

TRANSACTION GUIDE

* Final decision on routing of submissions and submission requirements are made by the Secretary/Clerk to the Executive Council through the Agenda Management process

	Type of Transaction *	Treasury and Policy Board Approval	Executive Council Approval	Minimum Documentation Required (consult with Cabinet Advisor and Treasury Board Analyst to confirm)	Comments
1	Transactions Requiring Governor in Council (GIC) Approval	Yes, if there are financial implication(s)	Yes	Report and Recommendation (R&R) Communications Plan	
2	Request for Legislation	Yes	If referred by TPB	Memorandum to Executive Council - Request for Legislation Drafting Instructions Communications Plan Treasury and Policy Board Presentation	For all legislation requests, departments must consult with the Office of Regulatory Affairs and Service Effectiveness to determine if a Business Impact Assessment is required. The MEC should include detail on consultation with the Office and (if applicable) results of the Business Impact Assessment.
3	Regulations (New or Amendments)	Yes, if there are financial implication(s)	Yes	R&R Schedule A - New/Amended Regulations Regulations Analysis Form Communications Plan	Regulations approved by Executive Council will be filed with the Registry of Regulations. The Regulation Analysis Form should be appended providing a comparison of regulation changes being requested and rationale for individual clauses. For all regulation requests, departments must consult with the Office of Regulatory Affairs and Service Effectiveness to determine if a Business Impact Assessment is required. The R&R should include detail on consultation with the Office and (if applicable) results of the Business Impact Assessment.
4	Permission to Consult	Yes, if there are financial implication(s)	If referred by TPB	Memorandum to Executive Council Communications Plan	Approval required may depend on the topic and the extent of consultation proposed. Discuss with your Cabinet Advisor.
5	Major Reorganization, Restructuring	Yes	Yes	Memorandum to Executive Council Communications Plan Existing organizational charts Proposed organizational charts	
6	Major Corporate Policy/Strategy New Programs	Yes	If referred by TPB	Memorandum to Executive Council Communications Plan	
7	Additional funding request (in year/out years, including additional FTEs)	Yes	If referred by TPB	Memorandum to Executive Council Communications Plan	
8	Additional FTE request	Yes	If referred by TPB	Memorandum to Executive Council Communications Plan	

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9	Agreements/MOU's with the Government of Canada or the government of a province or agency	Yes, if there are financial implication(s)	Yes	Report and Recommendations Proposed Agreement Communications Plan	<p>Under Section 6 of the <i>Public Service Act</i>, a Member of Executive Council requires Governor in Council approval to enter into an agreement with the Government of Canada or the government of a province or agency. Before submitting a proposal to Executive Council that has intergovernmental implications (federal or other provincial and territorial governments - not municipal or Aboriginal governments), departments are to consult with the Department of Intergovernmental Affairs. The outcome of the consultation must be documented in the formal submission (R&R) to the Executive Council.</p> <p>Departments may consult Cabinet Advisor where there is no direct undertaking between governments through agreements to confirm whether approval is required.</p>
10	Financial Assistance/Investment Transactions requiring GIC approval	Yes	Yes	Report and Recommendation Terms and Conditions of Financial Assistance/Investment Communications Plan For transactions requesting a payroll rebate over \$10M please also include the following: - cash flow schedule - draft business profile	<p>For Financial Assistance/Investment to be made by Statement of Financial Information for the following entities: Community Economic Development Fund Housing Nova Scotia Invest Nova Scotia Nova Scotia Fund Nova Scotia Farm Loan Board Nova Scotia Fisheries and Aqualculture Loan Board (Refer to specific legislation and regulations for these entities.)</p>
11	Loan Guarantees, comfort letters, indemnifications, and environmental indemnities requiring GIC approval	Yes	Yes	Report and Recommendation Section 77 Report (if required)	Department of Finance and Treasury Board must be consulted (Section 77 of the Finance Act)
12	Personal Services Contracts	Yes	If referred by TPB	Memorandum to Executive Council Proposed Contract Communications Plan	<p>The Personal Services Contract Regulations made pursuant to the <i>Public Service Act</i> require approval of Treasury and Policy Board or Executive Council for personal services contracts entered into by departments, offices or government agencies that contain total compensation over \$120,000.</p> <p>Personal services contracts entered into by a department, office or government agency containing total compensation less than \$120,000 must follow a separate approval process.</p> <p>Please see the Personal Services Contract Regulations and Chapter 2.1 of Management Manual 500 for further information.</p>
13	Significant Request for Proposal (RFP)	Yes	If referred by TPB	Memorandum to Executive Council Communications Plan	Large RFPs (particularly those that cannot be funded within existing budget, run for multiple years and/or are financially significant) normally should be approved through an MEC. Other RFPs can be approved through a Professional Services Request as outlined below. Consult with your Cabinet Advisor or Treasury Board Analyst as needed to interpret what format is appropriate.

