

|                           |   |                            |                    |
|---------------------------|---|----------------------------|--------------------|
| <b>Policy Name:</b>       | Formulation and Issuance of University Policies (Policy Framework)    |                            |                    |
| <b>Policy No:</b>         | 1.1   | <b>Approval Authority:</b> | Board of Governors |
| <b>Volume</b>             | 1. Governance   | <b>Responsible Party:</b>  | President          |
| <b>Chapter</b>            | 1, Formulation and Issuance of University Policies (Policy Framework) | <b>Responsible Office:</b> | Governance Office  |
| <b>Originally issued:</b> | September 30, 2015  | <b>Revisions:</b>          |                    |

### Policy Statement

NSCAD University formally approves, issues and maintains official University policies in a central repository. Those involved in developing and maintaining University policies must follow the requirements outlined in this document for drafting, approving, revising and withdrawing University policies.

### Reason for Policy

University policies must be effectively developed, and thoroughly reviewed, have appropriate consultation during development, be maintained and made available to the University community to promote appropriate governance of the institution. Effective policy strives to emphasize practicality, compliance and accountability.

### Policy Applies to

- All units of the University

### Who Should Read this Policy

- All department heads, faculty and staff
- Individuals considering proposing, issuing, revising, withdrawing or assisting the draft of a NSCAD University policy
- All members of the Board of Governors
- Students, as applicable

### Contacts

Approval Authority: Board of Governors

Detail on policy meanings and application: Governance Office, 902-494-8168, [governance@nscad.ca](mailto:governance@nscad.ca), [nscad.ca/policy](http://nscad.ca/policy)

## Definitions

- Approval authority:** The group charged with the ultimate and official approval of NSCAD University policy, policy revisions and policy withdrawal. Approval authorities are the Senior Management Team and/or the Board of Governors, depending on the policy area. The parameters of Board policy approval authority are as stipulated in the Board of Governors by-laws. Senior Management Team holds approval authority for all policies outside those parameters and for interim policy.
- Entities affected by this policy:** All departments of the University are governed by University policies, although some departments that have unique circumstances surrounding their operations may, with the permission of the approval authority, establish separate procedures for fulfilling these policies.
- Policy Template:** The template comprising the final format of any NSCAD University policy. This template is populated by the policy developer. Includes helpful instructions for completing the draft policy. It ensures consistency of policy format. Policies placed in the Policy Template are provided to approval authority for feedback and/or approval. This is the format in which all approved policies appear in the repository.
- Governance Office:** University office charged with stewardship of the policy development process and of the official Policy Template, assisting responsible parties and policy developers during policy process, editing drafts of policy documents, guiding policies through the development and approval process, coordinating policy-related activity of Senior Management Team and Board of Governors, and maintaining a central repository of University policies in partnership with Computer Services.
- Guidelines:** Provide additional guidance on how to proceed in a given policy-related situation. Guidelines can be used as complementary documents to University policy and should be stored alongside any related policy document in the repository.
- Interim policy:** Provisional policy document issued when a University policy is needed within a time period too short to complete the process described herein. Is approved, on an interim basis, by Senior Management Team. Is in effect for six months with one possible extension of six months at the discretion of the approval authority. This document contains the following sections of the Policy Template: (a) Reason for Policy (b) Policy Applies to (c) Who Should Read this Policy (d) Contacts and (e) Policy.
- Policy statement:** Statement on the front page of a policy document that encapsulates the policy's purpose, namely its core provisions or requirements.
- Procedures:** Establish proper steps to be taken and provide step-by-step instructions to complete an activity. A procedure typically identifies who performs the procedure, the steps, when they're performed, and how to perform the steps. Procedures are often complementary documents to support the implementation of, or compliance

with, University policy and should be stored alongside any related policy document in the repository. Procedures may be included in the “Policy” section of Policy Template.

