**Policy Development Framework**

# Excel Society Policy Development Framework

## Document Types

The following is a listing of the most common governance documents that may be developed and used in Excel Society.

## Bylaws

Excel Society bylaws fulfill specific governance requirements as set out in legislation pertinent to the Societies Act and Regulation. The current legislated requirements for bylaws are outlined in the *Societies Act Revised Statutes of Alberta 2000 Chapter S-14 Current as of September 22, 2014* & *Societies Regulation Alberta Regulation 122/2000 With amendments up to and including Alberta Regulation 83/2016*.

## Policy

A policy sets out the organization's position on a specific subject. It may be compromised of clinical or corporate content. A policy provides a common frame of reference and direction by establishing the minimum requirements and expectations that benefit those we serve, employees, volunteers, and practicum students. Requirements in a policy may be further expanded upon through other governance documents such as procedures, protocols, standards, codes of practice, guidelines, or directives. Policies for Excel Society are divided into 3 levels to facilitate operational effectiveness and efficiency.

Excel Wide Policy: Sets out requirements fundamental or significant to the mandate of Excel Society and the overall service provision and/or corporate goals of Excel Society. This is the highest level of policy within Excel.

Program Policy: Meets an identified need to establish operational requirements for an Excel program or with multiple sites.

Local Policy: Addresses the needs of day-to-day operations for a site.

**Level 1 – Board Policies**

*Framework Policies*

Framework policies clarify the organization's philosophy, mission and vision, and outline the beneficiaries the organization serves. These include:

- Vision Statement
- Mission Statement
- Value Statement

*Board Governance Policies*

Board governance policies state how the board will govern itself and the organization. These policies set out the principals, rules, governing style, roles, responsibilities, and functions of the membership, board, board members, and board committees. Governance policies include:

- Policy making:
    - o Clear comprehensive statement that sets out the procedures, terms and conditions under which policy is made
- Governing style: and responsibilities
    - o Defines the governing processes the board will use; covers the type of board (policy governing or administrative governing), committee systems, and board structure.
- Role, responsibilities and functions:
    - o Answers the questions: what are the roles, responsibilities and functions of the board, board members, the officers, board committees, membership, and the President/CEO? What do they do? How do they do it?
- Board member's code of conduct
    - o Addresses such issues as conflict of interest, individual authority and loyalty to the organization.
- Board recruitment, orientation, training and evaluation:
    - o Outlines preferred board composition, nomination, etc.

*Operational Policies*

Operational policies outline the board's directions for the personnel, financial and program functions. They direct the actions of the CEO/President and the organization. Operational policies are prepared for each functional area of the organization: personnel; programs and services; and financial.

Operational policies include:

- Statement of Intent (why)
    - o Philosophical basis (the why explains beliefs and values)
    - o Desired outcome of the policy
    - o Expectations for board and staff
- Regulations (what)
    - o Restrict or limit actions (the what)
    - o Provide direction for procedures

*Advocacy Policies*

Advocacy policies set out the organization's response to matters affecting its relationship to the community and society. Advocacy policies establish how the organization will promote its mission to the public and how it will respond to controversial issues or sensitive matters.

Advocacy policies create public awareness of a problem the organization perceives to exist or support for the solution it is trying to bring about. Advocacy policies may come from the membership through resolutions at the Annual General Meeting. The board may then develop advocacy policies that specify the position the organization takes on a particular issue and guides the work of the personnel involved in advocacy.

**Level 2 – Management Policies**

Management policies are separated by department.

- Academy
- Communications
- Facilities and Technology
- Finance
- Human Resources
- Support Services

The accountability for policies is a shared mandate among the Excel Society Board (Board), Executive Committees, Senior Leadership, Management, direct service providers, and the individual employee. Each individual is accountable to the people of Excel Society and to one another in ensuring compliance with the requirements of Excel policies, as well as the vision, mission, and values of the organization.

**Policy Management**

*Authority*

The Board of Directors has the authority to approve the creation, amendment and deletion of Level 1 policy. Management may recommend changes to Level 1 policy through the Governance Committee. The Board of Directors has given the President/CEO the authority to approve changes to Level 2 policy. Any new policy, or deletion of a level 2 existing policy, requires the review and recommendation of the Governance Committee as to whether it requires Board approval. The Board may work through the President/CEO on Level 2 policy.

*Access*

All approved Level 1 and Level 2 policies will be posted to the Excel Society Public Drive so that every employee has access to them. Board Members are provided with copies of all Level 1 Policy and a copy of the Level 2 Policy Index as part of the Board Member Orientation Manual.

*Maintenance*

After the Board has approved the creation, amendment or deletion of a Level 1 policy, Management will post or remove the policy to or from the Public Drive and communicate the changes to all employees. Management will also provide each Board Member with a copy of the new or updated Level 1 policy to ensure they have access to the most current document.

Following any changes made to Level 2 policies, Management will post or remove the policy to or from the Public Drive and communicate the changes to all employees. In the event a Level 2 policy is created or deleted, Management will provide each Board Member with an updated Level 2 Policy Index.

## Operational Procedures

Operational Procedures are documents that provide detailed step by step information necessary to fulfill requirements set out in a policy and/or an internal process. Generally, procedures are developed by staff or an executive committee and do not require the approval of the board.

The Operational Procedures Committee has the authority to recommend new operational procedures and changes to existing operational procedures. After the Committee has made its recommendations, they are forwarded to the President/CEO for final approval. Once the President/CEO gives approval, the procedures will be posted to the public drive and communicated to the organization through email.

## Practice Support Documents

Practice support documents accommodate the unique nature of a department and are aimed at fostering decisions or streamlining a particular process within a department's routine boundaries. There are 3 different types of practice support documents. They are denoted below.

Standard: Set out the desired and achievable level of performance that establishes best practice and provide a reference against which actual performance can be compared. Their content may be informed by National, Provincial, or Professional associations. Standards should be authored with Excel Wide applicability.

Protocol: Prescribe interventions for undertaking specific investigations, therapies and/or activities in an identified situation, in either a clinical or corporate setting. Protocols may be authored with an Excel Wide or Program/Site applicability.

<u>Guideline:</u> Establish a course of action that aligns with best practice, but individuals are afforded a reasonable amount of professional judgment. Guidelines may be authored with an Excel Wide or Program/Site applicability.

The following outlines other, less common governance documents that may be developed and used within Excel Society.

## Directive (Look at developing a Directive LOG)

Directives provide temporary governance in exceptional circumstances. They offer time-limited instruction and guidance for decision-making and actions to support day-to-day operations (clinical and/or corporate) on a subject-specific basis. Directives may have organization-wide impact or may apply to limited audiences across the organization.

Policies and Directives should be:

- Clear
- Consistent
- Legal
- Non-Contradictory
- Non-Repetitive
- Focused on a Desired Outcome
- Risk-Informed (Enabling Discretion when Appropriate)
- Principle-Based (Not always Algorithmic Rules)
- Guided by Industry Best Practices