

POLICY AND PROCEDURE FRAMEWORK PROCEDURE

This procedure is governed by its parent policy. Questions regarding this procedure are to be directed to the identified Procedure Administrator.

Functional Category:
Parent Policy:
Approval Date:
Effective Date:
Procedure Owner:
Procedure Administrator:

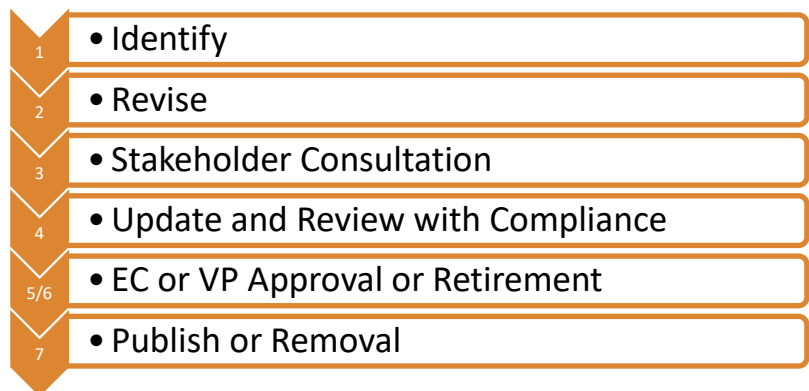
Operations
 Policy and Procedure Framework Policy
 July 5, 2018
 July 5, 2018
 Vice President, People
 Manager, Compliance

Overview:

This procedure governs the development, implementation and review of all NorQuest College (college) policies and procedures. It ensures that college level policies and procedures are appropriately established and periodically reviewed.

Authority to establish this procedure is derived from the [NorQuest College Board of Governor's Policy No. 5](#), which delegates authority to the President and CEO to establish policies and procedures for the college's management and operation.

Procedures:



1 Phase One: New or Retired Policy or Procedure Identified

A need for the creation of or retirement of a policy or procedure is initiated from a variety of sources. These sources include the college's annual business planning cycle, environmental scans, business process reviews, risk management assessments, input from employees, faculty, students, external stakeholders, and legislative requirements.

- 1.1 Identification – Policy or Procedure Needed or to be Retired
- Where a need for a new policy or procedure or to retire a policy or procedure is identified, the Policy or Procedure Administrator conducts a needs assessment.
 - Where the need is confirmed, the Administrator proceeds as follows:
 - new or revised policy or procedure:
 - refer to section 2.
 - retirement of policy or procedure:
 - refer to section 6.

2 Phase Two: Create Draft Policy or Procedure or Revise

- Administrator downloads applicable [NorQuest College Policy Template](#) or [NorQuest College Procedure Template](#) to populate.
- Administrator conducts research and engages subject matter advisors as appropriate to create or revise a draft policy or procedure.
- Administrator creates or revises draft as appropriate.

3 Phase Three: Stakeholder Consultations

- Administrator schedules, coordinates, and obtains input for the draft policy or procedure from all relevant stakeholders.
- Ensure consultation occurs with all stakeholders and owners that would be directly impacted by a new or revised policy or procedure.

4 Phase Four: Update the Policy or Procedure

- Administrator revises the draft policy or procedure with stakeholder input, as appropriate.
 - The Administrator may need to obtain stakeholder feedback multiple times throughout the development of a policy or procedure.
- Administrator will consult college legal resources as required to address and resolve legal issues.
- Administrator prepares a final draft of the policy or procedure and forwards the document to the Compliance Office.
- Compliance reviews and updates the policy or procedure for alignment with documentation standards, provides advice on alignment with other college and Board policies and procedures, and returns the draft with comments as applicable to the Administrator.
- Administrator adjusts the final draft of the policy or procedure. A briefing note is required for a policy.

For Policy Documents:

- Administrator forwards the draft policy to the Policy Owner for preliminary approval.
- Policy Owner reviews the draft policy and provides feedback and preliminary approval as appropriate.
- Administrator finalizes draft policy based on input obtained from the Policy Owner and Compliance; then submits policy and briefing note to Executive Committee for approval.
 - The briefing note addressing this request is to include summary information regarding stakeholder consultation, research activities, and implementation readiness as appropriate.
- Refer to section 5.1.

For Procedure Documents:

- Refer to section 5.2.

5 Phase Five: Policy or Procedure Approval

5.1 Policy Approval

- Executive Committee provides a recommendation for approval of the policy as submitted, or approves with changes to be implemented, or rejects the policy.
- Where applicable, the Administrator updates the Policy based on instructions from Executive Committee.

- Where Executive Committee has recommended approval of a policy, the Administrator will:
 - Advise Compliance via email and attach the final approved policy as a Word document.

