Carleton University

Policy Name:	Administration of University Policies
Originating/Responsible Department:	University Governance Secretariat
Approval Authority:	Senior Management Policy Committee
Date of Original Policy:	October 2002
Last Updated:	December 2025
Mandatory Revision Date:	December 2030
Contact:	University Secretary & Chief Governance Officer

Policy:

All policies of general university application will be prepared in a uniform format and will be reviewed (and, if necessary, revised, restated or repealed) at least every five years.

All Carleton University policies that have University-wide application will be posted on the Carleton University – University Governance Secretariat web site under a link to be called "University Policies".

All such policies shall be presented on the web site in a uniform format unless otherwise approved as outlined below.

University Policies should focus on providing guidance on the operation of the University based on the articulation of key principles and values. University Policies should strive to answer the question "what" and not "how".

Purpose:

The purposes of this Policy are:

- To provide for a consistent process of development, review, revision, restatement and repeal of University policies so as to aid internal decision-making processes.
- To enhance the accessibility of policies within and outside Carleton University and thereby to improve internal decision-making processes, governance and enhance reputation of the University.

Defining the procedures for presenting Carleton University policies on a web site will result in:

- The creation of policy documents which are consistent, easy to understand and comply with university governance and legal requirements;
- Enhanced accountability of policy makers with respect to policy creation, maintenance, communication, enforcement, revision and when required repeal; and
- Increased utilization and familiarity with policies and procedures.

Scope:

This Policy applies to all policies of general application at Carleton University.

This Policy does not apply to regulations that are or will be communicated in the Academic Calendar(s) (including academic regulations, degree requirements, and regulations about admissions, fees, and financial aid) and nor does it apply to University Policies, Procedures, Guidelines or regulations which originate within the Senate, the Board, Faculty Boards or their respective committees.

While Board and Senate policies are do not fall under this policy, regular review (at least every five-years) of policies is overseen by the University Governance Secretariat.

Procedures:

Subject to exceptions as set out below, the following procedures shall apply to all policies covered by this Policy:

A. **Basic Principles for Policies**

All policies should:

- Enable and facilitate consistency in decision-making;
- Be user-friendly and well-structured;
- Be clear, direct and concise. Language used should be firm, authoritative and not open for misinterpretation;
- Address responsibilities, risk, legal requirements, clarify University obligations or operations in an area;
- Assist units in controlling, directing, minimizing or eliminating risks associated with the delivery of programs or services or the implementation of financial, operational, legal or regulatory requirements;
- Consider the content of previous policies prior to initiating a new policy. Where there is an existing policy pertaining to the subject matter, consolidation should be considered and duplication avoided;

- Not conflict with any existing policy or applicable legal requirement; and
- Cross reference procedures, other associated policies and required forms for ease of use.

Policies determined by the Senior Management Policy Committee (SMPC) to be academic in nature shall be reviewed and recommended for establishment, revision or repeal from the Vice-Presidents' Academic and Research Committee (VPARC) prior to consideration at the SMPC. If a policy recommendation from VPARC is not approved by SMPC it is referred back to VPARC for further consideration.

B. Format

Unless otherwise approved, all policies will have a standard format, containing the following headings. Additional headings may be added as required. Appendix A can be used as a template for Originating Departments to use in formatting their policies as follows:

- Title Bar (Title of Policy, Originating/Responsible Department, Approval Authority, Month and Year of Original Policy [if known], Month and Year Last Updated [if known], Month and Year for Mandatory Revision, Contact)
- Statement of Policy
- Purpose
- Scope
- Procedures
- Roles and Responsibilities
- Contacts (position titles only)
- Links to related policies (no hyperlinks)

