Approval Body	The Board of Governors
Policy Sponsor	President and CEO
Policy Administrators	VP, People and Planning

Approved	Effective	Last Minor Rev.	Last Major Rev.	Last Reviewed
2011-01-25	2021-01-20		2021-01-20	2021-01-20

Policy Framework

Purpose

This Policy explains the role of Policies and SOPs at the College, describes the Policy lifecycle, and prescribes the responsibilities of those involved in the Policy lifecycle. It creates the Policy Development Committee and sets out common definitions that apply to all Policies and SOPs.

Scope and Limits

The following are not governed by this Policy:

- the College's mission, vision, and values statements
- the Board's constituting documents, bylaws, global ends statement, governance process policies, Board-president relationship policies, and executive limitations issued by the Board
- guidelines and standards
- unit-level procedures and manuals
- forms and templates

Definitions

Defined terms are capitalized throughout this Policy. Refer to Appendix C for common definitions.

Committee means the Policy Development Committee.

Governing Body means the College Leadership Council, Academic Council or the Board.

Major Revision means a revision to a Policy or SOP that materially affects the meaning of the Policy or SOP.

Minor Revision means a revision to a Policy or SOP that does not materially affect the meaning of the Policy or SOP.

Policy means a policy of College-wide application that is approved according to the Policy Framework and includes the appendices to such policies.

Policy Administrator means the Management Leadership Team member who is responsible for Policy development, consultation, review, approval, communication, education, training, and implementation activities. A Policy Administrator is accountable for the SOPs enabled by a Policy.

Policy Brief means the document that accompanies and explains a Policy motion when a Policy motion is brought forward to the Committee or a Governing Body.

Policy Plan means the document that outlines the individuals and bodies to which a Policy motion is to be brought for consultation, review, and approval. Consultation with individuals and bodies not listed in the Policy Plan may occur, but all formal review and approval steps must be reflected in the Policy Plan.

Policy Sponsor means the Executive Leadership Team member who initiates the development of a new Policy, identifies the Policy Administrators for the Policy, and is accountable for the Policy.

Standard Operating Procedure or **SOP** means a procedure of College-wide application that is associated with a Policy and is approved according to the Policy Framework.

Standard Operating Procedure Owner or **SOP Owner** means the Employee who is responsible for SOP development, consultation, review, approval, communication, education, training, and implementation activities.

Policy Statements

1. The College uses Policies and SOPs to convey the College's priorities or stance on an issue; to provide transparency about a process; to establish standard processes or expected standards of behaviour across a broad segment of the College community; to facilitate compliance with legislation, regulatory documents, and jurisprudence; and to minimize risk and liability for the College.

2. Policies and SOPs are to be consistent with each other; the College's mission, vision, and values statements; motions passed by the Board; and legislation, regulatory documents, and jurisprudence.

3. Policies and SOPs are to be supported by subject matter expertise; appropriate stakeholder consultation; available data; robust records-retention practices; a transparent and predictable review and approval process; and effective communication and implementation strategies.

4. Institutional Compliance is responsible for ensuring that Policies and SOPs are reviewed at regular intervals whereas Policy Administrators and SOP Owners are responsible for initiating *ad hoc* reviews of Policies and SOPs whenever necessary to ensure that the objectives of this Policy Framework and the Policy or SOP are met.

5. Institutional Compliance will maintain records of the approval, amendment, and rescission of Policies and SOPs. Institutional Compliance will retain rescinded Policies and SOPs for 10 years from the rescission date. The version of a Policy or SOP held by Institutional Compliance is the official version.

6. Although Policies and SOPs are of equal force and effect, a conflict between a Policy and an SOP is to be resolved in favour of the Policy.

7. Unless stated otherwise in the Policy or SOP:

   a) every Policy and SOP applies to all Members of the College Community;

   b) an Employee who breaches a Policy or SOP is subject to discipline up to and including termination of employment; and

   c) a Student who breaches a Policy or SOP is subject to discipline up to and including expulsion.

8. Although Policies and SOPs may incorporate the requirements of legislation, they are not a substitute for legislation. Members of the College Community are expected to comply with all legislation that applies to them.

