

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	Operations
Parent policy	Policy and Procedure Framework Policy
Approval date	August 27, 2024
Effective date	August 27, 2024
Procedure owner	Vice President, Administration and Chief Financial Officer
Procedure administrator	Director, Information, Risk & Compliance (IRC)

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.

Procedure

Table of Contents

A.	Creating New and Revising Existing Policies and Procedures	Pg. 2
B.	Retirement of an Existing Policy or Procedure	Pg. 5
C.	Temporary Suspension of a Policy or Procedure	Pg. 7
D.	Standards	Pg. 10
E.	Breaches and Reporting	Pg. 11
F.	General	Pg. 11
G.	Exceptions and Exception Requests	Pg. 12
H.	Deviations from this Procedure	Pg. 12

A. Creating New and Revising Existing Policies and Procedures

1. Identification

- i. The need for a new Policy or Procedure (P&P) or to review or revise existing P&P may arise from the college's annual business planning cycle, environmental scans, business process reviews, risk management assessments, input from employees, faculty, students, external stakeholders, or legislative requirements.
- ii. Where a need is suspected, the Administrator conducts a needs assessment. This may include a review of similar P&P at comparable post-secondary institutions, informal discussions with potential stakeholders, or a more formal assessment, as the case requires.

2. Initial Drafting

- i. New: If this is new P&P, the Administrator downloads the [NorQuest College Policy Template to use as a basis for their work.](#)
- ii. The Administrator researches and engages subject matter advisors to create or update a draft P&P document. This may include a review of similar P&P at comparable post-secondary institutions, securing a legal opinion, and/or research into alternative structures.
- iii. The Administrator creates a first draft.

3. Consultations

- i. The Administrator identifies any stakeholders who would be directly impacted by the new P&P or whose input into the process would be beneficial from the standpoints of internationalization and Equity, Diversity, and Inclusion (EDI). Information, Risk & Compliance (IRC) is available to aid with this stage. The Administrator is also encouraged to review [EDI Considerations for Policy Development](#) and use the workbook as a guide to an EDI review.
- ii. The Administrator schedules, coordinates, and obtains input for the draft P&P from all identified stakeholders. Information, Risk & Compliance (IRC) is available to aid with this stage.
- iii. If possible, track changes (or similar) should be used to ensure that there is a record of consultations being conducted. If this is not possible, emails or similar showing the consultations can be saved.
- iv. If immediate consultation is not possible, the Administrator will provide a reasonable opportunity for identified stakeholders to participate. If the identified stakeholders are unable to participate during that period, they shall be deemed to have waived their right to consultation.
 - Reasonable opportunity will vary in the circumstances, depending on the individual(s) involved, complexity of the P&P, and operational requirements. The time period deemed reasonable will be decided upon between the Administrator and the identified stakeholder(s).

4. Secondary Drafting

- i. The Administrator may revise the draft P&P to account for stakeholder input, as appropriate.

5. Information, Risk & Compliance (IRC) Review

- i. The Administrator provides the revised draft, along with information on the consultation process, to the Information, Risk & Compliance (IRC) division.
- ii. Information, Risk & Compliance (IRC) will review the new or revised P&P for the following:

- advice on alignment with college documentation standards.
 - advice on alignment with other college and Board policies and procedures.
 - advice on legislative requirements; and
 - editorial advice.
- iii. Information, Risk & Compliance (IRC) will return the policy to the Administrator for review.
 - iv. The Administrator reviews and incorporates Information, Risk & Compliance (IRC)'s comments as appropriate.

Approval Process for a Policy

1. Preliminary Approval

- II. The Administrator forwards the draft to the Owner for review, comment, and authorization to proceed to Executive for approval.
- III. Any suggested changes, deletions, or additions should align with college documentation standards; other college and Board policies and procedures; and legislative requirements.

2. Briefing Note Drafting

- I. A briefing note is to be drafted and include summary information regarding stakeholder consultation, research activities, implementation readiness, and Information, Risk & Compliance (IRC)'s recommendation regarding whether a Policy may be a Consent Item or is appropriate for electronic voting.

3. Submission to Executive Team

- i. The Administrator submits the finalized policy and briefing note for Executive Team review.
- ii. Executive Team approves 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 the Executive Team.