|   |   |
|---|---|
| <b>Process:</b>                                   | A high level illustration, typically shown as a process map, which shows the separation of responsibilities and controls. It shows who is responsible to perform parts of the process, the major functions performed, and when or how the function is triggered.  |
| <b>Promulgation:</b>                              | Official declaration from the Governance Office that a policy is in effect.   |
| <b>Reason for policy:</b>                         | Statement on the front page of a policy document that encapsulates why the policy exists. Identifies the institutional risk, University mission or value, or any legal or regulatory requirements the policy addresses.   |
| <b>Repository:</b>                                | A central online collection of all NSCAD University policies and related documents. Repository is searchable and ensures broad, user-friendly access to all policy-related documentation. It is maintained and managed by the Governance Office, assisted by Computer Services.   |
| <b>Responsible party:</b>                         | Department lead who creates, implements, and gains compliance for, or sponsors, a University policy that falls under his or her jurisdiction. Depending on the scope of its subject matter, a policy may have more than one responsible party.  |
| <b>Responsible office(s):</b>                     | Office(s) designated by the responsible party to develop and administer a policy, communicate with and train the University community in its requirements, and execute its timely updating and revisions.   |
| <b>Senior Management Team (Senior Management)</b> | Standing group of University parties that acts as approval authority for range of NSCAD policies, specifically those not requiring Board of Governors approval as stated in the Board by-laws, and interim policy. As an approval authority, provides institutional review and approval of University policies. Senior Management members are the President, Vice President, Finance & Administration, Vice President, Academic & Research. The Vice President, Finance & Administration or his or her designee chairs policy-related meetings, which typically occur on a semi-annual basis. |
| <b>Stakeholder:</b>                               | Individual, function, or organization whose University role or professional expertise relates to the subject of the policy, and who, therefore, is consulted for comment on its draft.  |
| <b>University policy:</b>                         | Official University directive that: <ol style="list-style-type: none"> <li>1. Mandates requirements of, or provisions for, members of the NSCAD University community, and provides broad procedures for implementation;</li> <li>2. Has broad application throughout the University;</li> </ol>   |

3. Enhances the University’s mission, reduces institutional risk and/or promotes operational efficiency;
4. Has been reviewed and approved by the appropriate approval authority;
5. Is sponsored by at least one member of the Senior Management Team;
6. Helps achieve compliance with any applicable laws and regulations;

**University policy document:** The official record of a University policy that is formatted and presented using the Policy Template to facilitate consistency, clarity, and conciseness.

## The Policy

### 1. Principles

- 1.1. With the approval of the relevant approval authority, a department lead may use policy-making as a tool to establish requirements of the entire University that relate to his or her jurisdiction. Policy, therefore, connects NSCAD University’s mission to individual conduct, supports compliance with laws and regulation, mitigates institutional risk and enhances productivity and efficiency in the University’s operations.
- 1.2. NSCAD’s policy system is intended to reflect the operational needs of the University and the demands of its environment, while respecting the University’s culture, current collective agreements, and the sector it represents. As such, consultations with stakeholders during policy development is an important part of the process.
- 1.3. Because NSCAD values appropriate governance, the University will strive to create a policy environment that meets industry standards for good governance while allowing for operational flexibility and innovation.
- 1.4. NSCAD University has established a University policy document and development process that will result in more consistent, appropriate, clear and accessible University policies. NSCAD University charges the Governance Office with the responsibility to manage these documents, the process and related systems and to assist others to work with these documents, processes and systems effectively.

### 2. Responsibilities

- 2.1. NSCAD University’s Board of Governors has approval authority for the following policy items:
  - 2.1.1. All policy related to the Board of Governors and board-related legislation, regulation and by-laws;
  - 2.1.2. Safe disclosure policy, code of conduct and conflict of interest policy, on the recommendation of the Audit & Risk Oversight Committee;
  - 2.1.3. Advancement-related governance policies and stakeholder relations and communications policy, on the recommendation of the Advancement Committee;
  - 2.1.4. Financial policies and investment and endowment policies, on the recommendation of the Financial and Physical Resources Committee;
- 2.2. The Board of Governors may request clarification and discussion on policies approved by Senior Management as it deems appropriate to its role to continuously improve the effectiveness and efficiency of its governance of NSCAD, as stated in the Board of Governors by-laws.

