

# 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	September 8, 2022
Effective date	September 8, 2022
Procedure owner	Vice President, Administration and Chief Financial Officer
Procedure administrator	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.

# Procedure

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## 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). Compliance is available to aid with this stage.
- ii. The Administrator schedules, coordinates, and obtains input for the draft P&P from all identified stakeholders. Compliance 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. Compliance Review**

- i. The Administrator provides the revised draft, along with information on the consultation process, to the Compliance Office.
- ii. Compliance 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. Compliance will return the policy to the Administrator for review.
- iv. The Administrator reviews and incorporates Compliance'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 Compliance's recommendation regarding whether a Policy should be an Approval Item or 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 Compliance of the approval and includes a copy of the approved policy in Word Format as an attachment to their email.
- ii. Compliance 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, Compliance 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 Compliance 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. Compliance 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**

- I. 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 retirement or whose input into the process would be beneficial from the standpoints internationalization and Equity, Diversity, and Inclusion (EDI). Compliance is available to aid with this stage.
- ii. The Administrator schedules, coordinates, and obtains input regarding the retirement of the P&P from all identified stakeholders. Compliance 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. Compliance 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 Compliance of the approval, including a copy of the approval in/attached to their email.
- ii. Compliance 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. Compliance 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 Compliance of the approval, including a copy of the approval in/attached to their email.
- ii. Compliance 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, Compliance 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 suspension of this P&P or whose input into the process would be beneficial from the standpoints of internationalization and Equity, Diversity, and Inclusion (EDI). Compliance is available to aid with this stage.
- ii. The Administrator schedules, coordinates, and obtains input regarding the retirement from all identified stakeholders. Compliance 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. Compliance 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 Compliance of the suspension approval, including a copy of the approval in/attached to their email.
- ii. Compliance 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. General**

1. Compliance will retain the approved P&P in an official repository.
2. Compliance will update the college P&P online repository as required to reflect the addition of any new, revised, or retired policies or procedures.
3. Policies and procedures approved during a month 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. Compliance will maintain a master review schedule for all P&P.
8. 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.

### **E. Exceptions**

The NorQuest College Executive Team expects that policy and procedure development follow 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 on a case-by-case basis with the Compliance Office to support the on-going effective operation of the college.

## Definitions

**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 (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

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

### External

- [Post-Secondary Learning Act](#)

## Next review date

June 2026

## 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

June 2022: 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.