4. Approval and Publication

- i. The Administrator or their delegate notifies Information, Risk & Compliance (IRC) of the approval and includes a copy of the approved policy in Word Format as an attachment to their email.
- ii. Information, Risk & Compliance (IRC) requests a notification of official approval. This may include Minutes of the Meeting of the Executive Team or a record of decision.
- iii. Once this is received, Information, Risk & Compliance (IRC) publishes the new policy in the official repository.

Approval Process for a Procedure

1. Approval

- i. The Administrator forwards the draft to the Owner for review, comment, or approval.
 - Any suggested changes, deletions, or additions should align with college documentation standards; other college and Board policies and procedures; and legislative requirements.
- ii. Where applicable, the Administrator updates the procedure based on instructions from the Owner returns the revised draft to the Owner, who approves or rejects the procedure.
- iii. The Administrator notifies Information, Risk & Compliance (IRC) of the approval and includes
 - The email in which the Owner approved of the procedure; and
 - a copy of the approved procedure in Word Format as an attachment to their email.
- iv. Information, Risk & Compliance (IRC) publishes the new or revised procedure in the official repository.

B. Retirement of an Existing Policy or Procedure

1. Identification

- I. The Administrator may identify P&P that should be retired in a number of ways. Regardless of the impetus, the Administrator should perform a needs assessment.

2. Initial Drafting

If the decision to seek retirement is made, the Administrator documents the results of their needs assessment and drafts an explanation of their rationale for retirement.

3. Consultations

- i. The Administrator identifies any stakeholders who would be directly impacted by the new P&P or whose input into the process would be beneficial from the standpoints of internationalization and Equity, Diversity, and Inclusion (EDI). Information, Risk & Compliance (IRC) is available to aid with this stage. The Administrator is also encouraged to review [EDI Considerations for Policy Development](#) and use the workbook as a guide to an EDI review.
- ii. The Administrator schedules, coordinates, and obtains input regarding the retirement of the P&P from all identified stakeholders. Information, Risk & Compliance (IRC) is available to aid with this stage.
 - If possible, track changes (or similar) should be used to ensure that there is a record of consultations being conducted. If this is not possible, emails or similar showing the consultations can be saved.
 - If immediate consultation is not possible, the Administrator will provide a reasonable opportunity for identified stakeholders to participate. If the identified stakeholders are unable to participate during that period, they shall be deemed to have waived their right to consultation.
 - Reasonable opportunity will vary in the circumstances, depending on the individual(s) involved, complexity of the P&P, and operational requirements. The time period deemed reasonable will be decided upon between the Administrator and the identified stakeholder(s).
- v. Any objections to the retirement of the P&P should be noted and presented as part of the request for approval.

Approval Process to Retire a Policy

1. Preliminary Retirement Approval and Submission to the Executive Team

- i. The Administrator forwards the rationale for retirement, along with any consultation notes and any objections, to the Owner via email.

Information, Risk & Compliance (IRC) may be included as part of this email.

- ii. The Owner provides a recommendation for approval of the retirement of the policy as submitted or rejects the request for retirement.
- iii. If the Owner provides a recommendation for approval, the P&P to be retired is submitted by the Owner, or at the Owner's request, the Administrator or other delegate, to the remainder of the Executive Team with a request for their ratification of the decision. If a final approval is reached by the Executive Team, the P&P will be retired.

2. De-Publication

- i. The Administrator or their delegate notifies Information, Risk & Compliance (IRC) of the approval, including a copy of the approval in/attached to their email.
- ii. Information, Risk & Compliance (IRC) will update the college policies and procedures official online repository.

Approval Process to Retire a Procedure

1. Preliminary Retirement Approval

- i. The Administrator forwards the rationale for retirement, along with any consultation notes and any objections, to the Owner via email. Information, Risk & Compliance (IRC) may be included as part of this email.

2. Approval and Notification to the Executive Team

- i. The Owner approves of the retirement of the procedure as submitted or rejects the request for retirement
- ii. The Owner provides notification of the approval of the retirement of the procedure to the remainder of the Executive Team. No further approval is required.