- 2.3. Senior Management has approval authority for the following policy items:
- 2.3.1. All other University policies not identified in section 2.1;
  - 2.3.2. All interim policy for the University;
- 2.4. Senior Management may seek Board input and guidance on the above policy areas as it deems appropriate.
- 2.5. The Board of Governors and Senior Management apply an institutional perspective to the review and approval of policy.
- 2.6. The Governance Office, in consultation with Senior Management, designs, implements, and reviews document templates, processes, and systems for developing, reviewing, issuing, storing, and revising University policies. Those activities include:
- 2.6.1. Generally guide the responsible party and responsible office through the policy development process;
  - 2.6.2. Provide the structure, formatting, expression, and other editorial aspects of documents to assure their clarity and coherence;
  - 2.6.3. Lead the process for reviewing and approving policies, involving control of draft documents and engagement of Senior Management, the Board of Governors, and its committees;
  - 2.6.4. Arrange and attend policy-related meetings involving approval authorities;
  - 2.6.5. Consult with the responsible party and responsible office to determine when revisions to an existing policy should be presented to approval authorities;
  - 2.6.6. Issue a University-wide announcement to promulgate or, where appropriate, withdraw a University policy;
  - 2.6.7. Initiate responsible party's review of policies whose requirements and/or provisions have been in effect for three years or longer;
  - 2.6.8. Promulgation of new, revised and interim policy;
  - 2.6.9. Maintain a repository of all University policies, including control of all official versions;
  - 2.6.10. May share best practice on NSCAD's policy development activity with other institutions.
- 2.7. The Vice President, Finance & Administration chairs all policy-related Senior Management meetings.
- 2.8. The responsible party is accountable for the substance of policy documents, namely the provisions and requirements of, and compliance with, University policies under his or her jurisdiction. Accordingly, he or she:
- 2.8.1. Identifies the need for and purpose of a policy in relation to a subject that falls under his/her jurisdiction;
  - 2.8.2. Designates a responsible office to develop and administer the policy;
  - 2.8.3. Determines how stakeholder feedback on policy drafts should be incorporated;
  - 2.8.4. Cross references to other related University policies as required;
  - 2.8.5. Approves final drafts of policy documents before they are presented to stakeholders, the Governance Office, Senior Management, Board of Governors and the University community for review, approval, comment, promulgation, or compliance;
  - 2.8.6. Presents policy documents to approval authorities as required;
  - 2.8.7. Conducts timely reviews of existing policies under his or her jurisdiction;

- 2.8.8. Where appropriate, advises approval authorities of the intent to withdraw an existing policy or to consolidate with another policy;
  - 2.8.9. Ensures proper monitoring and compliance measures are in place so policy can be appropriately followed by the University community;
- 2.9. The responsible office is accountable for the following policy-related activities:
- 2.9.1. When requested by the responsible party to develop a policy, to consult with the appropriate individuals or offices who may provide technical assistance;
  - 2.9.2. Draft the Policy Template, requesting assistance from the Governance Office as needed;
  - 2.9.3. Work with the Governance Office in putting policy drafts through the policy review cycle and making the resulting changes to the document;
  - 2.9.4. At appropriate times in the policy drafting process, in consultation with the responsible party, seek, and consider incorporation of stakeholder input;
  - 2.9.5. Consult with the responsible party while drafting a policy, so that the content continues to reflect the policy's original purpose;
  - 2.9.6. Lead the establishment of any new support systems needed to achieve community compliance with new or substantially revised policies;
  - 2.9.7. Following promulgation by the Governance Office, communicate with the University community on new, revised, or withdrawn policies, and provide training as necessary;
  - 2.9.8. Consult with the responsible party to update existing policies on a timely basis;
- 2.10. Computer Services assists the Governance Office in maintaining the online policy repository on behalf of the Governance Office. The department provides technical support and problem-solving to the Governance Office relative to the online policy repository and assists the Governance Office to ensure the repository is appropriately searchable and as user-centred as possible.
3. Procedures
- 3.1. Mapping of full processes
- 3.1.1. The Appendix of this policy framework contains detailed process maps to guide those involved in policy development. *Figure 1* maps the policy development and revision process, *Figure 2* shows the process to develop interim policies and *Figure 3* maps the process for policy withdrawal.
- 3.2. Proposing a policy
- 3.2.1. Any individual or department can identify the need for a new policy but at least one responsible party must agree to sponsor its development and be accountable for the content of the policy document. Before any work is done to develop a new policy, the responsible party must receive approval in writing to proceed from at least one member of the Senior Management Team. The responsible party may appoint a responsible office(s) to consult with the Governance Office as needed to develop that policy. The responsible office will develop the policy on behalf of the responsible party, assisted by the Governance Office. As with all policy documents, the responsible office will be responsible to provide the content, while the Governance Office will provide guidance and editorial changes as required. The

responsible party will approve the final draft of the policy before it is provided to the Governance Office for review by the approval authority.

