

<b>Policy Title</b>	<b>Policy, Procedure and Practice Framework</b>	
<b>Policy Holder</b>	<b>Executive Director, Organizational Effectiveness</b>	
<b>Policy Approver(s)</b>	<b>Senior Team</b>	
<b>Related Policies</b>		
<b>Related Procedures</b>		
<b>Appendices</b>	Appendix One	<a href="#">Policy, Procedure or Departmental Practice Workflow Chart</a>
	Appendix Two	<a href="#">Categories of Directives</a>
	Appendix Three	<a href="#">New Policy Template</a> and <a href="#">Cover Sheet</a>
	Appendix Four	<a href="#">New Procedure Template</a> and <a href="#">Cover Sheet</a>
	Appendix Five	<a href="#">Policy/Procedure Draft Review - Checklist</a>
	Appendix Six	<a href="#">Accelerated Revision Process Cover Sheet</a>
	Appendix Seven	<a href="#">Standard Revision Process Cover Sheet</a>
	Appendix Eight	<a href="#">Policy/Procedure Rescission Cover Sheet</a>
<b>Storage Location</b>	<a href="https://www.confederationcollege.ca/policies-and-procedures">https://www.confederationcollege.ca/policies-and-procedures</a>	
<b>Effective Date</b>	2022-01-25	
<b>Next Review Date</b>	2022-01-25	

## Purpose

College policy and procedure documents exist to ensure that Confederation College’s decisions and activities align with their mission, values and strategic plan as well as relevant legislation and Ministry directives. This document is an overarching guide to the creation, revision and rescission of policy, procedure or departmental practices, including the determination of which type of directive is appropriate, the correct workflow to follow and which templates to use.

## Scope

This framework applies to all staff of Confederation College regardless of their prospective role in the writing of directives. In fact, all members of the College community have a role to play in the establishment, maintenance and communication of policy and procedure.

## Governing Laws and Regulations

Ministry of Colleges and Universities (MCU) - Minister’s Binding Policy Directives.

## Definitions

### Administrative Contact

The Administrative Contact is the College staff person who is primarily responsible, in consultation with the Policy/Procedure Holder, for ensuring that the Policy/Procedure Workflow proceeds in an effective and timely manner. This can include overseeing, and possibly contributing to, the writing process, organizing meetings with a Writing Team, ensuring that correct templates are used, verifying that procedure is being followed, attaching cover sheets or other required appendices, liaising with College staff as needed to bring the Working Draft to Stakeholder meetings and ensuring that all feedback is received by the Writing Team. The actual job title of the Administrative Contact may vary widely depending upon the type of policy or procedure being developed.

### Departmental Practice

A Departmental Practice is, like a Procedure, a written set of actions and/or processes employed by College staff but, unlike Procedures, they concern only the specific department that enacts them and can be developed, changed or deleted by the supervising manager of the department or area. A Departmental Practice exists where a Policy or Procedure may provide an opportunity for the Department as a whole **or** the Department Supervisor to interpret how a given directive is carried out. The Departmental Practice may record and systematize practices that have already arisen. It can also be an effective response to conflicts or confusion as to how to a Policy or Procedure is enacted, as a means of ensuring consistency. The process and workflow for Departmental Practices are treated in a separate Policy, Procedure, and related templates. To be clear, a Departmental Practice **cannot** contravene a Policy or Procedure.

### Policy

A Policy is a written set of principles, rules, and/or guidelines formulated and designed to reach the College's long-term goals, approved by the Senior Team and adopted by the College. Policies provide guidance for staff while ensuring consistency with the College's mission and goals, achievement of identified outcomes, compliance with applicable laws and regulations, promotion of operational efficiencies or management of risk to the College, employees, students and others.

### Policy/Procedure Holder

The Policy or Procedure Holder is the person, usually a senior manager, who is ultimately responsible for the document, including its maintenance. This individual will oversee and direct the Policy/Procedure Workflow, make final decisions about the language of the Policy/Procedure, and determine when the Working Draft is ready to be sent to the Policy and Procedure Committee, and then the Senior Team, for approval.

## **Policy/Procedure Workflow**

The Policy/Procedure Workflow is a term of general application for the entire process leading up to the final approval of a new, revised, or rescinded directive document.

