

<b>Procedure Title:</b>	Policy and Procedure Management Framework
<b>Procedure ID:</b>	OP #1-105
<b>Manual Classification:</b>	Section 1 – College Policies
<b>Linked to Policy:</b>	1-105 Policy and Procedure Management Framework
<b>Approved by Senior Management Team:</b>	June 6, 2022
<b>Revision Date(s):</b>	N/A
<b>Effective Date:</b>	July 1, 2022
<b>Next Review Date:</b>	January 2025
<b>Contacts for Procedure Interpretation:</b>	Senior Management Team Members Policy and Privacy Officer

## 1.0 – Purpose

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The purpose of this Operating Procedure is to describe the steps by which College Policies and Operating Procedures are developed, reviewed, revised, approved, and revoked. These steps are guided by the College’s governance requirements and are intended to support consistent understanding and application of College policies.

Terms not defined in this Operating Procedure have the same meaning found in the College’s policy #1-105 Policy and Procedure Management Framework.

## 2.0 – Definitions and Acronyms

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<b>Revision</b>	Changes made to existing Policy or Operating Procedure content.
<b>Revocation:</b>	removal of a Policy or Operating Procedure following approval from Senior Management Team (SMT) and the Board of Governors.

## 3.0 – Roles and Responsibilities

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- 3.1 The Board of Governors** is responsible for all Policy approval including new Policies, revisions to existing Policies, and revocation of Policies based on Senior Management Team recommendations.
- 3.2 The Policy and Privacy Officer** is responsible for approving editorial revisions to College Policies and Operating Procedures, publishing Policies and Procedures on the College website, monitoring the effective date for mandated review scheduling, and for maintaining related records.
- 3.3 The Senior Management Team** is responsible for approving for recommendation to the Board of Governors all new Policies, revisions to or revocation of existing Policies, and revocation of College procedures. The SMT is responsible for approval of new

Operating Procedures, and all revisions to or revocation of existing Operating Procedures.

- 3.4 The Policy Authority** is typically the head of a department responsible for implementing and monitoring compliance with Policies associated with their department. The Policy Authority is also responsible for initiating College Policy development and review, for drafting proposed Policies and revisions, and ensuring that the reviews of Policies comply with the established mandated review period. The Policy Authority is also responsible for initiating revocation of College Policies.
- 3.5 The Procedure Authority** is the head of a department responsible for implementing and monitoring compliance with Operating Procedures associated with their department. The Procedure Authority is also responsible for initiating College Operating Procedure development and review, for drafting proposed Operating Procedures and revisions, and ensuring that the review of Operating Procedures comply with the established mandated review period. The Policy Authority is also responsible for initiating revocation of College Operating Procedures.

#### **4.0 – Procedures**

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- 4.1** Whenever possible, application of the following principles will help reduce the frequency of updates or revisions to Policies and Operating Procedures:
- a) Use the College’s current Policy and Procedure Templates available online to create draft and final versions of the documents, and follow the instructions embedded in the templates for document structure and organization.
  - b) Understand the difference between Policy and Operational Procedure and prepare the separate documents accordingly.
  - c) Policies should be written to present broad guiding principles and rationales and should be kept intentionally general.
  - d) Operating Procedures should address specific steps and activities required to execute on a Policy.
  - e) Use simple, concise language; third person pronouns; an active voice; and consistent sentence structure.
  - f) Use generic and general information rather than information that changes or becomes obsolete quickly (ie referencing titles instead of individual names in departments; using contact methods like “email” or “by phone” rather than including specific contact information).
  - g) Spell out acronyms and abbreviations in their first use in a document, and include the acronym/abbreviation in parenthesis, then use the acronym/abbreviation when referencing that entity again throughout the document.
  - h) Apply grammar, spelling, punctuation, and formatting rules consistently throughout the document.
- 4.2 Policy and/or Operating Procedure Development and Revision** starts when the Policy and/or Procedure Authority begins the initial consultation process:
- a) The need for Policy development or revision shall be determined by the Policy / Operating Procedure Authority, based on review of the merits of development / revisions based upon the following considerations. The Policy / Operating Procedure Authority will use their discretion around the amount of collaboration required to make this determination:

