

# Policy and Procedure Development and Management Procedure

## 1. Introduction

The College of Acupuncturists of Alberta's (the College) policies and procedures are created to provide the Council, regulated members, College management, employees, and contractors with clear and consistent information on actions that are required to support the achievement of the College's policy.

## 2. Purpose

This procedure provides information regarding the initiation, development, approval, implementation, and review of all College policies and procedures.

## 3. Definitions

**Employee:** means a person engaged by the College to perform a service in accordance with an employment agreement.

**Policy:** means an approved written statement of philosophy, direction, or expected behaviors that provides guidance or information to all regulated members, members of Council, committee members, College management, and employees in managing, administering, and complying with the activities of the College.

**Procedure:** means an approved written statement of specific actions to be taken to enable the achievement of a specific policy.

## 4. Procedure

All College policies and procedures are to be developed and managed in accordance with the following actions:

### 4.1 Needs Identification and Assessment: New or Revised Policy or Procedure

The need for the creation or revision of a policy or procedure can be initiated from various sources. These include the Council, a committee, College strategic and business planning, business process reviews, risk management assessments, legislative or regulatory requirements, employees, scheduled reviews of existing policies and procedures, and external sources.

- 4.1.1 The individual or committee that identifies there is a need for a policy or procedure or procedure or change to an existing policy or procedure is to document the need and send it to the Executive/Registrar.
- 4.1.2 An employee receiving a request, consults with the Executive Director/Registrar to confirm fit and alignment with the College's mandate, bylaws, policies, procedures, and legislation; confirms proceeding with the activity and, as appropriate, conducts a need assessment to validate the need for a new or revision to an existing policy or procedure.
- 4.1.3 The employee communicates the decision to proceed, or not to proceed, including reasons, to the individual or group that initiated the original request.
- 4.1.4 Where the need for or a revision to a policy or procedure has been validated, the Lead is to proceed to step 4.2

## **4.2 Create a Draft Policy or Procedure**

- 4.2.1 For a new policy or procedure, the employee obtains a copy of the current policy or procedure template. For a revision to a policy or procedure, the employee requests a copy of the last approved Word version of the policy or procedure from the Executive Director/Registrar.

The Executive Director/Registrar is the official custodian of all College policies and procedures and will retain the approved policy or procedure in a secured document repository.

- 4.2.2 The employee, with support from the Executive Director/Registrar, conducts research, consults with subject matter experts, develops options, and creates a draft of the policy or procedure. The employee submits the draft to the Executive Director/Registrar.
  - 4.2.2.1 The employee contacts external subject matter experts to schedule and coordinate meetings to review policy/procedure content.
  - 4.2.2.2 The Executive Director/Registrar contacts the Council/Committee members to schedule and coordinate meetings to provide subject matter expertise.
  - 4.2.2.3 Where it is appropriate to consider options in developing the policy or procedure, the employee documents the options or alternatives, prepares a briefing, and provides the briefing to the Executive Director/Registrar to obtain direction.
  - 4.2.2.4 The employee develops the draft policy or procedure based on direction from the Executive Director/Registrar.
- 4.2.3 The Executive Director/Registrar reviews the draft to ensure that consistent documentation standards are used and that the draft is aligned with the College mandate, bylaws, policies, procedures, legislation, and regulation. The Executive Director/Registrar will provide the employee with recommended revisions.
- 4.2.4 The employee adjusts the draft as appropriate and proceeds to step 4.3.

### **4.3 Stakeholder Consultation**

Stakeholder consultation is expected to be as broad as appropriate, but should, at a minimum, include all College members and employees that are directly affected by the proposed policy or procedure.

- 4.3.1 The employee contacts the committee chairs to schedule and to coordinate required consultations with Regulatory committees to obtain feedback and comments on the draft policy or procedure.
- 4.3.2 The employee and/or Executive Director/Registrar schedules and coordinates required consultations with internal stakeholders, which may include committees, employees, and contractors of the College, to obtain feedback and comments on the draft policy or procedure.
- 4.3.3 The employee, upon completion of consultations, proceeds to step 4.4.

### **4.4 Update Draft Policy or Procedure**

- 4.4.1 The employee updates the draft policy or procedure based on the feedback from consultations.
  - 4.4.1.1 Multiple requests for feedback may be required during the development of a policy or procedure.
  - 4.4.1.2 The employee provides the stakeholder or stakeholder group(s) with an appropriate response regarding the use of the feedback that was provided.
- 4.4.2 The employee forwards the updated draft policy or procedure to the Executive Director/Registrar for review.
  - 4.4.2.1 Any legal issues associated with the draft, the Executive Director/Registrar will investigate and, where appropriate, may obtain a legal opinion to understand and manage the issues.
- 4.4.3 The Executive Director/Registrar reviews the draft to ensure that consistent documentation standards are used, and that the draft is aligned with the College's mandate, bylaws, policies, procedures, legislation, and regulation.
- 4.4.4 The employee creates a final draft of the policy or procedure and forwards the document to the Executive Director/Registrar.

