibility: Vice President Academic and Dean, Associate Dean, Registrar
Maintenance of Official Copy: Vice President Academic and Dean

3. Operations Manual – a collection of policies and procedures designed to define, clarify and detail processes that dictate the management and administrative steps required to ensure accountability and responsibility within all aspects of decision-making. Depending on the issue being managed, the Office of Accountability may elect to engage in consultations with internal or external individuals and groups as appropriate.

Approving Authority: President (Vice-Chancellor)
Office of Accountability: President (Vice-Chancellor), Vice President Academic and Dean, Vice-President, Administration
Administrative Responsibility: Various
Maintenance of Official Copy: Vice-President, Administration

4. Staff Manual – a collection of policies and procedures related to the terms and conditions of employment of staff. It includes the specific responsibilities of managers/supervisors/heads, Human Resources and individual staff. Consultation will be primarily with the Staff Relations Committee; however, consultation with heads/supervisors/managers or all staff may be advised depending on the issue. External consultation may include but is not limited to professionals and consultants with specific expertise or experience within a field of work.

Approving Authority: President (Vice-Chancellor)
Office of Accountability: Vice-President, Administration
Administrative Responsibility: Human Resources
Maintenance of Official Copy: Human Resources

In addition to the four manuals identified above, there are two additional sets of documents that do not fall under the purview of this policy:

5. SJU ASA Collective Agreements -- details the precise nature of the terms and conditions of employment for the members of the SJU-ASA bargaining units, achieved through negotiation, mediation or arbitration. The certification certificates issued by the Ontario Labour Relations Board defines the members of the bargaining units. The Collective Agreements are ratified by the SJU-ASA membership and approved by the Board of Governors.
6. Board Manual -- details Board by-laws, policies, guidelines and procedures that direct, govern, and outline the business of the Board of Governors.

Appendix A Initiation, Development and Approval Procedures

Academic Operations Manual

Academic Operations policies and procedures are developed, reviewed and approved in accordance with the policy on Revisions to the Academic Operations Manual within the Academic Operations Manual.

Institutional, Operational and Staff Manuals

1. Individuals, bodies, or groups who perceive the need for a new policy or guideline or a review of an existing one should speak to the head of the proposed (for a new University policy) or named (for an existing University policy) Office of Accountability whose decision it is whether to proceed. Minimally, every five years, the Office of Accountability will be responsible for reviewing policies and procedures.
2. Draft policies in their final iteration are to be submitted for review to ensure legal compliance, formatting, and internal consistency. The policy will then be returned to the appropriate Approving Authority. Where the decision to initiate, develop, or review policies or procedures is undertaken, the head of the Office of Accountability will notify the Vice-President, Administration for clarification on the review and development steps.
3. The head of the Office of Accountability will assign (usually consisting of or including the head of the Office of Administrative Responsibility) an individual, team, or in the case of institutional policies, a representative committee to carry out the development or review process.
4. The development or review process may take several forms depending on the policy or procedure.

For policies, the process should include:

- Identification, collection and examination of any relevant legislation or other pertinent information
 - Identification of the appropriate individuals, groups to be consulted
 - Consultation with the head of the Office of Accountability throughout the process
 - Preparation of an executive summary highlighting the significant portions of the new or revised policy
 - Opportunity for the SJU community to comment on the proposed new or revised policy (post online, normally, for 14 days)
5. Once approved, the Office of Accountability will communicate the approval of the new or revised University policy as appropriate.
 6. When procedures are developed or reviewed simultaneously with the relevant policy, the process outlined above for policies will be used. When procedures are developed or reviewed outside of the relevant policy development or revision process, the development and/or review process (noted in item 4. above) is at the discretion of the head of the Office of Accountability.