3. De-Publication

- i. The Administrator or their delegate notifies Information, Risk & Compliance (IRC) of the approval, including a copy of the approval in/attached to their email.

- ii. Information, Risk & Compliance (IRC) will update the college policies and procedures official online repository.

C. Temporary Suspension of a Policy or Procedure

1. Identification

- I. Sometimes, P&P may need to be temporarily suspended from enforcement (for example, when there is uncertainty as to the legislative requirements or when there is ongoing research and change). Regardless of the impetus, the Administrator should perform a needs assessment.

2. Initial Drafting

- I. If the decision to seek a suspension is made, the Administrator documents the results of their needs assessment and drafts an explanation of their rationale for retirement.
- II. This explanation should include a timeline for the review of the suspended P&P to determine whether it should be reinstated or retired. If no timeline is included, Information, Risk & Compliance (IRC) will assume that a review should be completed no later than one calendar year from the day on which the suspension is approved.

3. Consultations

- i. The Administrator identifies any stakeholders who would be directly impacted by the new P&P or whose input into the process would be beneficial from the standpoints of internationalization and Equity, Diversity, and Inclusion (EDI). Information, Risk & Compliance (IRC) is available to aid with this stage. The Administrator is also encouraged to review [EDI Considerations for Policy Development](#) and use the workbook as a guide to an EDI review.
- ii. The Administrator schedules, coordinates, and obtains input regarding the retirement from all identified stakeholders. Information, Risk & Compliance (IRC) is available to aid with this stage.
 - If possible, track changes (or similar) should be used to ensure that there is a record of consultations being conducted. If this is

not possible, emails or similar showing the consultations can be saved.

- If immediate consultation is not possible, the Administrator will provide a reasonable opportunity for identified stakeholders to participate. If the identified stakeholders are unable to participate during that period, they shall be deemed to have waived their right to consultation.
 - Reasonable opportunity will vary in the circumstances, depending on the individual(s) involved, complexity of the P&P, and operational requirements. The time period deemed reasonable will be decided upon between the Administrator and the identified stakeholder(s).
- iii. Any objections to the suspension of the P&P should be noted and presented as part of the request for suspension approval.

4. Preliminary Suspension Approval and Submission to the Executive Team

- i. The Administrator forwards the rationale for suspension, along with any consultation notes and any objections, to the Owner via email. Information, Risk & Compliance (IRC) may be included as part of this email.
- ii. The Owner provides a recommendation for approval of the suspension as submitted or rejects the request for suspension.
- iii. If the Owner provides a recommendation for suspension approval, this is submitted by the Owner, or at the Owner's request, the Administrator or other delegate, to the remainder of the Executive Team with a request for their ratification of the decision. If a final suspension approval is reached by the Executive Team, the P&P will be suspended.

5. De-Publication

- i. The Administrator notifies Information, Risk & Compliance (IRC) of the suspension approval, including a copy of the approval in/attached to their email.
- ii. Information, Risk & Compliance (IRC) will update the college policies and procedures official online repository.

- iii. Review and reinstatement are accomplished using the same process as that for new or revised P&P.

D. Standards

Standards are mandatory action(s), practice(s), rule(s), or configuration(s) that support policy by shaping behaviour. They represent a minimum acceptable level of professional and/or ethical behaviour and are normal practices. They may be applicable across the college or to specific areas only. In order to ensure consistency across the college, standards must be regularly reviewed, be approved by an appropriate Divisional Head, and be accessible.

1. Review Periods

- i. Standards must be reviewed at least once every four years unless there is a legislative or operational reason to have an alternative review period.
- ii. Where appropriate, this review should include a consultation with affected stakeholders, including those whose input into the process would be beneficial from the standpoints of internationalization and Equity, Diversity, and Inclusion (EDI). If requested, IRC is available to assist with this stage. The Administrator is also encouraged to review [EDI Considerations for Policy Development](#) and use the workbook as a guide to an EDI review.
- iii. The “next review date” must be specified on each individual standard.

2. Approval

- i. Standards must be approved by the Divisional Head (or an appropriate delegate) of the area responsible for the standard’s operation and use.
- ii. Approval may be proven with a signature, whether electronic or not, on the standard itself or by an email to that effect. If an email is used, it must be filed and retained as per the Records and Retention Disposition Schedule.