### **4.5 Approval of Policy or Procedure**

All requests for approval are to be made by sending a briefing note, draft policy or procedure document, and other attachments as appropriate. The briefing note is to include summary information regarding the issue that is being addressed, how the topic was initiated, research activities, the scope and outcome of stakeholder consultations, legal considerations, impacts, benefits, risks, and information on the communication and implementation plans.

#### 4.5.1 Corporate Governance Policies and Procedures

4.5.1.1 Where the Executive Director/Registrar is recommending approval of the policy or procedure to the Council, the Executive Director/Registrar will prepare a briefing note and send it to the appropriate standing committee for submission.

4.5.1.1.1 The Council Standing Committee considers the policy or procedure and either rejects, requests changes, or approves recommending the policy to the Council.

4.5.1.1.2 Where a recommendation for approval has been made, the Executive Director/Registrar will take the recommendation for approval to the Council.

4.5.1.2 When approval has been received from the Council, the Executive Director/Registrar proceeds to step 4.6.

#### 4.5.2 Regulatory Policies, Standards of Practice, and Procedures (see Operations Policies and Procedures)

#### 4.5.3 Operations Policies and Procedures (e.g., Finance, Human Resources)

4.5.3.1 The employee submits the final draft policy or procedure to the Executive Director/Registrar for preliminary approval.

4.5.3.2 Where changes are requested, the updates the policy or procedure and resubmits the document for pre-approval.

4.5.3.3 The Executive Director/Registrar will approve the policy or procedure, request changes, or reject the document.

4.5.3.4 The Lead proceeds to step 4.6 when approval has been received.

### 4.6 Implementation

4.6.1 The Executive Director/Registrar initiates the implementation and communications plans that were developed for the policy or procedure.

Where possible, the effective date for the policy or procedure will be set sufficiently in the future to execute the implementation and communication plans (for distribution of support information, training, and communications) to ensure there are no incidents of non-compliance.

4.6.2 The Executive Director/Registrar will advise when a policy or procedure is approved, including the proposed effective date, provide a finalized Word version of the approved policy or procedure, and provide an excerpt of the meeting minutes authorizing the approval.

4.6.3 The employee will update the policy or procedure to reflect the effective date and publish the approved policy or procedure on the College's policy webpage. Publication will, where possible, be in advance of the policy or procedure effective date.

4.6.4 The employee will advise all affected stakeholders regarding the approval of a new or revision to an existing policy or procedure.

#### **4.7 Periodic Review**

4.7.1 Policies and procedures are to be reviewed at least once every five years or sooner if specified in the policy or procedure.

4.7.2 The Executive Director/Registrar will maintain a register of policy and procedure review dates and identify prior to each fiscal year, regarding the policies and procedures that must be reviewed in the upcoming fiscal year.

#### **4.8 Retirement of Policies or Procedures**

4.8.1 If a policy or procedure is considered to be no longer relevant, the Executive Director/Registrar will consult with Council to assess implications and, where appropriate, consult with affected stakeholders as outlined in step 4.3.

4.8.2 Where implications to other policies, procedures, or operational activities exist, the Executive Director/Registrar, in consultation with affected stakeholders, will prepare a plan to address these implications prior to retiring the policy or procedure.

4.8.3 Where no implications to other policies, procedures, or operational activities exist, the employee is to confirm with the Executive Director/Registrar that the policy or procedure is to be retired.

4.8.4 When approval to retire is received:

4.8.4.1 The employee will remove the policy or procedure from the College website and retain the document in an archive in accordance with records management practices; and

4.8.4.2 The employee will advise all affected stakeholders regarding the retirement of the policy or procedure.

#### **4.9 Monitoring and Assessment**

4.9.1 The Executive Director/Registrar will monitor compliance with the policy or procedure for which they are responsible.

4.9.2 The Executive Director/Registrar will prepare an annual summary report for the Council on policy and procedure compliance.

## **5. Authority**

This policy is established under the authority of Section 6 of the *Health Profession Act* and Article 4.1 of the College bylaws.

## 6. Scope

This policy applies to all members of the College, Council members, committee members, and College employees.

## 7. Related Policies and Procedures

- G.1.7 Policy and Procedure Development and Management Policy

## 8. Version History

Date	Notes
August 13, 2022	New procedure