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Executive Summary

These Guidelines provide an introduction to the University Policy Framework and University Policy Development Cycle as outlined in the Policy Development and Review Policy and associated Policy Development and Review Procedure.

These Guidelines aim to guide the:

- development of all new Policy, Procedures and Guidelines; and
- review of approved Policy, Procedures and Guidelines.

These Guidelines will support the development of a coherent suite of Policy, Procedures and Guidelines relevant to University strategic directions, plans and operations across all academic and management thematic areas.

These Guidelines should be used in conjunction with resources available to support the policy development and review process, including the:

- **Policy Toolkit**, comprising Templates, Information Session presentations and Information Sheets;
- **University Policy Repository** listing all Policy, Procedures and Guidelines; and
- Policy and Delegations Office initiatives.

More information

For further information, contact the Policy and Delegations Office:

Email: [uni.policy@utas.edu.au](mailto:uni.policy@utas.edu.au)
University Governance Instruments, Structures, Plans and Systems

Policy development is contextualised by a series of governance instruments, strategic and operational plans and decision-making structures, including:

- Legislation and By-Laws
- Ordinances
- Rules
- Governance Level Principles
- Delegations Policy and attendant Schedules
- Council Approved Plans
- Subordinate Plans and
- Decision-making Committees.

Legislation

‘Legislation’, for the purposes of these Guidelines, refers to the University of Tasmania Act 1992 (Tasmania), which established the University of Tasmania. This Act was approved by the Tasmanian Government.

By-Laws

‘By-Laws’, for the purposes of these Guidelines, refers to the University By-Laws 1993.

The University of Tasmania Act 1992 (Tasmania) authorises Council to make University By-Laws applicable across the University.

The University By-Laws 1993 relate to the management of University land and regulation and control of roadways and parking of vehicles.

Ordinances

Ordinances are statements which give effect to the University of Tasmania Act 1992 (Tasmania).

The University of Tasmania Act 1992 authorises Council to approve Ordinances applicable across the University.

Ordinances currently in force include the following:

Ordinance 1 The Role of Council
Ordinance 2 The Chancellor and Deputy Chancellors
Ordinance 3 Vice-Chancellor
Ordinance 4 DVC, Pro Vice-Chancellors and Senior Administrators
Ordinance 5 Council Committees
Ordinance 6 Council Delegations
Ordinance 7 Execution of Documents
Ordinance 8 Student Complaints
Ordinance 9 Student Discipline
Ordinance 10 Emeritus Professors
Ordinance 11 Alumni
Ordinance 12 Menzies Research Institute Tasmania
Ordinance 13 Academic Senate
Ordinance 14  Student Services Fund
Ordinance 15  Australian Maritime College
Ordinance 16  Tasmanian University Union Constitution
Ordinance 17  Institute for Marine and Antarctic Studies
Ordinance 30  Endowments, Prizes and Scholarships
Ordinance 33  Academic Dress
Ordinance 42  Affiliated Student Associations
Ordinance 70  Graduate Research
Ordinance 79  Use of Library
Ordinance 80  Statement of Affiliation of JF Hall
Ordinance 83  Research College Board
Ordinance 84  Council Elections
Ordinance 95  Acting Vice-Chancellor
Ordinance 99  Academic Structure
Ordinance 133  Director, Student and Academic Services

Rules

Rules are statements regarding key aspects of the University’s academic and other operations.

The University of Tasmania Act 1992 and Delegations Register authorise Council and Academic Senate to approve Rules applicable across the University.

Rules currently in force include the following:

Rules Approved by Academic Senate
Rule 1  Rules of Awards
Rule 2  Rules of Academic Assessment
Rule 3  Rules of Admission and Student Progress
Rule 4  Rules of Graduate Research
Rule 5  Registration of Graduate Research Supervisors

Rules Approved by University Council
Rule 71  Heads of Disciplines
Rule 101  Library Rules
Rule 107  Council Elections

Governance Level Principles

Governance Level Principles (GLPs) are high level statements of principle, providing University-wide direction and guidance, establishing priorities and allocating responsibilities in key areas.

In accordance with provisions of Ordinance 1 – Role of Council, and Council Resolutions, Governance Level Principles are approved by Council and apply across the University.