C. Creation of Policies

- The Originating/Responsible Department is responsible for the drafting of a policy in the first instance. The Originating Department will forward to the University Secretary & Chief Governance Officer (USCGO) the proposed policy in the prescribed format. For complex or complicated policies, the Originating/Responsible Department can seek the assistance of the USCGO and General Counsel with drafting.
- The USCGO and General Counsel will review, revise and provide comment on the proposed policy to the Originating Department, and will advise as to whether the proposed policy is university-wide in its application, ensure all Policies are coherent in nature and scope, ensure Policies are compliant with applicable legal requirements and internal Policies and Procedures, including but not limited to Board of Governors By-laws, special resolutions, and existing collective agreements. They will also ensure terminology and format are consistent and readable, inquire if appropriate consultation has been undertaken, provide

a central library to avoid duplication or overlap of Policies and Procedures, review communications plan, identify potential risks and costs for consideration.

- Prior to submitting the proposed policy to the Senior Management Policy Committee (SMPC), the Originating Department will solicit input (consult) on the content of the proposed policy from all Departments reasonably considered by the Originating Department to be directly involved in the administration of the proposed policy.
- All new policies, other than those that are under the jurisdiction of the Board of Governors, and subject to the recommendation of VPARC where required, require the approval of the SMPC .
- Following the completion of the required internal review process (as outlined above), the Originating Department will present the proposed policy to SMPC.
- SMPC is responsible for ensuring that any policy requiring approval from other bodies has received the requisite approval.
- Once the policy is approved by SMPC, the Originating Department will forward to the USCGO the final approved version of the policy in electronic form for inclusion on the University Governance Secretariat web site.

D. Revision of Policies

- The Originating Department is responsible for proposed revisions to a policy.
- A report (see template at appendix B) on the review and revision of policies, including a draft of any revised policy (with tracked changes), will be submitted by the Originating Department to the USCGO and General Counsel for review, comment, and advice as to whether the revision ought to be presented to the SMPC for approval.
- USCGO will notify originating department six (6) months prior to the mandatory revision date of policies. Policies must be submitted at least one (1) month prior to the revision date for review by the USCGO and General Counsel.
- If a policy requires major revisions the USCGO and General Counsel must be consulted at least two months prior to the policy revision date.
- Prior to submitting the proposed revised policy to the SMPC, the Originating Department will solicit input (consult) on the content of the proposed revised policy from all Departments reasonably considered by the Originating Department to be directly involved in the administration of the policy to be revised.
- All revisions to policies, other than those that are under the jurisdiction of the Board of Governors, and subject to the recommendation of VPARC where required, require the approval of the SMPC.
- Revised policies shall be submitted to SMPC for approval as applicable. Once approved, the Originating Department will forward the revised policy to the USCGO for inclusion on the University Governance Secretariat web site.

E. Mandatory Review

- Unless otherwise approved or required by law, all policies must be reviewed at least by the Originating Department at least every five years.
- The USCGO is responsible for ensuring that the mandatory review is carried out.
- Revisions resulting from this review will proceed in accordance with the provision in C. above.

F. Communication of Policies

- Upon posting to the Website, the University Governance Secretariat will create an internal communication informing the university community of a new or revised policy.

G. Exceptions

- Where appropriate due to circumstances including mandatory requirements, governance, law, complexity or length, of policies, such as the Sexual Violence Policy, Human Rights Policy, and University policies on the *Freedom of Information and Protection of Privacy Act*, may be exempt from the standard requirements of this Policy.
- The USCGO, in consultation with the Originating Department and General Counsel, will determine whether to exempt a policy.
- The Originating Department will be responsible for the maintenance of the exempt policy, except that the policy will be subject to a mandatory five-year review to be completed in accordance with the terms of this Policy.

Roles and Responsibilities:

The President, the Provost and Vice-Presidents' are responsible for ensuring that, within their areas of responsibility, appropriate plans to ensure compliance with University Policies are developed, resourced, kept current, and implemented.

The Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Executive Directors, Directors and University Librarian are responsible for:

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

- Ensuring that Policies or Procedures of application within one administrative unit, or across multiple administrative units which are wholly contained within the portfolio of a single Senior Administrative Officer, are consistent with broader University Policies of general application.

