Policies and Procedures Guide

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Montgomery County Community College

POLICY AND PROCEDURES PROCESSES

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Definitions

POLICY
A policy is defined as a concise, formal and mandatory statement of principle which provides a framework for decision-making and a means by which the College reduces institutional risk. Policies support the College’s mission and values for the foreseeable future and should therefore change infrequently. A policy is a written statement which outlines the College’s position on a specific subject matter. A policy provides guidance and direction in decision-making. A policy has final approval by the Board of Trustees.

PROCEDURES
The mandatory steps required to implement and comply with a policy and meet its intent. Procedures specify who does what and when. They may be reviewed and revised more frequently than policies.

POLICY OWNER
The policy owner is an administrative position or unit responsible for the development, oversight and review of policy.

SCOPE
The scope of a policy includes:
- All campuses of the College.
- Where relevant, the type of course or program to which the policy applies.
- The members of the College community to whom a policy applies.
- A mechanism for due process (as applicable)

RESPONSIBLE PARTY
- The Administrative position, unit, or bodies responsible for implementation of the policy and procedures in their work area (e.g. Vice President of Academic Affairs and Provost, Vice President of Student Affairs, Vice President of Finance and Administration, Vice President of Information Technology, Vice President for Development and External Relations, Vice President for West Campus; Deans; Faculty; divisional directors and/or managers).
- The Administrative position, unit, positions or bodies responsible for monitoring implementation of and compliance with the policy and its associated procedures. (i.e. Executive Directors, Assistant/Associate Vice Presidents).

KEY STAKEHOLDERS
The key stakeholders are those directly affected by a policy, including those responsible for implementation and compliance monitoring, and must be consulted during development or revision of the policy and its associated procedures. Key stakeholders may include students and/or members of the external community as well as faculty, staff and administrators.

ENDORSEMENT BODY
The Endorsement Body: (All-College Governance Committees), or body (President’s Cabinet, President’s Leadership Council) with responsibility for endorsing a policy and approving procedures, and submitting policy to the ultimate body for approval.

ULTIMATE BODY
The Approval Body: the academic or management position or body responsible for the approval of policy, and notification of the policy owner. The approval body for Montgomery County Community College policies are the College’s Board of Trustees.
Development of New Policy and Procedures

Identify need for new policy and/or procedures
The need for new policy and/or procedures may be identified by:

- an ultimate (approval) body;
- an endorsement body; or
- a key stakeholder.

The triggers for a new policy and/or procedures may include:

- changes to the external operating environment;
- changes to government policy or legislation;
- review of the strategic directions of the College;
- new initiatives within or across academic or management areas;
- need for consistency across areas of service delivery.

Review of Existing Policy and Procedures
Policies and procedures of the College must be reviewed on a regular basis. The review cycle may vary depending on the policy type and its scope, but five years would be typical, and there must be no more than five years between policy reviews. Procedures are likely to be reviewed more frequently. Review dates should be set to allow adequate time for revision and approvals processes.

Minor editorial updates that do not affect the title or substance of the policy (purpose, scope, policy statement) do not need to go through the formal approvals process. These include correction of typographical errors or changes to:

- stakeholders
- policy owner
- contact person/maintainer
- key words and definitions

These changes should be provided to the policy maintainer via the Board of Trustee Policy Change Request form.

Notify policy maintainer when review is due
The policy maintainer is the maintainer of the policies and its associated procedures on the College’s web-site under “About Us/Policies and Procedures” and is also the contact person for queries about the policy (Currently Executive Assistant to the Board of Trustees).

Processes Common to Policy and Procedures Development and Review

Identify scope and stakeholders
The policy owner identifies the scope and key stakeholders.

Research and Analysis

New policy and/or procedures
The research process for a new policy and/or procedures is initiated by the policy owner and may include environmental scanning and comparative analysis of relevant internal and external organizations, as well as investigation and analysis of:

- relevant government policy and legislation, and federal codes;
- Community College legislation;
- peer institutions’ policies
• research of best practices
• existing policies
  o gaps
  o need to revise or rescind
  o consistency
• possible constraints on implementing the policy at lower organizational levels;
• previous records of relevant bodies;
• other relevant data.

Review of policy and/or procedures
The research process for review is also initiated by the policy owner and includes investigating:
• whether the policy and/or procedures is still consistent with best practice, strategic directions of the College, and changes in federal codes or government policy and legislation;
• whether the policy meets stakeholders’ needs;
• constraints on implementing the policy at lower organizational levels;
• the level of compliance with the existing policy and/or procedures;
• whether any related policies need to be revised or rescinded.

Draft policy and/or procedures
Based on research and analysis, a draft of the new, amended or revised policy and procedures is prepared by the policy owner. If consequential revision is required to related policies or procedures, these drafts must also be prepared.

Amend or revise
After the consultation process, with All-College Governance Committees, further amendments or revisions may be required. If further revision is recommended, a revised draft is prepared and a new round of consultation is initiated by the policy owner. This cycle is repeated until no further amendments/revisions are recommended.

Consider for policy endorsement and procedure approval
When the key stakeholders are satisfied with the draft/s, the policy owner submits the draft/s to the endorsing body for approval of procedures, together with any recommendations for rescission of existing policy.

When the endorsing body is satisfied, the draft/s and any recommendation to rescind an existing policy to the ultimate body (Board of Trustees) for approval.

In the case of policies and procedures under review, if the policy owner considers that no revision is required, a recommendation is made to the endorsing body that the existing policy and procedures stand and be next reviewed according to the review schedule. A recommendation to this effect is submitted to the ultimate body.

Notify policy owner
For both new policies and procedures and those under review, the endorsing body advises the policy owner if further amendments and/or revisions are required. The policy owner then re-initiates the process of revision and consultation with the key stakeholders.

When no further amendments and/or revisions are recommended to procedures, the endorsing body advises the policy owner.

Consider for policy approval
If the ultimate body is satisfied with the endorsed draft/s, the draft is approved as policy.
For policies under review, any recommendation from the endorsing body that no revision is required must be approved by the ultimate body. For existing policies, any recommendation to rescind must also be approved by the ultimate body.

**Notify policy owner**

If the ultimate body considers that further amendment and/or revision is required, the policy is referred back to both the endorsing body and the policy owner.

The policy owner then re-initiates the process of revision and consultation with the key stakeholders.

If no further amendments and/or revisions are recommended, the ultimate body advises the policy owner.

**Submit policy and procedures**

The policy owner or designated position submits the policy and procedures to the Policy Maintainer via the web-based submission templates. The Policy form will not be published unless:

- all defined fields are complete;
- the Procedures form has also been completed and submitted.

If a policy is being rescinded, the policy owner or designated position also submits this information via the template.

**Policy Bank (College’s Website) updated**

The Policy Bank (the College’s Website under “About Us/Policies and Procedures) will be updated after the template has been submitted by the policy maintainer and the generated web page has been approved by the policy owner.