- why a new Policy and/or procedure is needed or why an existing Policy and/or Operating Procedure requires revision;
  - existing Board approved Policies and collective agreements that may apply to, overlap with, or impact upon the Policy matter identified;
  - whether one or more existing Policies and/or Operating Procedures will be superseded by the new Policy/Operating Procedure;
  - the legal and regulatory framework that may inform the Policy and/or Operating Procedure;
  - the benefits and risks of introducing a new Policy and/or Operating Procedure or revising an existing one, and the implications of not doing so
- b) If the Policy and/or Procedure Authority determines to proceed with the proposed new or revised Policy and/or Operating Procedure, the Policy and/or Procedure Authority (or delegate) will complete the required draft(s) in preparation for review and approval.
- c) Prior to initiating formal approval processes, the Policy and/or Procedure Authority will engage with the appropriate internal and external stakeholders to conduct a collaborative review of the draft(s), as needed. Stakeholders may include, but are not limited to:
- Academic Departments
  - Organizational Effectiveness and Human Resources
  - Information Technology Services
  - Finance
  - Facilities
  - Union Representation
  - Student Services and/or Student Government
  - Applied Research
  - Office of the Registrar
  - IT Services
  - Policy and Privacy Officer
  - International Student Office
- d) The Authority (or delegate) may engage the Policy and Privacy Officer either as part of the document development or editing phase of the process, or upon completion of the document to provide an arm's length review of the content and its formatting to ensure alignment with the College's current Policy and Operational Procedure structure prior to its flowing through the appropriate approval phases.

#### **4.3 Policy/Operating Procedure Review and Approval Documentation**

After consultation, feedback, and drafting of the proposed new documents, the Authority prepares a briefing memo to accompany the proposed Policy/Operating Procedure to the Senior Management Team. This briefing memo will include details specific to all or some of the following criteria, as appropriate to the matter being addressed:

- a) Why a new Policy/Operating Procedure is required or requires revising;
- b) existing Board approved Policies/collective agreements/new or updated legislation that may apply to, overlap, conflict, or otherwise impact the Policy matter identified;
- c) outlining the collaborative process to date, the feedback received, how it has been implemented, and what steps remain required for completion
- d) whether one or more existing policies and/or procedures will be superseded by

- e) the new document;
- f) the legal and regulatory framework that may inform the Policy/Operating Procedure;
- g) the benefits and risks of introducing a new Policy/Operating Procedure or revising an existing one, and the implications of not doing so;
- h) how the Policy/Operating Procedure advances the College's core principles, any inconsistencies with those principles, and the measures designed to eliminate or reduce these inconsistencies with said core principles;
- i) the estimated probable financial implications; and
- j) the communication plan for implementation

#### **4.4 Policy and/or Procedure Review and Approval: Senior Management Team**

The SMT reviews the proposed draft and briefing memo provided by the appropriate Authority and will provide one of the following decisions for Policies, the SMT may:

- a) Approve the draft and recommend the draft for final Board approval, or
- b) Require revisions prior to recommendation to the Board for final approval, or
- c) Suspend the draft with explanation

For Procedures: The SMT may:

- a) approve the draft with an immediate or future effective date, or
- b) require revisions prior to approval at a later date, or
- c) suspend the draft with explanation

#### **4.5 Policy Review, Approval, and Implementation: Board of Governors**

Upon approval by the Senior Management Team, a Board submission is prepared, requesting Board review and approval of the new or revised Policy. Any revisions must be clearly presented and visible to the Board. Procedures, or a summary of the procedures, should be available for reference information as part of the Policy review.

The review and approval process by the Board is as follows:

- a) The Board considers the proposed new or revised Policy and decides whether to approve it.
- b) After formal approval by the Board with all necessary signatures and requirements, the Policy Authority will execute the communication plan, and any required education/training to the College community as described in the briefing memo.
- c) After a College Policy is approved by the Board, the Policy Authority is responsible for implementing and for monitoring compliance.
- d) The Policy and Privacy Officer is notified that the Policy has been approved, and takes the following actions:
  - Assign the new or revised Policy a Policy or Revision Number,
  - Maintains a tracking record of the Policy history,
  - Posts the approved new or revised Policy on the College website, and
  - Monitors the effective date for mandated review scheduling.