- 3.2.2. The responsible party proposes the establishment of a new policy or major revision to an existing policy, to Senior Management for approval to proceed. The proposal must include the justification for the proposed new policy or major policy revision, a list of the stakeholders who will be consulted during drafting and the anticipated impact on the University. Senior Management will make a recommendation to the Board for all proposed policies under the Board's approval authority as stated herein.

### 3.3. Developing a policy

- 3.3.1. When a proposal for a new or revised policy is approved for development by the approving authority, the responsible office drafts the policy using the Policy Template. This is led by the responsible office with editorial insight and support from the Governance Office.
- 3.3.2. When the responsible party has approved the draft policy, he or she will share the draft with those stakeholders identified in the original proposal to develop the policy for their feedback. The feedback must be considered by the responsible office who, along with the responsible party, will determine whether and how that feedback will be incorporated.
- 3.3.3. Once the consultations are complete, relevant feedback has been integrated into the draft policy, and the draft policy is re-approved by the responsible party, the Governance Office ensures the formatting of the draft policy is correct as per the Policy Template.

### 3.4. Reviewing and approving a policy

- 3.4.1. With the responsible party's approval, the Governance Office will share the draft policy with the approval authority. The responsible party or the responsible office may be asked to present the draft policy to the approval authority. The approval authority will review the draft policy for clarity and practicality. Should feedback and revisions be provided, the responsible party/responsible office and the Governance Office will review and make accepted changes proposed by the approval authority.
- 3.4.2. Once the approval authority and the responsible party have approved the final policy document, the Governance Office will note on the document the date of final approval as the date the policy was "Originally Issued" and will promulgate the policy to the University community through a formal announcement.

### 3.5. Updating a policy

- 3.5.1. On an as-needed basis, the responsible office will request that the Governance Office make routine changes (such as new contact names, position titles and e-mail or web addresses) to an existing policy document. The Governance Office will note the date of such changes next to "Updated" on the policy.

### 3.6. Revising a policy

- 3.6.1. Changes to the policy's substance must be approved by the approval authority based on the submission of a new draft policy in the form of a Policy Template, and may be announced, or "promulgated," to the University community by the Governance Office. Significant changes to procedures must also be

reviewed by the approval authority and may be announced to the University community by the responsible party.

- 3.6.2. Review of the entire policy will be conducted at least every three years by the responsible party. The extent of any changes resulting from this review will determine the subsequent process. The Governance Office will note the date of all revisions next to “Revised” on the policy document.
- 3.6.3. Revised policy documents will be presented to the approval authority showing changes, unless these changes are so substantial as to make this impractical. In this event, the existing policy document and the document with the proposed revisions will be provided to the approval authority at the time of review.

### 3.7. Communicating, promulgating and training

- 3.7.1. The Governance Office will issue an announcement of a new or substantially revised policy. In the case of a new policy, this announcement will constitute its promulgation. The responsible office will deliver any additional communication or training, and will assist the responsible party to establish any support systems necessary to achieve and monitor ongoing compliance.

### 3.8. Establishing an interim policy

- 3.8.1. When a policy is needed within a time period that does not allow for complete drafting and review of the policy document as outlined in this document, the responsible party may request Senior Management Team to allow promulgation of that policy on an interim basis. Senior Management Team must give explicit, written permission to the responsible party to issue a policy as interim.
- 3.8.2. This following sections of an approved Policy Template may be used to produce an interim policy document: (a) Reason for Policy (b) Policy Applies to (c) Who Should Read this Policy (d) Contacts and (e) Policy.
- 3.8.3. Once an interim policy is promulgated, the responsible party and responsible office must develop a full draft of that policy as soon as possible, fully completing the Policy Template and the proper policy development process described herein.
- 3.8.4. Interim policies are effective for six months. An extension of an additional six months can be granted at the discretion of the approval authority. To derive the benefits of this policy framework, the interim policy must complete the full policy development process outlined in this document within one year of the issuance of the interim policy.

