

## 3.2 Developing and Submitting Your Proposal

### **WHO IS INVOLVED IN THE PROCESS**

Proposals may emanate from any branch or division within a department.

### **DEPARTMENTAL POLICY UNIT**

Prepare proposals in conjunction with your departmental policy staff. This ensures that submission procedures are properly followed and all policy issues identified.

### **DEPARTMENTAL COMMUNICATIONS STAFF**

Inform the department communications staff of the possibility of moving forward with a proposal to Executive Council or Treasury and Policy Board (TPB) at the earliest possible stage. These early discussions identify important issues and will help to ensure accuracy and timeliness in the preparation of the required communications documentation. The communications plan (Appendix 3-B) must accompany each proposal and must be prepared by the department's communications staff. The department communications staff must also seek final approval of the communications plan from the appropriate Communications Nova Scotia managing director.

### **DEPARTMENT SOLICITOR**

The solicitor reviews proposals for legal implications. The solicitor, working closely with department staff, usually prepares the Report and Recommendation to Executive Council (R&R, Appendix 3-C) under statutory authority and signs the R&R signifying approval as to form and authority.

### **FINANCE CORPORATE SERVICE UNIT**

Prepare proposals that have a financial impact in conjunction with the department's finance Corporate Service Unit (CSU) or senior financial staff to ensure that the financial implications and the source of funding are identified. In the submission (R&R or Memorandum to Executive Council), departments are required to identify whether the funds for the proposal are in the budget, and if the proposal is not specifically covered in the budget, then there must be a statement describing the manner in which the department plans to fund the initiative. All R&Rs and Memoranda to Executive Council (Appendix 3-D) require a signature of the Director of Finance or other senior financial staff and no such documents will be considered by either the Executive Council or TPB without such signoff.

**HUMAN RESOURCES CORPORATE SERVICE UNIT**

Proposals must be reviewed by your HR Corporate Service Unit consultant to determine HR implications.

**INFORMATION TECHNOLOGY CORPORATE SERVICE UNIT**

Proposals must be reviewed by your IT Corporate Service Unit consultant to determine IT implications.

**WORKING WITH THE DEPARTMENT OF FINANCE**

Consult with the Department of Finance on the following issues before forwarding items to Executive Council and TPB:

See Transactions and Interactions Guide, Appendix 3-E.

- capital items
- approval for unappropriated financial transactions
- financial statements
- new department program spending
- lease arrangements
- loan arrangements/guarantees
- pension/LTD/PSA
- capital market activities
- investing activities
- cash management
- banking arrangements
- credit rating agencies
- analysts and investors
- tax policy
- revenue (including user fees)
- federal-provincial

**APPROVAL FOR UNAPPROPRIATED FINANCIAL TRANSACTIONS**

Section 59(c) of the *Provincial Finance Act* requires Governor in Council approval to enter into an unappropriated financial obligation. Departments must send the original R&R to the Executive Director, Budgets, Policy and Planning Division, Department of Finance where the recommendation setting out the terms and conditions of, the reasons for, and the request for an authorization for the financial obligation is presented to the Minister of Finance. Upon receipt of such recommendation, the

Minister shall forward the R&R and 59C report to the Executive Council office for Governor in Council approval. Approval will result in an Order in Council (OIC, Appendix 3-F).

**WORKING WITH THE DEPARTMENT OF INTERGOVERNMENTAL AFFAIRS**

A member of Executive Council must have Governor in Council approval before entering into an agreement with the Government of Canada or the government of a province or agency thereof. (See *Public Service Act*, s.6.)

This does not apply in those cases where legislation provides the Minister with specific authority to enter into specific agreements, e.g., *Environment Act* s.47(1) respecting authority to enter into agreement for joint environmental assessment processes.

Before submitting a proposal to Executive Council that has intergovernmental implications (federal or other provincial and territorial governments—not municipal or Aboriginal governments), departments must consult with the Department of Intergovernmental Affairs. The outcome of the consultation must be documented in the formal submission (R&R or Memorandum) to Executive Council. If the subject of the document does not affect or involve the relationships, responsibilities, programs, or policies of the federal or other provincial and territorial governments, please indicate. If the subject may have different impacts on different government levels or different governments, please specify what these may be.

A check-list has been developed to assist departments in assessing whether to propose to Executive Council to enter into an agreement with the Government of Canada or the government of a province or agency thereof. This check-list is not Executive Council/TPB required documentation. It is a tool for departments. (See Appendix 3-G).

**Enquiries**

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