Governance Level Principles currently in force include the following:

GLP1  University Governance
GLP2  Risk Management
GLP3  Consultancies
GLP4  Intellectual Property
GLP5  Investment
GLP6  Occupational Health and Safety
Delegations Policy and Schedules

The Delegations Policy provides the framework for delegations of authority: prescribed under the University of Tasmania Act 1992, Ordinances, Rules and Policies; and determined by Council in relation to the University of Tasmania’s administrative functions of finance, human resources, contracts, travel and risk. The Policy is supported by attendant Schedules, including:

- Schedule of Financial Delegations
- Schedule of Contract Delegations
- Schedule of Human Resources Delegations (Part A and Part B)
- Schedule of Travel Delegations
- Schedule of Risk Delegations
- Schedule of Governance Committee Delegations

Council Approved Plans

Council Approved Plans are high level documents which establish the strategic directions for the future development of the University. Approved by Council, these Plans are applicable across the University. Examples of Council Approved Plans include the following:

- Strategic Plan
- University Learning and Teaching Plan
- Research Plan

Subordinate Plans

Council Approved Plans are supported by a suite of subordinate plans prepared by most organisational units. The consistent approach to the presentation of a number of key University plans is supported through the Online Strategic Planning System (http://www.utas.edu.au/strategicplanning/index.php?redirect=/strategicplanning/).

Decision-Making Committees

The Schedule of Governance Committee Delegations outlines responsibilities of peak decision-making committees which may be involved in the policy development process, including:

Council Committees:
- Audit and Risk Committee
- Built Environment Committee
- Ceremonial and Honorary Degrees Committee
- Finance Committee
- Nominations Committee
- Remuneration Committee

Senior Management Team

SMT Committees:
- Planning, Performance and Review Committee (PPRC)
- Strategic Human Resources Committee
- Budget Review Committee
- ICT Strategy Committee
- Infrastructure, Planning and Management Committee
- Web Services Committee

Academic Senate

Academic Senate Committees:
- University Learning and Teaching Committee
- Admissions Policy Committee
- Research College Board
- Board of Graduate Research
- Standing Academic Committee
- Legislation Committee

University Committees:
- Quality Committee
- Internationalisation Committee
- Work Health and Safety Committee
- Alumni Committee
- Foundation Board

University Institute Boards:
- Menzies Research Institute Tasmania Board
- Australian Maritime College Board and Board of Studies
- Institute for Marine and Antarctic Studies (IMAS) Board

In addition, there are a large number of Organisational Unit Committees which may be involved in the policy development process, including:

- Executive Committee
- Learning and Teaching Committee
- Research Committee
- Other, as required

University Policy Framework

The University of Tasmania Policy Framework encompasses a number of policy instruments including:

- Policy
- Procedures
Guidelines

In addition to the range of policy instruments, all Work Health and Safety Minimum Standards must be developed in accordance with this Policy Development and Review Policy.

Policy

Policy is a statement of intent or principle which regulates, directs and controls University operations.

Policy statements are:

- In almost all cases, approved by the Vice-Chancellor;
- In a small number of cases, approved by Council where:
  - A statement of intent or principle is embodied in an Ordinance, Rule or By-Law which must be approved by Council as an Ordinance, Rule or By-Law; or
  - Council approval is required for legal reasons; or
  - Council approval is required in accordance with provisions of the University of Tasmania Act 1992, Ordinance 1 – Role of Council or Delegations Register primarily in relation to policy regarding University finances, risk management or controlled entities; or
  - Council approval of a policy (as a guideline, agreement or Code of Practice) is required to ensure compliance with Ordinance 9 – Student Discipline.

Policy is applicable across the University.

Procedures

Procedures provide step-by-step instructions for implementing a Policy.

Procedures are approved by the Responsible Officer (see below), except in the small number of instances where they require Council approval (refer Policy notes, above).

A Procedure may be applicable across the University or specific to one or more organisational units.

Guidelines

Guidelines are statements providing guidance for the implementation of Policy and/or Procedure.

Guidelines are approved by a Responsible Officer (see below), except in the small number of instances where they require Council approval (refer Policy notes, above).

A Guideline may be applicable across the University or specific to one or more organisational units.

