College of New Caledonia

Procedure Information	
Related Policy No:	P-1.1
Approved by:	Executive Management
Approval Date:	August 15, 2013
Executive Responsible:	President
Administrator Responsible:	VP Community & Student Services
Date of Next Review:	August 2018

PROCEDURES FOR ADMINISTRATIVE POLICY DEVELOPMENT

Purpose / Rationale

This procedure applies directly to CNC Policy P-1.1 Administrative Policy Framework. This document provides definitions of terms used in the Policy Framework and outlines the process for developing, reviewing, eliminating and maintaining College-Wide administrative policy and procedures.

Policy: Definition and Role

A policy is a concise, formal statement of principle that indicates how the College will act in a particular area of operation. It addresses broad issues through statements of principle and therefore should serve the College for an extended period of time without the need for frequent review or change.

Administrative policy requires formal approval by the Executive Management and is binding on all members of the College. It is the role of policy to:

- Address issues of broad concern
- Translate values into operating principles
- Ensure compliance with legal and other regulatory requirements
- Promote organizational effectiveness and efficiency
- Reduce institutional risk
- Enhance achievement of the College's vision and strategic plan
- Set standards, mandate action and/or restraints

College-Wide Procedures: Definition and Role

Procedures are specific steps required to implement a policy. Procedures communicate acceptable practice, set boundaries and establish who is responsible for any required action.

Procedures reflect the current organizational structure and regulatory framework of the College. They are updated and reviewed more frequently than policies in order to ensure they continue to reflect the current situation and any changes in circumstances.

Procedures that support and implement policies are developed jointly but as separate linked documents which allow the procedures to be updated as needed without necessarily requiring a review of the policy and its underlying principles.

Certain areas of the College have responsibility for developing and maintaining effective College-wide administrative procedures that are consistent, while respecting varying campus operations and resources. The areas with the greatest responsibility for defining and managing College-wide administrative procedures are:

a) Human Resources;
b) Office of the Registrar;
c) Financial Services;
d) Facilities Services;
e) Information Technology Services;
f) Student Services;
g) Research; and
h) Purchasing.

Unit/Department Level Practices: Definition and Role

There is often no clear cut distinction between College-wide policies and unit or departmental practices. One institution may develop a College–wide policy to govern a particular issue while another institution may develop a practice at the department level to address the same issue. Ultimately it is up to the College to decide the most appropriate approach in each circumstance.

Unit/department level practices are developed by individual units and departments to guide the management of issues within those units or departments. These practices are developed and managed at the department, school, regional campus and divisional level. These will be identified as “practices” to distinguish them from College-wide administrative policies or College-wide procedures. Unit/department level practices are differentiated from College-wide procedures that support policies because they can be characterized by one or more of the following:

- The issue does not have a critical impact on the entire College
- The issue is unique to the department
- The issue requires frequent review and modification to reflect technical or other emerging issues (e.g. acquisition of the latest electronic devices)
- The issue can be initiated and managed by the unit/department without broad , College-wide consultation
- The College determines that the approval of the process can be under the authority of the Unit/Department supervisor.

The College may initially find that it prefers to address a new or emerging issue with an institution wide policy; however, over time as circumstances change it may be determined that a unit/department level practice is more appropriate. This would be decided as part of the regular policy review process.

Where unit/department level practices are developed and in situations where there are College policies that relate to the practices, the practices must be in compliance with the relevant College policy. Unit/department level practices that relate to more than one unit/department must be agreed to by all affected.

Definitions

1. **Administrator Responsible**
   The Administrator Responsible for a respective policy based on area of responsibility, consistent with the organizational structure. This person, normally a senior Administrator, ensures implementation and oversight of the policy on an on-going basis, provides for effective communication with stakeholders, ensures the policy and procedures are current and relevant, and recommends policy development or revision as required. For example, the Controller is the Administrator Responsible for finance-based policies.

2. **Approving Bodies**
   Approving Bodies at the College of New Caledonia are the College Board, Education Council and Executive Management.

   College Board*, as per provincial legislation, establishes bylaws in the following areas:*

   a) Bylaws that describe how the Board will govern itself while governing the organization;
   b) Bylaws that describe the organizational values and strategic goals;
   c) Decision-making areas identified in legislation under the authority of the Board; and
   d) Decision-making areas that have a high impact either legally, financially or on the reputation of the College.