### 3.9. Withdrawing a policy

- 3.9.1. In special circumstances, a responsible party may deem it appropriate to withdraw an existing policy or consolidate with another policy and, through the Governance Office, will inform the approval authority of its intent.
- 3.9.2. The approval authority must provide explicit, written approval to the responsible party.
- 3.9.3. The Governance Office may issue an announcement of a withdrawn policy.
- 3.9.4. The responsible office will deliver any additional communication.



### 3.10. Compliance

3.10.1. The responsible party ensures appropriate steps to establish and maintain compliance are in place. The responsible office assists compliance through the establishment of normal business practices, some of which will be outlined in the “Policy” section or subordinate documents, which support implementation of the policy. Routine human resources procedures also may assist compliance. NSCAD University employs policies as a measurement tool in regular assessments of University operations. In addition, communications with and training of the University community will facilitate compliance.

### 3.11. Applying policies to unique administrative arrangements

3.11.1. The policies outlined in this document apply across the University. However, if the approval authority agrees, the procedures that support those policies may be tailored to the special administrative arrangements of a department. For example, a policy’s procedures for the Academy campus may differ slightly from those for NSCAD’s Fountain campus.

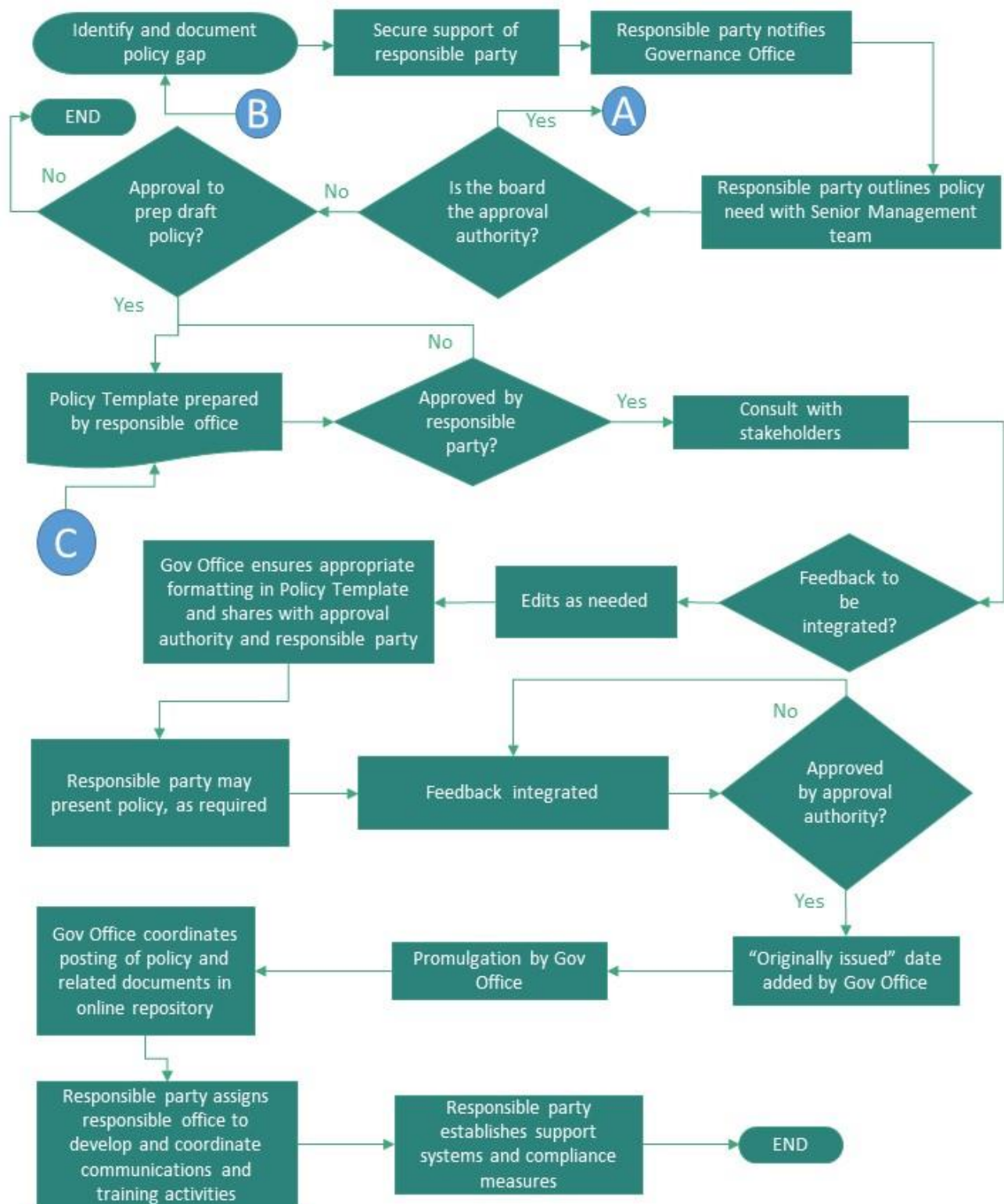