Department Heads, Managers and Principal Investigators are responsible for:

- Ensuring University Policies are implemented in their Program, Department or research project as applicable; and
- University Policies are integrated into all aspects of planning and decision-making within the Program or Department.

University Secretary & Chief Governance Officer is responsible for:

- Maintaining a central library incorporating all approved University Policies and relevant procedures and guidelines.
- General university-wide communications of changes to university policies.

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

Contacts:

University Secretary & Chief Governance Officer

General Counsel

Links to related Policies:

N/A

Policy Name:	Click or tap here to enter text.
Originating/Responsible Department:	Click or tap here to enter text.
Approval Authority:	**Senior Management Policy Committee**
Date of Original Policy:	Click or tap here to enter text.
Last Updated:	Click or tap here to enter text.
Mandatory Revision Date:	Click or tap here to enter text.
Contact:	Click or tap here to enter text.

Policy Statement:
The statement of policy should be brief and direct.

Purpose:
Overarching purpose of the policy

Scope:
Scope may include the groups (students, faculty, staff) to which the policy pertains, or other statements with respect to time periods, geographic locations (e.g. all campus buildings), funds (e.g. operating funds, research funds), etc. This section should also reference other pertinent policies, legislation, regulations, collective agreements, etc. and explain their relationship to the policy.

Procedure:
What are the process steps to follow for implementation of this policy?

Roles and Responsibilities:
Indicate what responsibilities are assigned, and to which units/positions, under the policy. If there are different categories or levels of responsibility, this section can be used to delineate these.

Contacts:
Indicate who should be contacted if there are questions about the policy

Links to related Policies:
What policies does this policy interact with or might be helpful reference when interpreting this policy?

Briefing Note

Carleton University

Date Prepared: *Click or tap to enter a date.*	
Prepared by:	
To: Senior Management Policy Committee	
Data Classification: Privileged and Confidential	
Purpose: *Choose an item.*	

Subject:	Revised Insert Policy Name Policy
Background and Rationale:	*Please describe the background and rationale for the Policy, making sure to give due consideration, as applicable, to the following points:* *• Is the Policy in response to legislation or external regulations requiring the University to be in compliance?* *• Does it promote good governance and sound management practices and/or establish standards of conduct?* *• Does it support the mitigation of a recognized top institutional risk?* *• Does it align University activities with the University's mission, strategic priorities or commitments to the principles of equity, diversity and inclusion?* *• If, in particular, the proposal is to revise an existing Policy, does this objective emerge from a mandatory review or from an off-cycle review in response to a specific need, issue or circumstance?*
Key Changes:	*Provide an overview of the Policy content and any revision that would alter its scope of application or implementation.* *For Policy Repeal – please provide a rationale for the repeal and any possible impacts.*
Key Considerations:	*Please identify any related governing documents or policies.* - *What impact, if any, would the Policy have on existing policies?* - *Has a legal review been completed on the final draft?* - *Are there any operational, financial or other risks impacted or mitigated by the Policy?*
Consultation Completed:	*Please describe the consultation conducted.*

	Where appropriate consultation can include internal or external stakeholders. "Stakeholders" refers to any person or group who may be affected by a policy.
	The level and extent of consultation is determined by the subject matter and scope of the Policy. In the case of a review of an existing Policy, consultation may be limited to stakeholders who are impacted by a proposed revision.
	Please provide a summary of input received indicating, where appropriate, whether this input was incorporated in the final draft of the Policy.
Communications Plan and/or Training Plan:	*Describe any plans for communication and training to build awareness and enable effective implementation of the Policy.*
	If appropriate, describe the resource implications for implementing the policy (e.g., financial, human resources, technology, operations, training/education, culture)?
	Please describe any timing issues, requirements, or considerations associated with the proposed Policy.
Recommendation:	Move to approve *xyz* policy.
Attachment: **(if applicable)**	Policy with track-changes "Clean" Policy