   Education Council *establishes policy as defined in the College and Institute Act including:*

   a) Examination and Evaluation of student performance;
   b) Student withdrawals from courses, programs, and the College;
   c) Setting criteria for academic standards and the grading system;
   d) Setting criteria for awards recognizing academic excellence
   e) Setting policies and procedures for appeals by students on academic matters; and
   f) Setting curriculum content for courses leading to College credentials.

   Education Council also advises the College Board on a variety of educational policies which are defined in the *College and Institute Act. See the Education Council Handbook.*

   Executive Management *establishes policy to:*

   a) Ensure consistent practice across the organization; and
   b) Implement and administer Executive Management direction.

   This procedures for policy development document is related to policies that are approved by Executive Management. For the Education Council procedures for policy development document, please visit the CNC policies webpage.

3. **Definitions**
   Definitions are intended to clarify words or phrases that may be unclear or that may have a meaning or application specific to that policy. This section is not intended to define phrases or terminology that would normally be expected to be understood by the general College community.

4. **Executive Responsible**
   Executive Responsible is a member of Executive Management who holds the final accountability for College-wide administrative policy and procedures based on her/his area of responsibility, consistent with the organizational structure.

5. **Housekeeping Changes**
   Changes in existing policy and procedures that do not change the content may be considered housekeeping in nature, and may include the following:
   - Department name changes
   - Review date changes
   - Job titles
   - Spelling and grammar changes
   - Changes deemed of a minor nature that do not change the intent of a policy

6. **Policy Developer**
   The Policy Developer oversees the process of new policy development or review of existing policy. The Policy Developer is responsible for ensuring the policy process moves through all its stages and in a timely manner and ensures that standards and processes outlined in this procedure are followed. The Policy Developer position is assigned to the person or group most knowledgeable about issues addressed in the policy. At times, the Administrator Responsible and the Policy Developer will be the same individual.

7. **Policy Development and Revision Plan Template**
   The Policy Development and Revision Plan Template are used to identify that a policy is being developed, revised or eliminated. It outlines the reason policy work is being undertaken, identifies the stakeholders involved and the plan for the work and a timeframe for completion. It must be approved by the Executive Responsible before policy work commences. The Development and Revision Plan Template is located on the policy page of the College website.

8. Policy Template

All Executive Management approved policies are developed using the *Administrative Policy Template*. This template includes the categories listed below. Items a-e below are intended to be limited to one page and items a-e and item j are mandatory for all College-wide policy. Items f-i are policy dependent: some policies will have all categories; some will have only a-e.

a) Policy Information Box:

Policy Information	
Policy No:	
Approved by:	Executive Management
Approval Date:	
Executive Responsible:	
Administrator Responsible:	
Date of Next Review:	

In rare instances, the Policy Information box will look slightly different to reflect the need for joint approval by the Executive Committee and Education Council.
The date of next review will be 5 years from the last approval date.

b) Policy Statement: A broad general statement that articulates the intent of the policy. It describes when the policy applies, and what people involved are required to do, but does not describe step by step procedures. In addition, it may state major conditions or restrictions that apply. It is written for the user in simple, concise and clear language.

c) Purpose/Rationale: The reason the policy is being developed.

d) Scope/Limits: Defines to whom the policy applies and to whom the policy does not apply.

e) Principles/Guidelines: Key, clear statements of the underlying values or general philosophical directions that guide the interpretation of the policy.

f) Definitions: Aid in the understanding of the policy by defining clearly for the reader what is meant by specific language used that may not be commonly understood. This section is not intended to define phrases or terminology that would normally be expected to be understood by the general College community.

g) Legislative and Collective Agreement References: Specific references to legislative requirement or collective agreement clauses that enable the policy.

h) Links to Other Related Policies, Documents, and Websites: Any policies, documents or websites that are cross-referenced in this policy, and/or directly related to it, are listed in the final section of the policy as hyperlinks.

i) Links to Procedures to support the policy: Any procedures that accompany the policy are to be listed here.

j) Policy Amendment Log:

Amendment Number:	Date:
0	(first approval date) Month YEAR
1	(subsequent amendment dates) Month YEAR
2	
3	

If this is a new policy being developed, the date that the new policy is approved will be entered in the policy information box "Approval Date" at the top of the policy document. Amendment Number 0 will be listed as the approval date of the new policy in the Policy Amendment Log at the end of the document.

If this is a policy amendment, enter the date that the current policy amendment was approved in the policy information box "Approval Date" at the top of the document. Add this amendment/approval date to the Policy Amendment Log to track this amendment as the most recent policy amendment.