### **Procedure**

A Procedure, in contrast to a Policy, contains the specific methods, actions and processes employed by the College to express Policies in action in day-to-day operations of the Institution. Procedures can also be distinguished from Departmental Practice in that they affect the daily work of multiple individuals across more than one department, school, or sector of the College. In general, Procedures are considered more wide-reaching than Departmental Practices and therefore require the approval of the Senior Team.

### **Working Draft**

The term Working Draft is a term of convenience for any directive document while it is proceeding through the drafting, revision, or deletion process.

### **Writing Team**

The Writing Team for any given process, either initial authoring or revision, is the group responsible for drafting. The Team can be limited to the Policy Holder or expanded to include the Administrative Contact and/or other staff with a vested interest and requisite skills. In the case of Academic Policies and Procedures, the Writing Team consists of various Academic Managers that have experience and context in the specific areas that the Academic policies relate to and coincides with the Academic Council Policy and Procedure Subcommittee.

## **1. Objectives**

### **General**

- 1.1. Policies and Procedures are intended to direct and determine all major decisions and actions of the Institution. All activities of the College take place within the boundaries set by them. Policies and Procedures ensure that the expectations of the Board of Governors, consistent with the mission, vision and strategic commitments of the Institution, are translated into steps that result in compatible outcomes. College Policies and Procedures form the parent documents to all other institutional practices, departmental or otherwise.
- 1.2. All Policies, Procedures and Practices will comply with applicable legislation, government policy and Collective Agreements. Those engaged in writing and

applying Policy, Procedure and Practices should always attempt to balance institutional needs against the College's values and mission. Where a conflict might arise, the College's values and mission should be given priority provided that the College continues to comply with binding laws and policies.

- 1.3. All College Policies and Procedures should strive to meet benchmarks for efficiency and effectiveness as are appropriate to institutional best practices.

## **2. College Commitment to Principles of Equity, Diversity, and Indigenous Inclusion**

- 2.1. The College has written and published a [Diversity, Equity and Indigenous Lens](#) which is meant to be used as a governing framework for the review or the creation of Policies, Procedures and Practices, to ensure that they are fair, equitable and free of systemic racism. This means that an application of the Lens is a necessary, not optional, step for any work conducted under this framework. This could mean the inclusion of certain provisions, the removal or change of other provisions, a change in the use of language, or even the creation of an entire Policy or Procedure (such as the [Policy to Address Anti-Indigenous and Other Forms of Racism](#)). The best application of the Lens to any new or revised Policy or Procedure will depend upon all participants to the process acting in good faith and with a concerted effort to exercise empathy, creativity and openness to seeing/doing things differently.

## **3. Categories of Written Directives**

- 3.1. There are four categories of directives that may exist within the College. Within each of these categories there may exist both Policies and Procedures (see definition section).

### **Governance Policies**

- 3.2. Governance Policies are those that concern either the governance of the College as a whole by the Board of Governors or the internal operations of the Board itself. The Board has sole jurisdiction to issue, at their discretion, directives approved in accordance with its governance practices (e.g. Ends, Limitations, Governance Process and Board-Staff Relationship).

### **Non-Academic Policies and Procedures**

- 3.3. Non-Academic Policies and Procedures concern all matters that do not fall under the heading of "Academic" (see 3.4).

3.3.1. Non-Academic Policies and Procedure include, but are not exclusive to, the following:

- a. Ancillary Operations;
- b. Finance and Administration;
- c. Human Resources;
- d. Health, Safety and Security;
- e. Information Technology;
- f. Marketing;
- g. Corporate Communications;
- h. Plant and Property Management, and
- i. Institutional Mission and Values.

### **Academic Policies and Procedures**

3.4. Academic Policies and Procedures are all those which pertain either to the learning journey of student or faculty, including:

- a. Awards;
- b. Program Development and Renewal;
- c. Promotion;
- d. Student Conduct;
- e. Student Records;
- f. Student Services;
- g. Withdrawal; and
- h. Research Administration.