5.2 Procedure Approval

- Administrator forwards the draft procedure to the Procedure Owner for approval.
 - Where appropriate, the Administrator will schedule a review meeting with the Procedure Owner to review the procedure.
- Procedure Owner reviews the draft procedure and approves, requests additional information, or rejects the procedure.
- Administrator responds to requests for additional information, updates the procedure as appropriate, and resubmits for approval.
- Where a procedure is approved, the Procedure Owner informs the Administrator and Compliance by email, attaching VP approval email. Attach the final approved procedure as a Word document.

6 Phase Six: Policy or Procedure Retirement

- Administrator documents the rationale for retiring the policy or procedure and forwards this information by email with a request to retire the document to the Policy or Procedure Owner.
- Policy or Procedure Owner approves, requests additional information, or denies the request.
- Approvals:
 - Policy Retirement: If approved, Policy Owner sends recommendation to the Executive Committee for final approval.
 - Procedure Retirement: If approved, Procedure Owner informs the Executive Committee of the retirement.
- The Policy or Procedure Owner informs the Administrator and Compliance by email of the retirement.
- Compliance will update the college policies and procedures official online repository.
- Administrator will ensure that college personnel are advised of the reason for retiring the policy or procedure.

7 Phase Seven: Publication of Policies and Procedures

- Compliance will retain the approved policy or procedure in an official repository.
- Compliance will update the college Policies and Procedures online repository as required to reflect the addition of any new, revised, or retired policies or procedures.
 - Policies and procedures approved during a month will typically be published in the online repository at the beginning of the next month.
- Administrator will ensure that any new and revised policies or procedures are appropriately implemented including:
 - Communications to affected college stakeholders, and
 - Where required, the provision of training and support materials to employees in order for them to perform activities required by a policy or procedure.

8 Phase Eight: Review of Policies and Procedures

- Policies and Procedures are to be reviewed at least once every four years. The “next review date” is specified on each individual policy and procedure.
- Compliance will maintain a master review schedule for all policies and procedures.
 - Information from the master review schedule will be provided annually to each Administrator so that review activities can be included in their business planning for the subsequent fiscal year.
- Where there are no proposed changes, the Administrator will update the revision history section of the document and seek approval for no proposed changes, as per section 5.

Exceptions

The NorQuest College Executive Committee expects that policy and procedure development follow the approved procedures. There may be rare occasions when the college needs to respond to a situation when time will not permit following the Policy and Procedure Framework Procedure. The Executive Committee will address exceptional situations on a case-by-case basis to support the on-going effective operation of the college.

Definitions:

Policy: a written expression of management philosophy and direction, established to provide guidance and assistance to administrators and other members of the college community to support good judgment and discretion in the management of college affairs.

Compliance Office: office responsible for providing overall support for the coordination and maintenance of the college’s policies and procedures. Compliance provides direct support throughout the design, implementation, maintenance and retirement of all college policies and procedures.

Policy or Procedure Administrator (Administrator): individual responsible for the identification, creation, and implementation of respective policies and procedures.

Policy or Procedure Owner: individual responsible for the ownership of specific policies and procedures within the college. A Policy or Procedure Owner is the final approving authority for specific college level policies or procedures before they are released for general distribution to the college community. The Policy and Procedure Owner is responsible for the interpretation and awareness of the policy or procedure, and for championing overall compliance within the college community. A Policy or Procedure Owner is at the level of President and CEO or Vice President or Executive Director.

Procedure: a written statement that stipulates specific actions to be taken to conform to established policies, and allow for the systematic implementation of those policies. Procedures often include detailed step-by-step descriptions of what to do, and normally identify the use of any relevant forms.

Stakeholders are individuals, committees or groups within the college community. During the development of policies and procedures, key

stakeholders, including students when necessary, will assist with the definition, clarification, and contribute to the content of the proposed policy or procedure.

Subject Matter Advisors are understood as key Divisional or Faculty representatives that have been given the responsibility by their Divisional or Faculty heads to represent the needs and interests of a particular Division or Faculty. These individuals provide timely and constructive support to the Policy and Procedure Owner or Administrator and Compliance during the creation of any new or revised policy or procedure.

Related NorQuest College Information:

- [List of Approved Definitions](#)
- [NorQuest College Policy Template](#)
- [NorQuest College Procedure Template](#)
- [Policy and Procedure Framework Policy](#)
- [Policy Activity Summary Form](#)
- [Procedure Activity Summary Form](#)

Related External Information:

- [Post-Secondary Learning Act](#)

Next Review Date:

June 2022

Revision History:

November 2010: new procedures established
 December 2011: revision 1
 August 2013: update for document links and branding
 July 2014: scheduled review: elimination of transitional activities
 May 2017: revisions and edits, dates, position titles
 July 2018: revisions and edits
 August 2019: Compliance Office template & reorganization update