Policy Appendices

Appendix A Policy and Standard Operating Procedure Lifecycle
Appendix B Policy Development Committee
Appendix C Common Definitions

Legislated References

none

Other References

Policy Brief Template
Policy Consultation and Approval Plan Template
Policy Manual and Style Guide
Policy Review Form
Policy Template
Standard Operating Procedure Template

Related Policies

None

Parent Policy	Policy Framework
Policy Sponsor	President and CEO
Policy Administrators	VP, People and Planning
Appendix	A

Policy and Standard Operating Procedure Lifecycle

Defined terms are capitalized throughout this Policy. Refer to the parent Policy for definitions.

A: Policy and Standard Operating Procedure Lifecycle

1. The development, revision, and rescission of Policies will follow the process in Table 1.

2. A Policy Sponsor may assign different Policy Administrators to a Policy under their purview at any time by advising Institutional Compliance.

3. The development, revision, and rescission of SOPs will follow the process in Table 2.

4. A Policy Administrator may assign a different SOP Owner to an SOP under their purview at any time by advising Institutional Compliance.

5. Every Policy and SOP should be reviewed at least every five years. Institutional Compliance will notify the Policy Administrators when such periodic review is required for a given Policy or SOP under the Policy Administrators' purview. Review will be considered complete once they have advised Institutional Compliance that they have reviewed the Policy and any SOPs associated with it, in the form required by Institutional Compliance. Review may be considered complete before any requested changes are made, at Institutional Compliance's discretion.

Table 1. Policy lifecycle				
	New Policy	**Major Revision**	**Minor Revision**	**Rescission**
	At all stages of the Policy lifecycle, Institutional Compliance will hold the official draft Policy, Policy Plan, and Policy Brief to ensure proper version control, incorporate amendments, and monitor progress of the Policy motion.			
Initiated by	Policy Sponsor	Policy Sponsor	Policy Sponsor or Policy Admin. or Inst. Comp.	Policy Sponsor
	To initiate the development of a new Policy, an Executive Leadership Team member must identify themselves to Institutional Compliance as the Policy Sponsor and must assign one or two Policy Administrators to the proposed Policy. If Institutional Compliance determines that a new Policy is appropriate, Institutional Compliance and the Policy Administrators will draft the Policy and prepare a Policy Plan. A Policy Plan is also required for Major Revisions and Rescissions.			
Consultation conducted by	Policy Admin.	Policy Admin.	n/a	Policy Admin.
	Institutional Compliance may facilitate consultation if desired.			
Reviewed by	Committee	Committee	Inst. Comp.	Committee
	Where applicable, Institutional Compliance will bring the Policy forward to the Committee together with a Policy Brief prepared by Institutional Compliance and approved by the Policy Administrators.			
Approved by	CLC or Ac. Council or Board	Committee or CLC or Ac. Council or Board	Inst. Comp.	CLC or Ac. Council or Board
	The Policy Plan will identify either the Committee, College Leadership Council, Academic Council or the Board as the Governing Body with the authority to approve the Policy according to any relevant legislation and Board direction. The Policy Sponsor may choose to identify a higher governing body as the approver than is required by legislation or Board direction. A Policy motion must not be presented to Academic Council or the Board without first being recommended by the College Leadership Council. When a Policy or Policy revision is recommended with amendments, the amendments should be noted on the Policy Brief for future reviewing and approving bodies in the process.			
Notice to employees	Yes	If appropriate	No	Yes
	Institutional Compliance is responsible for placing a notice of the new, revised or rescinded Policy in an all-employee communication and updating the policy page of the website.			
Implemented by	Policy Admin.	Policy Admin.	n/a	Policy Admin.
	Implementation includes all forms of communication (other than an all-employee communication), education, training, preparation of supporting documents, and evaluation of the Policy's ongoing relevance and effectiveness. Institutional Compliance may support these activities if desired.			