### **Departmental Practices**

3.5. From time to time, it may become necessary to translate or interpret some provision of a given Policy and/or Procedure, i.e., to implement, interpret, align and/or expand policies in detail for the guidance of specific groups, functions or departments within the College. In such cases a Departmental Practice containing the necessary guidelines **should** be issued. These departmental procedures may deal with specialized or interdepartmental matters. They must, at minimum, be maintained, documented and circulated within the departments. The introduction or rescission of departmental procedures requires approval by the supervisor or manager responsible for the department. See the [Departmental Practice Guideline](#) and its appendices for the specifics as to the creation, revision or rescission of a Departmental Practice.

## 4. Oversight of Policy and Procedure

### Review by the Policy and Procedure Committee

- 4.1. While the authoring and/or revising of all Policies and Procedures is the initial responsibility of the Writing Team, under the supervision of the Policy or Procedure Holder, **all Working Drafts** (both Academic and non-Academic) shall be subject to review by the Policy and Procedure Committee. The Committee has a primary role in ensuring that necessary elements of this Framework have been observed.
- 4.2. On substantive matters of Academic Policy and Procedure, the Committee will show deference to Academic Council.

### Role of Academic Council and Vice President, Academic

- 4.3. Academic Council has a predominant role in reviewing all Academic directives; thus the Working Draft of an Academic Policy or Procedure shall be sent to Academic Council. At this point, Academic Council members are expected to consult with the constituents they represent as part of their process and in lieu of any subsequent Stakeholder consultation.
- 4.4. All Academic Policies and Procedures shall have final sign-off by the Vice President, Academic.

### Role of Senior Team

- 4.5. The Senior Team shall have final approval of all Policies and Procedures written or revised pursuant to this Framework but only after Policies and Procedures have been fully subject to the process laid out in this Framework.

### Emergency Directives

- 4.6. In situations that require a rapid response, either by way of a new or a revised directive, the Senior Team can author and approve an emergency Policy and/or Procedure. Such a directive can be immediately communicated to staff according to a process determined by Senior Team.
- 4.7. An emergency directive created in this manner shall be reviewed by the Policy and Procedure Committee to verify compliance with this Framework.

### **Community Access to Policies, Procedures and Practices**

- 4.7. Policies, Procedures, and Practices are required to be published in a manner that would reasonably allow College staff to access to them as needed. Once a Policy or Procedure has been approved, it is then published and circulated according to the Communication Strategy outlined below in Section Eight (8) and posted to the appropriate location on the College's website. Supervising managers, Deans, Associate Deans and Vice Presidents also have the responsibility of ensuring that all staff within their purview either have received a copy of or a location for the document, and have reviewed it in a staff, department or school meeting. Managers are responsible for ensuring that all relevant Policies or Procedures within their purview are reviewed annually.

### **Employee Responsibility**

- 4.8. All employees have the responsibility for becoming familiar with and abiding by all College Policies, Procedures and Departmental Practices that are applicable to their functions, department and duties.

### **Institutional Maintenance**

- 4.9. The College will maintain current and relevant Policies and Procedures by ensuring they are reviewed no less than every three years. Each Policy/Procedure Holder is responsible for maintaining a review schedule or all directives within their purview. In some cases, legislated or binding directives will require more frequent review, such as with Public Health and Safety-related matters.

### **Nomenclature and Organization**

- 4.7. All Policies and Procedures shall be organized and named according to an agreed system of nomenclature.

## **5. Step-by-Step Process To Create a College Policy or Procedure**

- 5.1. Where personnel identify the need for a new Policy or Procedure, they shall approach their immediate supervisor to propose it. Alternatively, a supervising manager may identify a need for a new Policy or Procedure. Depending upon the potential impact of the proposed new directive, the supervisor may find it appropriate to approach a member of the Senior Team before proceeding.