## **Forms and Tools**

**Policy Template**                      <http://nscad.ca/site-nscad/media/nscad/PolicyTemplate.docx>

## **Appendix**

Process maps for policy development

Figure 1: Policy development and revision process



## Policy development and revision process (cont'd)

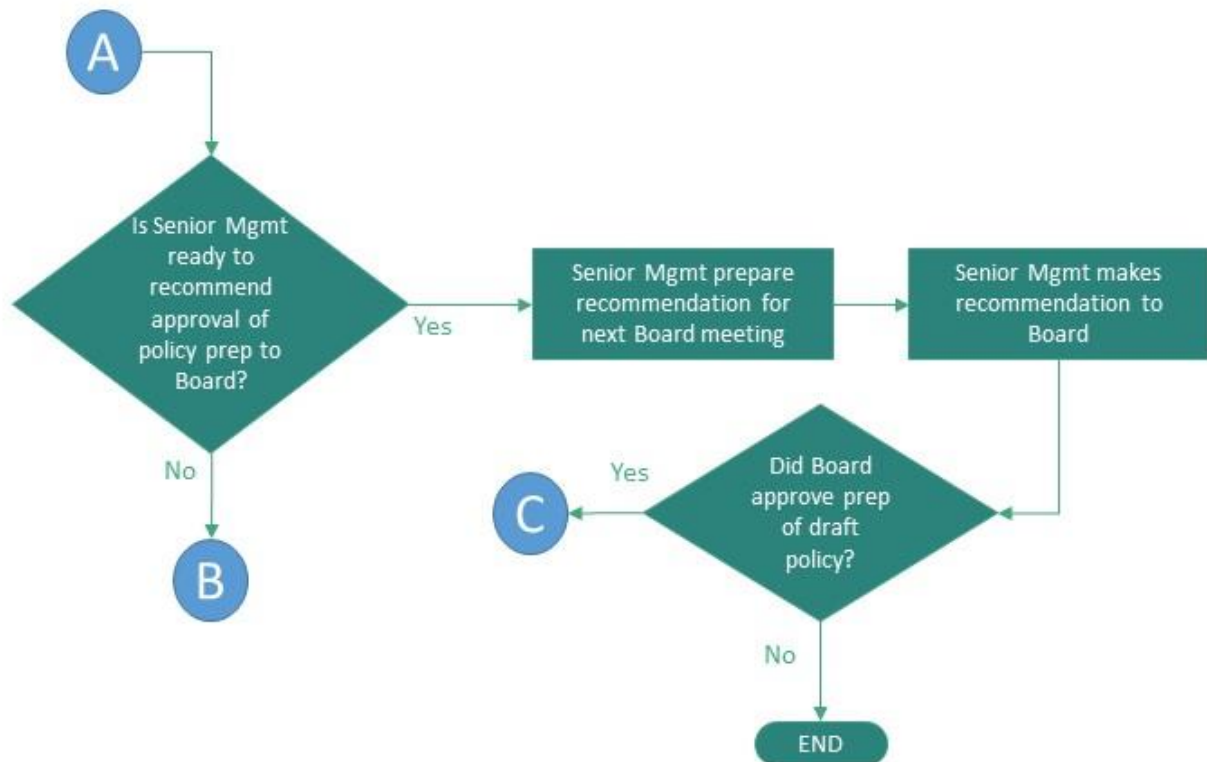


Figure 2: Interim policy development process

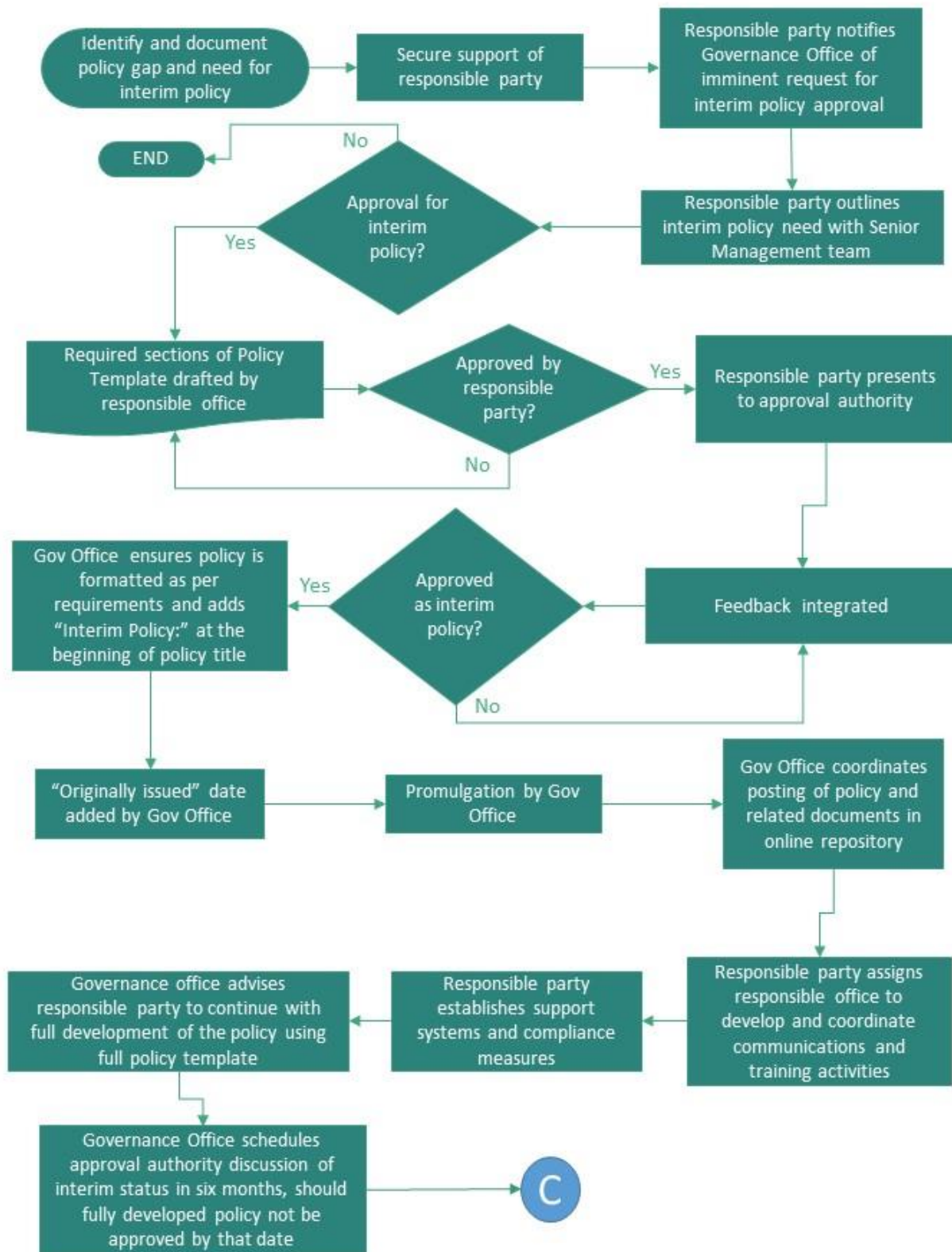
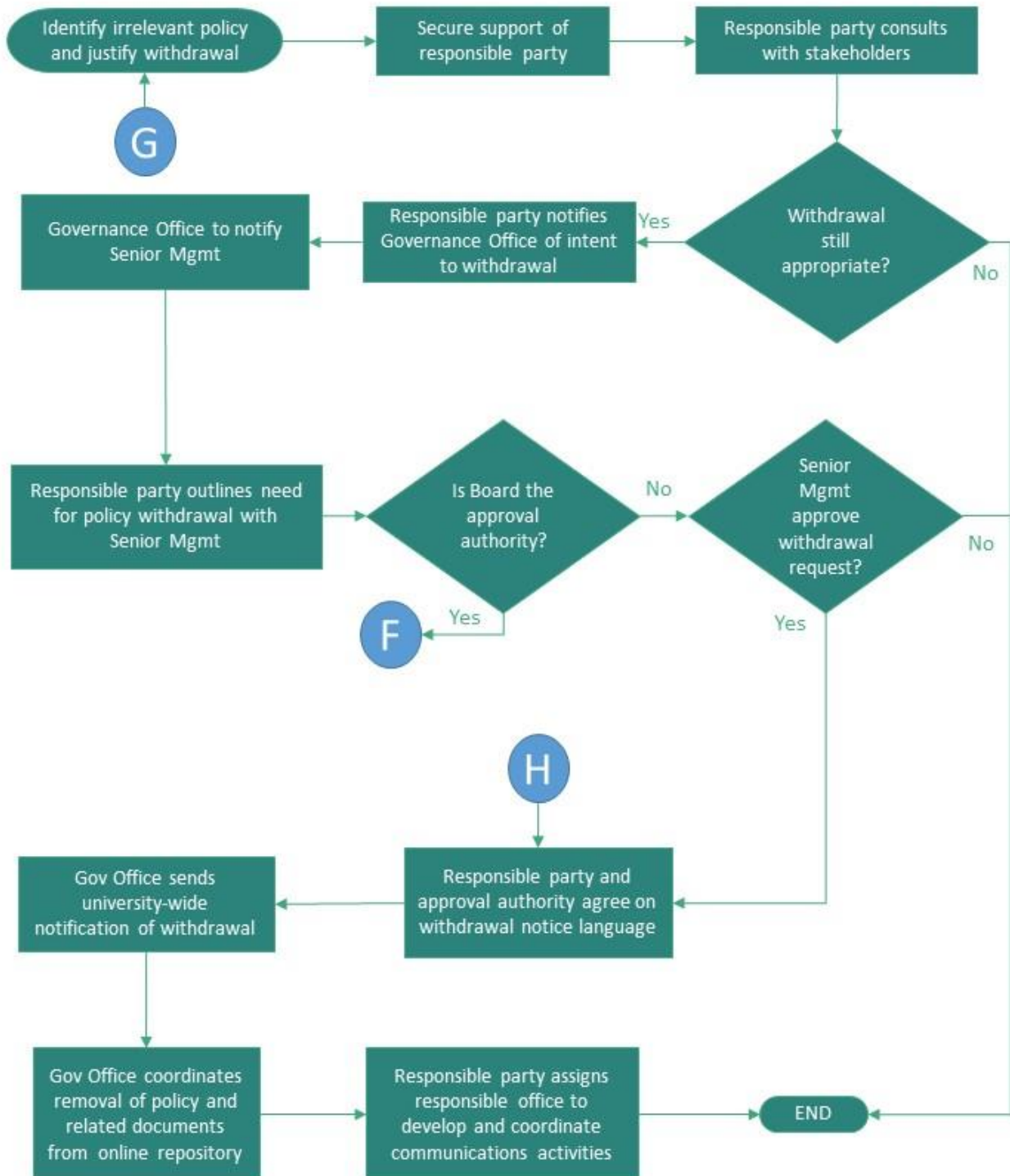


Figure 3: Policy withdrawal process



## Policy withdrawal process (cont'd)