Table 2. Standard Operating Procedure lifecycle				
	New SOP	**Major Revision**	**Minor Revision**	**Rescission**
	At all stages of the SOP lifecycle, Institutional Compliance will hold the official draft SOP to ensure proper version control, incorporate amendments, and monitor progress.			
Initiated by	Policy Sponsor or Policy Admin.	Policy Sponsor or Policy Admin.	Policy Sponsor or Policy Admin. or Inst. Comp.	Policy Sponsor or Policy Admin.
	To initiate the development of a new SOP, a Policy Administrator must identify the related Policy to Institutional Compliance and assign an SOP Owner to the proposed SOP. If Institutional Compliance determines that a new SOP is appropriate, Institutional Compliance and the SOP Owner will draft the SOP.			
Consultation conducted by	SOP Owner	SOP Owner	n/a	SOP Owner
	Institutional Compliance may facilitate consultation if desired.			
Reviewed by	Policy Admin.	Policy Admin.	Inst. Comp.	Policy Admin.
Approved by	Policy Sponsor	Policy Admin. or Policy Sponsor	Inst. Comp.	Policy Sponsor
Notice to employees	Yes	If appropriate	No	Yes
	Institutional Compliance is responsible for placing a notice of the new, revised or rescinded SOP in an all-employee communication and updating the policy page of the website.			
Implemented by	SOP Owner	SOP Owner	n/a	SOP Owner
	Implementation includes all forms of communication (other than an all-employee communication), education, training, preparation of supporting documents, and evaluation of the SOP's ongoing relevance and effectiveness. Institutional Compliance may support these activities if desired.			

Parent Policy	Policy Framework
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Policy Administrators	VP, People and Planning
Appendix	B

Policy Development Committee

Defined terms are capitalized throughout this Policy. Refer to the parent Policy for definitions.

A: The Policy Development Committee

1. The Committee's mandate is:

   a) to guide the overall development of Policies;

   b) to review proposals to establish, amend, and rescind Policies; and

   c) to serve as a working group for Policy development as appropriate.

2. The Committee may, by motion, create and amend terms of reference to provide internal guidance on any relevant issue not addressed by this appendix.

3. The Committee will meet at least four times per year and as often as necessary to discharge its mandate.

4. Institutional Compliance will provide administrative support for the committee. This includes maintaining committee records, preparing and distributing agendas, and distributing these to the Committee members in a timely manner. Institutional Compliance will communicate any motions passed by the Committee to the College Leadership Council's coordinator.

5. The Committee will be comprised of the following standing members:

   a) Institutional Compliance Coordinator (non-voting and ineligible for chair or vice-chair);

   b) Registrar;

   c) Dean, Centre for Teaching Learning and Innovation;

   d) Dean, Student Affairs;

   e) Director, Financial Services;

f) Director, Human Resources and Risk Services; and

g) Director, Information Technology Services.

6. At the first College Leadership Council meeting on or after September 1 of each year, the College Leadership Council will appoint two additional Committee members from the College Leadership Council for one-year renewable terms. At least one of these members must also be members of Deans' Council.

7. At the first Committee meeting of the year after members have been appointed pursuant to section 5, the Committee members will elect from among them a chair, and may elect from among them a vice-chair who will have the same role as the chair in the chair's absence from Committee meetings. The chair and vice-chair's terms of appointment expire upon the next election pursuant to this section 6. However, chairs and vice-chairs may sit for up to two consecutive terms. The chair, and the vice-chair when acting as chair, cannot vote on any motions except to break a tie.

8. A Committee member may delegate one of their direct reports to sit at a Committee meeting in their stead by advising the Institutional Compliance Coordinator. Delegates may vote on motions.

9. The chair, vice-chair, and Institutional Compliance Coordinator may invite other Employees to sit at Committee meetings on an *ad hoc* basis. These guests cannot vote.

10. When a motion is before the Committee to recommend the establishment, amendment or rescission of a Policy, the Policy Sponsor and the Policy Administrators of the Policy are entitled but not required to sit at the meeting. Policy Sponsors and Policy Administrators may vote only if they are Committee members.

11. The Committee will have a quorum of five members, inclusive of the chair and vice-chair, but exclusive of any invited guests and the Institutional Compliance Coordinator. Policy Sponsors and Policy Administrators are counted in quorum only if they are Committee members.

Parent Policy	Policy Framework
Policy Sponsor	President and CEO
Policy Administrators	VP, People and Planning
Appendix	C

Common Definitions

Defined terms are capitalized throughout this Policy. Refer to the parent Policy for definitions.

A: Common definitions

1. The following definitions apply to all Policies and SOPs unless a definition is modified by a Policy or SOP, in which case the modified definition will apply to that Policy or SOP only:

   a) **Board** means The Board of Governors of the College;

   b) **College** means Lethbridge College;

   c) **Employee** means a person on the payroll of the College;

   d) **Member of the College Community** includes a governor of the Board, an Employee, a dependent or independent contractor, subcontractor or authorized agent of the College, a Student, and a volunteer for a College-sanctioned activity;

   e) **Student** means a person enrolled in a course at or through the College.