Additional rows in the Policy Amendment Log can be added over time as required.

9. Stakeholders

Stakeholders are the parties that are affected by the policy.

Process for New Administrative Policy Development

The Community & Student Services (C&SS) Administration Office will be responsible for tracking the development and review of policies and for providing the overall management of the policy webpage. More specifically the C&SS Administration Office will carry out the following functions:

- Maintain the Master, official record of all policies; post policy information on the policy webpage. The policy webpage contains the official version of each policy.
- Act as the College's official policy controller; all new policies and changes to existing policies are tracked through this office. Policy numbers are assigned by this office.
- Ensure Executive Responsible and Administrators Responsible for specific policies are alerted to the requirement for policy reviews.

- Liaise with the Policy Developer to ensure coordination of information flow during policy development or revision.
- Maintain a log to track the status of policy development and review.
- Provide advice regarding determination of Approval Bodies and Executive Responsible and the procedures for developing or revising policies.
- Ensure that all new policies and modifications to existing policies have followed the required procedures including appropriate approvals and signatures.
- Bring information about delays or non-action to the appropriate Administrator for their follow-up.
- Generally support the College's policy development and maintenance activities.

College-wide administrative policy is established in the following stages: planning and development, review, approval, communication and implementation.

1. Planning and Development

a) Identify Need

i. Any member of the College community including students, faculty, administration and staff, according to their roles and responsibilities may identify the need for new policy. The need for new policy is communicated to the Administrator Responsible for that area. Development of policy can be initiated to provide guidance in relation to a variety of areas:

- Legislative requirements
- College of New Caledonia Strategic Plan
- Student needs
- Legal requirements
- Risk management
- Operational consideration

b) Policy Development and Revision Plan

i. The Administrator Responsible completes a Policy Development and Revision Plan (the Plan) using the Policy Development and Revision Plan template or designates another appropriate person or group (Policy Developer) to complete the Plan. The Policy Developer, in consultation with the Administrator Responsible, is responsible for shepherding the policy in a timely way through all the appropriate steps.

ii. The Administrator Responsible/Policy Developer reviews the Plan with the Executive Responsible for that policy for verification of the need and

approval to develop new policy. If the Executive Responsible determines that the policy should not be developed, she/he signs and provides an explanation for denial of the request.

iii. If the Executive Responsible approves the plan, she/he forwards it to the C&SS Administration Office to be logged for tracking purposes.

c) Research and Draft the Policy

The Administrator Responsible / Policy Developer completes the following steps:

i. Understands the need for the policy.
ii. Identifies and consults with appropriate Stakeholders. Stakeholder input may include the internal and external communities as well as pertinent expert and professional advice.
iii. Researches any applicable legislation, similar policies at other institutions and any other research required.
iv. Writes a draft policy using the Policy Template.
v. Modifies the draft as required.

d) Write Procedures to Support Policy

The Administrator Responsible/Policy Developer writes the procedures using the Procedures Template. The Administrator Responsible/Policy Developer is responsible for ensuring that procedures developed to support and implement a policy are appropriate, complete and have been reviewed by the necessary authorizing body or individual.

Procedures for new Policies are normally developed jointly but as separate linked documents. Procedures have the same number as the policy they support and will be called Procedures for Policy XXX.

2. Review

The reviews at this step are critical to bringing the draft policies and procedures to a point where they reflect a broad College perspective. While the College expects these reviews to be thorough, it is also expected that each review be carried out in a timely manner; therefore, the Policy Developer establishes a reasonable timeframe for feedback.

i. The Policy Developer circulates the draft policy and procedures to the appropriate individuals/bodies for feedback. The Policy Developer incorporates feedback into the draft.
ii. The Policy Developer submits the draft to the Administrator Responsible and Executive Responsible for review.

iii. If the Administrator Responsible or Executive Responsible request changes, the Policy Developer makes the changes and recirculates the draft policy to the Stakeholders for comments and input.
iv. This cycle of input, revise and review occurs until the policy is considered complete. The Policy Developer is responsible for keeping the policy moving forward in a timely way. If no changes are requested, the policy moves on to the approval stage.

3. Approval

a) Approval of Policy

The Administrator Responsible and/or the Policy Developer present the policy to the Executive Management for approval. It is anticipated that the need for change will occur very rarely by this stage; however, if the Executive Management requires changes the Policy Developer incorporates the changes and repeats the cycle of input as outlined in the Review section above.

b) Final Approval

After all consultations and modifications listed in the above process have been completed, the Executive Responsible presents the policy to the Executive Management for final approval. While Procedures that support each Policy are provided to the Executive Management, the intent is that Procedures be received for information and not reviewed in detail.