- 5.2. Together, the abovementioned personnel shall determine the nature of the matter under consideration with reference to [Appendix One – New Policy/Procedure Workflow](#) and [Appendix Two – Types of Directives](#).
  - 5.2.1. If it is determined that the matter at hand is strictly within the purview of the Board of Governors, it should be immediately referred to the President’s Office.
  - 5.2.2. If it is determined that the matter at hand more properly the subject of a Departmental Practice, then the supervisor and/or senior manager should turn to the [Departmental Practice Guideline](#).
  - 5.2.3. If it appears that the matter at hand should give rise to a Policy and/or Procedure as defined in this Framework, the manager(s) should decide who the Policy/Procedure Holder will be, who the Administrative Contact will be, and who can be invited to be a part of the Writing Team.
  - 5.2.4. Where it is apparent that the Policy and/or Procedure falls under the heading of “Academic”, the matter will be referred to the Academic Council Policy and Procedure Subcommittee to function as the Writing Team.
- 5.3. The Policy/Procedure Holder, Administrative Contact and Writing Team will continue to follow the process laid out in [Appendix One – New Policy/Procedure Workflow Chart](#).
- 5.4. The Writing Team are expected to review relevant literature, similar policies and best practices prior to engaging in the authoring of a Working Draft.
- 5.5. Working Drafts must be prepared using the Templates provided in [Appendices Three](#) (New Policy) and [Four](#) (New Procedure). In some cases, it may be appropriate to write a Policy and Procedure simultaneously.

#### **For Non-Academic Policies and Procedure**

- 5.6. Once an initial Working Draft has been prepared, the Administrative Contact shall be responsible for attaching either the [New Policy Cover Sheet](#) or [New Procedure Cover Sheet](#) to the document, first identifying on the Cover Sheet all the Stakeholder bodies to be consulted (by checking in the “Yes” or “No” column).
- 5.7. The Administrative Contact shall also be responsible for ensuring that the Working Draft appears on Stakeholder meeting agendas as needed. The Administrative Contact may attend Stakeholder meetings to record feedback and rationales for feedback.



- 5.8. Depending upon the feedback received from Stakeholders, the Administrative Contact may be required to exercise some discretion regarding when to introduce conversations about revisions to the Writing Team, as the Working Draft proceeds through each Stakeholder review.
- 5.9. At each new instance of Stakeholder Consultation, the Administrative Contact will need to attach a new [Policy/Procedure Draft Review - Checklist](#) and make sure that notations on the Cover Sheet are accurate and up to date.

#### **For Academic Policies and Procedures**

- 5.10. The approval process for Academic Policies and Procedures is similar, except that the Stakeholder body to be consulted shall always be Academic Council and the Writing Team is the VPA's Policy and Procedure Team.
- 5.11. Once the Working Draft is ready, it shall be presented to Academic Council as a whole, in order that the members can take the Draft to the constituents they represent for feedback. For Academic Policies and Procedure, no further Stakeholder consultation is required.
- 5.12. Members of Academic Council should make use of the Policy/Procedure Review Checklist when referring the Working Draft to their constituents for feedback.

#### **For All Policies and Procedures**

- 5.13. Once all consultations are complete, the Writing Team will prepare a "final" version of the Working Draft and present it to the Policy/Procedure Holder.
- 5.14. If the Policy/Procedure Holder Agrees, the final Working Draft shall be placed on the agenda of Policy and Procedure Committee, with a new [Policy/Procedure Draft Review - Checklist](#). The Working Draft will then be returned to the Policy/Procedure Holder.
- 5.15. If needed, the Policy/Procedure Holder will make any revisions or corrections to the Working Draft.
- 5.16. If needed, the Working Draft may again be forwarded to the Policy and Procedure Committee solely to verify that any required revisions have been carried out.
- 5.17. The Working Draft will be returned to the Policy Holder with the expectation that it will be received by Senior Team for final approval.
- 5.18. If the Senior Team has any minor suggestions for changes, these may be handled by the Policy Holder and Administrative Contact. If the Senior Team suggests significant

or substantive changes, the Policy Holder may exercise their discretion to revisit the Working Draft with their Writing Team, as well as the Policy and Procedure Review Committee.

- 5.19. Once the Working Draft has been approved by Senior Team, it has officially become a Policy or Procedure of the College. The Administrative Contract will ensure that the dates in the Revision History section are accurate before turning the document over to the appropriate individuals for communications purposes.
- 5.20. The final version of the Policy or Procedure shall be communicated to the College community via the Communication Strategy laid out in Section Eight (8).