#### **4.6 Approved Operating Procedure Implementation: Senior Management Team**

The Procedure Authority will execute the implementation and associated communication

plan, as well as any required education/training to the College community in advance of the approved effective date. The Policy and Privacy Officer is notified that the Operating Procedure has been approved, and takes the following actions:

- a) Assign the new or revised Operating Procedure a Procedure or Revision Number,
- b) Maintains a tracking record of the Operating Procedure history,
- c) Posts the approved new or revised Operating Procedure on the College website, and
- d) Monitors the effective date for mandated review scheduling.

#### **4.7 Effective Date**

A College Policy takes effect on the on the first day of the new month immediately following Board of Governor approval, or at a later date if specified by the Board or Policy Authority.

A College Policy approved by the Board prior to the effective date of this Policy remains in effect until it is revised or revoked.

Operating Procedures associated with College Policy become operational and enforceable immediately upon approval by Senior Management Team, or at a later date if specified by the SMT or Procedural Authority.

If an Operating Procedure is subsequently reviewed and revised separately from the Policy with which it is associated, the revised Procedure takes effect on the Effective Date as indicated on the Procedure.

**4.8** Editorial revisions do not require Board and SMT approval, and Operating Procedures do not require SMT approval. Editorial revisions can be completed, as needed, with a summary of editorial revisions presented to the Board of Governors or SMT at future meetings by the Policy and Privacy Officer. Examples of editorial revisions include:

- a) transferring existing Policies and Operating Procedures to a new format without revisions to the content,
- b) recording or reclassifying Policy/Operating Procedure numbers, or
- c) revising formatting mistakes

#### **4.9 Mandated Periodic Review**

- a) A College Policy must normally undergo a substantive review at least once every three (3) years to determine whether any changes are needed. However, review of policies can be initiated at any time within the mandated three (3) years at the discretion of the Policy Authority.
- b) A College Operating Procedure must undergo a substantive review at least once every three (3) years to determine whether any changes are needed. However, review of any Operating Procedure can be initiated at any time within the mandated three (3) years at the discretion of the Procedure Authority.
- c) Procedures associated with a College Policy should be reviewed whenever the corresponding College Policy is reviewed and may be reviewed separately at any time.
- d) A procedure that is reviewed as part of a Policy review does satisfy the recommended standardized timeframe as defined in the Mandated Periodic

Procedure Review and the other sections of this procedure that speak to timing for procedure review.

- e) Any Policy approved by the Board that does not specify a date for review will carry a built-in Mandated Periodic Review date of every three (3) years.
- f) Any Operating Procedure approved by the SMT that does not specify a date for review will carry a built-in Mandated Periodic Review date of every three (3) years.
- g) The Policy and Privacy Officer must keep College Policies current by requiring the Policy Authority to review them in accordance with the Mandated Periodic Review date specified.
- h) Within 60 days of the Mandated Review Date, the Policy Authority must provide a written confirmation to the Policy and Privacy Officer that confirms the review Policy and associated Operating Procedures with one of the following determinants:
  - no revisions are required; or
  - revisions are required, and the Policy Authority will initiate the relevant procedure; or
  - the College Policy is recommended for revocation.
- i) If no revisions are required at the conclusion of the Mandated Periodic Review, the Policy and Privacy Officer will establish the new review date for the Policy or Operating Procedure based on the current mandated periodic review date, update the documents, and publish them on the College's website.

**4.10** Revocation of a College Policy must be formally approved by the Board. The Policy Authority is responsible for initiating the revocation of a College Policy. Policy revocation follows the same process for Policy Development and Review as outlined in section 4.0 of this procedure culminating with the Policy Authority, who prepares a submission requesting Board approval of Policy revocation. Explanation and rationale for revocation must be clear and easily visible to the Board.

Operating Procedures, or a summary of the Operating Procedures that are affected, should be made available to the Board for information.

- a) The Board considers the proposed revocation.
- b) After formal approval for Policy revocation by the Board with all necessary signatures and requirements, the Policy and Privacy Officer will be notified and will remove the revoked Policy from the College website
- c) The Policy Authority will communicate the revocation with the College community

## **5.0 – Related Documents**

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- Policy 1-105 Policy and Procedure Management Framework
- Academic Policy and Procedure Critical Path

## **6.0 – History of Amendments & Reviews**

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