The Executive Management approves the policy by completing the box at the top of the policy template and then sends an electronic copy of the policy with an email confirming approval to the C&SS Administration Office and to the Policy Developer.

The following information must be included:

- The final version of the policy in word format
- The final version of the Procedures in word format
- Policy Development and Revision Plan
- Any other relevant supporting documentation
- Official confirmation of the Policy and Procedures approval (for example, an email from Executive Management, copy of the meeting minutes, etc.)

4. **Communication and Implementation**
   a) **Publish Policy**
      The C&SS Administration Office assigns a policy number and publishes the policy on the College Policy Page.

   b) **Inform**
      The C&SS Administration Office sends a link to the published policy to the President's Executive Assistant who sends an email to all College Administrators informing them about the new policy and/or procedures. It is the responsibility of each Administrator to inform themselves about the new policy and procedures, ensure all of their employees are informed and receive any necessary training required to implement the policy.

Process for Review and Amendment of Existing Policies

All policies have a "Date of Next Review" on them. Once approved, policies must be reviewed at least every five years, which determines the date of next review. Exceptions to that five-year cycle are those policies with highly detailed, time sensitive information, and where legislation or other statutory requirements stipulate a timeframe for the review.

Executive Management may at any time before the five year period initiate a review of any policies or procedures.

The C&SS Administration Office alerts the Executive Responsible of the requirement to review specific policies. The Executive Responsible identifies an individual, usually the Administrator Responsible for that policy, to carry out the review. The review should be done in a reasonable timeframe. The review of policy is comprised of the following steps:

1. The Administrator Responsible completes a Policy Development and Revision Plan and informs the C&SS Administration Office that a review is taking place. The C&SS Administration Office posts this information on the policy webpage and invites comments from the College Community, provides contact information of the reviewer and due dates for comments.

2. The Administrator Responsible (or designate) ensures a complete review of the policy by scanning for new data, legislation etc. that impacts on the policy, interviewing key College personnel about how well the policy has worked, reviewing information provided by members of the College Community, etc.

3. If the Administrator Responsible determines that a policy revision is required then the process outlined for New Policy Development is followed.

4. If the Administrator Responsible determines that the policy as it stands is still valid, it is presented to the Executive Management for approval. A new "Date of Next Review" is added and a copy sent to the C&SS Administration Office for posting on the Policy Page.

Process for Review and Amendment of Existing Procedures

1. Changes or amendments to existing procedures that do not impact the policy and its underlying principles are made at the discretion of the appropriate Administrator Responsible. Changes of this nature do not require that the policy to be subjected to a complete review. When changes are made, the Administrator Responsible forwards the changes to the C&SS Administration Office who posts them on the Policy page.

Process for Eliminating a Policy

1. An Administrator Responsible or other member of the College community may make a recommendation for elimination of a policy that is no longer relevant or ceases to provide the guidance for which it was originally intended.

2. The Administrator Responsible completes the Policy Development and Revision Plan with the appropriate information on elimination of a policy. The Administrator Responsible gathers stakeholder input then submits the request to Executive Management.

3. Executive Management either approves or denies the request for policy elimination.

4. If the request is denied then the policy remains in effect. Executive Management documents the reasons for the denial and forwards that information to the C&SS Administration Office. Reasons for the denial will be sent to the initiator of the request.

5. If Executive Management approves the request for elimination of a policy, then the request moves forward to the C&SS Administration Office. The C&SS Administration Office logs the request and posts the request to eliminate the policy on the Policy Page and invites comments from the College Community for 10 days. Comments, if any, are sent to the Administrator Responsible who reviews them with Executive Management. Executive Management makes the final decision regarding the nature of the comments and how to deal with them.

6. If there are no comments the C&SS Administration Office documents the elimination of the policy, notifies Executive Management, archives the old policy and ensures the appropriate College records are adjusted.

Issues Not Addressed in Policy

From time to time significant issues may arise that are not addressed by any College policy. The issue may have broad implications similar to those addressed by policy. While the issues may ultimately lead to the development of policy, it is understood that in order to resolve issues in a timely fashion, Executive Management, in keeping with their responsibilities, has the authority, after relevant consultation, to make decisions to resolve such matters.