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14	Professional Services Request	Yes	No	Professional Services Approval Form Procurement Approval Authorization Form (Goods & Services Over \$5000)	Refer to Treasury and Policy Board Administrative Directive - Contracts for Processional Services
15	Labour Bargaining Mandate	Yes	If referred by TPB	Presentation or Memorandum to Executive Council	
16	TCA request (current year or out year)	Yes	If referred by TPB	Memorandum to Executive Council Communications Plan	If additional capital funding is requested that hasn't already been authorized by TPB, then an R&R, Comm Plan, and S.77 Report would be required. If there is any additional capital funding for out years, this should typically go through the Budget process, but if this is not possible, then an R&R, Comm Plan, and S.77 Report will also be required.
17	Reallocations	Yes	If referred by TPB	Presentation to Treasury and Policy Board	Finance and Treasury Board presentation informed by department.
18	Adjudicative Appointments	No	Yes - Consent Agenda	Report and Recommendation or Ministerial Appointment Form Precis Communications Plan	If the appointment is a nomination, please include a copy of the nomination letter.
19	Appointments to Agencies, Boards and Commissions (non-adjudicative)	No	Yes - Consent Agenda	Report and Recommendation or Ministerial Appointment Form Human Resources Committee Form A* Human Resources Committee Guidelines* Application Package Résumés of all recommended appointees* Communications Plan	Where required, the recommendation of Executive Council will be referred to the House of Assembly Standing Committee on Human Resources. If the appointment is a nomination, please include a copy of the nomination letter. * These documents are not required for non-adjudicative appointments exempted from review by the Human Resources Committee. See Rule 60 of the Rules and Forms of Procedure of the House of Assembly for descriptions of the exceptions.
20	Revocation of Appointments to Adjudicative and Non-Adjudicative Agency, Boards and Commissions	No	Yes- Consent Agenda	Report and Recommendation Resignation Letter or E-mail filed by the Board Member Copy of OIC that appointed the Board member Communications Plan	
21	Land Transactions requiring GIC approval	Yes, if there are financial implication(s)	Yes	Report and Recommendation Map Communications Plan Section 77 Report (if required)	Land transactions include Expropriations, sales, purchases, sales at less than market value, easements. Section 77 report under Finance Act is required when the net debt obligation will be or expected to be in excess of \$100,000.
22	DNR/TIR Ministerial land transactions under 25 acres/\$25,000	No	Yes - Consent Agenda	Memorandum to Executive Council Schedule/Summary (must provide type/purpose of transaction, client name, location, size and price)	Covers land administered by DNR under the <i>Crown Lands Act</i> and <i>Wildlife Act</i> and TIR transactions under the <i>Public Highways Act</i> and <i>Surplus Crown Property Disposal Act</i> . One week's notice of disposal is provided through submission.
23	Land Title Clarification Act Release of Crown Interest	No	Yes - Consent Agenda	Memorandum to Executive Council Map Communications Plan	Allows the Crown to release an interest in occupied, unacknowledged Crown land (Green Layer)

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24	Corporate Administrative Policies and Procedures (Management Manuals)	Yes	If referred by TPB	Memorandum to Executive Council Draft Corporate Administrative Policy Communications Plan	All new corporate administrative policies, as well as any material revisions and repeal of corporate administrative policies, require Treasury and Policy Board approval. Template for Corporate Administrative Policy Submissions, Appendix 3-R (See 1.2 Management Manual Policy; < http://www.novascotia.ca/treasuryboard/manuals/100MgmtGuide.htm >).