## **6. To Revise a College Policy or Procedure**

- 6.1. Where personnel identify the need to revise any Policy or Procedure, either as part of a mandated or an ad hoc review, they shall approach the Policy/Procedure Holder to propose it. Alternatively, the Policy/Procedure Holder may themselves identify a need for revision. Depending upon whether the required revision is minor or substantive, the Policy/Procedure Holder shall follow one of two options: either the Expedited Revision Process for Minor Changes or the Standard Revision Process for Substantive Changes.

### **Minor and Substantive Changes**

- 6.2. Minor changes are changes that do not significantly alter the effect of the Policy or Procedure on any Stakeholders, including the personnel who are responsible for implementing them.
  - 6.2.1 Examples of minor changes include, but are not exclusive to:
    - a. Spelling or grammar corrections;
    - b. Punctuation corrections;
    - c. Rewording of a phrase or sentence to enhance clarity, including the removal of redundant words and phrases;
    - d. Changing a word or phrase to correct or update information, such as names, dates or titles;
    - e. Adding to the definition section a term already found in the document;
    - f. Renaming the Policy or Procedure in a way which does not affect either its application or understanding of its application;
    - g. Moving existing sections in a way which does not affect their application or understanding of their application;
    - h. Altering language to make it more inclusive.

6.2.2. Minor changes do not include:

- a. Changes that either expand or reduce rights, benefits and/or entitlements pursuant to the policy or procedure;
- b. Changes that impact the College's finances, either positively or negatively;
- c. Changes that are made that alter the meaning of essential terms, categories or phrases;
- d. Changes that relate to the implementation of the College's Strategic Plan, Mission or Values; or
- e. Changes that add to a staff workload.

6.3. Substantive changes are any changes that cannot be considered minor.

#### **Expedited Revision Process (for Minor Changes)**

6.4. Where personnel or the Policy/Procedure Holder identify a need for minor changes as defined above, the Standard Revision Process can be omitted in favour of the following Workflow:

- 6.4.1. The Policy/Procedure Holder may designate an Administrative Contact and/or Writing Team if needed;
- 6.4.2. The Writing Team shall make the requested changes and ensure that the changes made are highlighted for review purposes;
- 6.4.3. The Administrative Contact shall take responsibility for referring the new Working Draft to the Policy and Procedure Committee in a timely fashion, attaching a copy of the [Accelerated Revision Approval Cover Sheet](#);
- 6.4.4. The Policy and Procedure Committee shall include review of the Working Draft on their next agenda;
- 6.4.5. The Policy and Procedure Committee must include in their review a consideration of the rationale for using the Accelerated Revision Process; that is, they must consider if the changes proposed are indeed Minor Changes. The Committee may exercise its discretion to make this determination notwithstanding the enumerated lists of minor and substantive changes in Sections 6.2 and 6.3.
- 6.4.6. The Policy and Procedure Committee's decision shall result in one of three outcomes which shall be indicated by the Committee Chair or Secretary recording one of the following results:
  - a. Approved
  - b. Approved with minor corrections
  - c. Changes Not Minor - Requires Standard Revision Process

- 6.4.7. If the Committee decides upon result “C”, they shall add a brief written rationale on the Cover Sheet. Reasons should also be recorded in the minutes.

### **Standard Revision Process (for Substantive Changes)**

- 6.5. Where personnel identify the need for a substantive revision to any Policy or Procedure, they shall approach the Policy/Procedure Holder identified in the document to propose it.
- 6.6. If the Policy/Procedure Holder agrees that there is a need for revision and the revisions in question are substantive rather than minor, the Policy/Procedure Holder shall designate an Administrative Contact and Writing Team.
- 6.7. From this point, the Administrative Contact and Writing Team shall follow the same process as for a New Policy/Procedure as laid out in Section Five (5) and [Appendix One](#), with the understanding that rather than starting from a blank Template, the revisions should be made to the existing document.
- 6.8. The Administrative Contact will be responsible for ensuring that a clean version of the original Policy/Procedure is maintained during the revision process. Once the revised Policy/Procedure has been approved, the original can be archived.
- 6.9. Once the Working Draft has been approved by Senior Team, the Policy/Procedure has been officially revised. The Administrative Contract will ensure that the dates in the Revision History section are accurate before turning the document over to the appropriate individuals for communications purposes.
- 6.10. The newly revised and approved Policy or Procedure shall be communicated to the College community via the Communication Strategy laid out in Section Eight (8).