3. Accessibility

- i. Standards must be accessible to the members of the college community who are impacted by or are required to uphold the standard in question.
- ii. For greater clarity, this means that the standards must be published in such a way that they are accessible to the members of the college community who may need to review them. If requested, IRC is available to assist with this stage.

E. Breaches and Reporting

Breaches occur when a policy or procedure, either intentionally or accidentally, is not followed or is not followed correctly. In the event of a breach, it is the responsibility of the Administrator, or, barring that, of an individual NorQuester with knowledge of the breach, to report to Information, Risk & Compliance (IRC) using the [Policy & Procedure Non-Compliance Reporting Form](#). Information, Risk & Compliance (IRC) will work with the reporting individual and the relevant other parties to ensure that the breach is contained and evaluated, that all required notifications have been made, and that appropriate mitigations are in place to assist with compliance in the future.

For clarity, the Code of Conduct Policy has its own breach reporting procedure and is not included in this section.

F. General

1. Information, Risk & Compliance (IRC) will retain the approved P&P in an official repository.
2. Information, Risk & Compliance (IRC) will update the college P&P online repository as required to reflect the addition of any new, revised, or retired policies or procedures.
3. Approved policies and procedures will be published in the online repository within one week of receiving the relevant approval.
4. The Administrator will ensure that any new, revised, retired, suspended, or reinstated P&P are 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.
6. P&P are to be reviewed at least once every four years unless there is a legislative or operational reason to have an alternate review period. The “next review date” is specified on each individual policy and procedure.
 7. Each policy and procedure will be labeled with an Approval and Effective Date. The Approval Date will reflect the day on which the Executive Team or Owner approved the P&P. Typically, the Effective Date will be the same; however, in some instances, P&P may not come into effect immediately. If so, this will be reflected in the date recorded.
 8. Information, Risk & Compliance (IRC) will maintain a master review schedule for all P&P.
 9. 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.

G. Exceptions and Exception Requests

There may be instances in which a stakeholder wishes to be granted an exception to an established policy or procedure. This may occur because of an unforeseen need or circumstance, because of a temporary situation, or because of the stakeholder's singular role in the college. Exceptions can be applied for using the [Policy & Procedure Exception Request Form](#).

For clarity, the Code of Conduct Policy is excluded from this exception process. Any exceptions granted must meet College legal and operational commitments and needs.

H. Deviations from This Procedure

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 Team will address situations of a Policy being created or updated in a way that deviates from this Procedure on a case-by-case basis with Information, Risk & Compliance (IRC) to support the on-going effective

operation of the college. This review may occur via an electronic communication medium, if appropriate.

Definitions

College Community: any student, faculty, administrative or staff member of the college, member of the public serving in a recognized capacity for the college, and employee of an agency contracted by the college.

Information, Risk & Compliance (IRC): division responsible for providing overall support for the coordination and maintenance of the college's policies and procedures. Information, Risk & Compliance (IRC) 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 (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.

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.

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 information

NorQuest College

- [EDI Considerations for Policy Development](#)
- [List of Approved Definitions](#)
- [NorQuest College Policy Template](#)
- [NorQuest College Procedure Template](#)
- [Policy and Procedure Exception Request Form](#)
- [Policy and Procedure Framework Policy](#)
- [Policy and Procedure Non-Compliance Reporting Form](#)

External

- [Post-Secondary Learning Act](#)

Next review date

June 2028

Revision history

Date	Version Number	Action
November 2010	V1	New procedures established.
December 2011	V2	Revision 1.
August 2013	V3	Update for document links and branding.
July 2014	V4	Scheduled review: elimination of transitional activities.
May 2017	V5	Revisions and edits, dates, position titles.
July 2018	V6	Revisions and edits.
August 2019	V7 (published as V6-C)	Compliance Office template & reorganization update.
June 2022	V8	Revised as per the Policy and Procedure Framework Procedure, including the introduction of a “temporary suspension of Policy and Procedure” section and a re-organization of the document for clarity.
August 2024	V9	Revised position titles, updated links, added sections dealing with standards, breaches and reporting, and exceptions and exception requests.