## **7. To Rescind a College Policy or Procedure**

- 7.1. Where personnel identify the need to rescind a Policy or Procedure, either as part of a mandated or an impromptu review, they shall approach the Policy/Procedure Holder to propose it. Alternatively, the Policy/Procedure Holder may themselves identify a need to rescind the directive.
- 7.2. Once the Policy/Procedure Holder has determined that the directive should be rescinded, the matter shall be brought before the Policy and Procedure Committee for review and confirmation.

- 7.3. The Administrative Contact shall be responsible for ensuring that the Policy or Procedure in question is placed on the agenda of the Policy and Procedure Committee and providing a copy of the document with [the Policy/Procedure Rescission Cover Sheet \(Appendix Eight\)](#) attached.
- 7.4. The Policy/Procedure Holder will briefly explain on the Cover Sheet their rationale for rescinding (as opposed to revising) the directive. If necessary, either the Policy/Procedure Holder or Administrative Contact may appear at the meeting to present the rationale for rescinding the directive.
- 7.5. In their meeting, the Policy and Procedure Committee will review the rationale given by the Policy/Procedure holder and determine whether they agree or disagree. The outcome shall be indicated by the Committee Chair or Secretary recording one of the following results:
  - a. Committee agrees Policy/Procedure should be rescinded
  - b. Committee does not agree Policy/Procedure should be rescinded
- 7.6. If the Committee chooses option “B”, they shall add a brief, written rationale on the Cover Sheet before returning it to the Administrative Contact.
- 7.7. If the Committee has agreed that the Policy/Procedure should be rescinded (Option “A”), the directive with its cover sheet will be referred to the Senior Team for final approval.
- 7.8. If the Committee and Policy/Procedure Holder have not agreed that the directive should be rescinded, next steps can include:
  - 7.8.1. One or more meetings between the Policy/Procedure Holder and Committee Chair to discuss the disposal of the matter and attempt to come to an agreement whereby either the matter returns to the Committee to approve rescission or the Policy/Procedure Holder agrees to revise the Policy/Procedure instead;
  - 7.8.1. The Policy/Procedure Holder and Committee Chair bring the matter to a member of the Senior Team for additional conversation and attempt to arrive at an agreement about the Policy/Procedure;
  - 7.8.2. The Policy/Procedure Holder engages in an abbreviated consultation with one or more stakeholders to obtain their opinions.
- 7.9. Once the policy or procedure is approved for deletion by the Senior Team, the relevant personnel will communicate the change to the College community via the Communication Strategy laid out in Section Eight.

## 8. Communication Procedure for New/Revised/Deleted Policies and Procedures

### Publication

- 8.1 Once a Policy or Procedure has been approved by Senior Team, the Administrative Contact will ensure that the directive is sent to the person responsible for updating content on the [College's Policies and Procedures website](#), and later verify that it has been published.

### Distribution to Affected Stakeholders

- 8.2. An electronic copy of the approved Policy or Procedure shall be distributed by the Policy Holder or Administrative Contact to all senior leaders and managers with areas of responsibility related to the new directive, and specifically:
- 8.2.1. If the Policy or Procedure affects students, it shall be distributed to SUCCI as well as all Deans, Associate Deans and Directors.
  - 8.2.2. If the Policy or Procedure affects faculty, it shall be distributed to the Vice President, Academic as well as all Deans and Associate Deans.
  - 8.2.3. If the Policy or Procedure affects administrative and support staff, it shall be distributed to all supervising managers.

### Posting to College Community

- 8.3. The College community as a whole shall be notified of the existence of a new Policy or Procedure, or the revision or rescission of a Policy or Procedure via an update on the relevant section of the College Portal.

## Non-Compliance

Failure to comply with this Framework or related templates will result in a directive not being approved and its provisions being null and void.

## Revision History

Version	Change	Author	Date of Change
Original		Strategic Leadership Team	2012-12-19
Ch1-s1-01 – v2		VP Academic	2016-05-27
Ch1-s1-01 – v3	New Template	Lisa Schmidt	2022-01-25