Hierarchy of Instruments, Approval Authorities and Application

The table overleaf contextualises components of the University Policy Framework within the hierarchy of legislation and governance instruments, associated local documents, approval authorities and authorisation sources that apply either across the University or to specific areas.
Table 1: Hierarchy of Instruments, Approval Authorities and Application

<table>
<thead>
<tr>
<th>INSTRUMENTS</th>
<th>APPROVAL AUTHORITY</th>
<th>AUTHORITY THROUGH</th>
<th>APPLICATION</th>
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<tr>
<td>University of Tasmania Act 1992</td>
<td>Government</td>
<td>Australian Constitution</td>
<td>University-wide</td>
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<td>University By-Laws 1993</td>
<td>University Council</td>
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<td>Ordinances</td>
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<td>University of Tasmania Act 1992</td>
<td>University-wide</td>
</tr>
<tr>
<td>Rules</td>
<td>University Council or Academic Senate</td>
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<td>University-wide</td>
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<td>Governance Level Principles</td>
<td>University Council</td>
<td>Ordinance 1 – Role of Council and Council Resolution</td>
<td>University-wide</td>
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<tr>
<td>Council Approved Plans</td>
<td>University Council</td>
<td>University of Tasmania Act 1992, Ordinance 1 – Role of Council and Delegations Register</td>
<td>University-wide</td>
</tr>
<tr>
<td>Policy</td>
<td>Vice-Chancellor or University Council</td>
<td>Policy Development and Review Policy and Delegations Policy</td>
<td>University-wide</td>
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<tr>
<td>Procedures</td>
<td>Responsible Officer</td>
<td>Policy Development and Review Policy</td>
<td>University-wide OR Specific to a local organisational unit(s)</td>
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<td>Guidelines</td>
<td>Responsible Officer</td>
<td>Policy Development and Review Policy</td>
<td>University-wide OR Specific to a local organisational unit(s)</td>
</tr>
<tr>
<td>Local decisions/statements of principle to implement University Plans, Principles and Policy</td>
<td>Dean, Head, Director/Principal or head of Division, Section or Work Unit</td>
<td>Delegations Policy and attendant Schedules and Position Descriptions</td>
<td>Specific to a local organisational unit(s)</td>
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<tr>
<td>Work Instructions</td>
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<td>Forms</td>
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</tr>
<tr>
<td>Information</td>
<td>Various</td>
<td>Various</td>
<td>University-wide OR local</td>
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</tbody>
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University Policy Development Cycle

The *University Policy Development Cycle* generally incorporates a number of discrete stages – which may not necessarily be sequential, but iterative - depending on the particular policy development and review context.

The cycle includes the following stages:

1. Identification of Policy Requirements
2. Nomination of Responsible Officer and Policy Delegate
3. Drafting (Writing)
4. Benchmarking
5. Quality Control
6. Consultation
7. Revision
8. Endorsement
9. Quality Control
10. Approval
11. Promulgation
12. Implementation
13. Implementation and Compliance Monitoring
15. Review and

These stages are outlined clearly in the *Policy Development and Review Procedure*, and some additional explanatory detail is provided below.

**Stage 1 – Identification of Policy Requirements**

The first stage of the University Policy Development Cycle involves the *identification of policy development requirements*, through the identification of:

- Current (and superseded) policy (which may be referred to as ‘old policy’) which needs to be reviewed, updated and transferred to the University Policy Framework; and
- Policy which, having received initial approval under the *Policy Development and Review Policy*, requires review; and
- Policy ‘gaps’, where no current (and/or superseded), or approved policy exist where ‘statements of intent’ are required.

In the first instance, this process was driven by the establishment of the *Operational Policy Development and Review Policy* in April, 2006.

This process may also be driven:

- Internally, for example through performance management processes or internal audit, or arise following the generation of an internal initiative requiring an organisational policy position; or
- Externally driven, for example through Commonwealth and/or State Government policy or budget drivers, changes to revenue generation arrangements or predictions, the economic context or information-technology related developments.
Following identification, a project management approach may be required to progress the policy development process. This may involve:

- Development of a policy project plan;
- Establishment of policy project timeframes; and
- Determination of resourcing requirements.

**Stage 2 – Nomination of Responsible Officer and Policy Delegate**

Nomination of the Responsible Officer and Policy Delegate may be made in a number of ways, however ensuring the correct position (with sufficient seniority) is nominated is important to guide the policy development process to success.

The University Secretary and General Counsel can provide advice where clarification regarding the nomination of the correct Responsible Officer is required.

The Policy Delegate should have sufficient resources (i.e. experience and time) to conduct or coordinate much of the policy development process.

**Stage 3 – Drafting (Writing)**

The next stage of the University Policy Development Cycle involves drafting the policy statements, including, as required, the:

- Policy;
- Procedure;
- Guideline.

This may include:

- Developing current (and/or superseded) policy statements by transferring content to the new templates then reconsidering and updating content; or
- Reviewing approved policy statements scheduled for review; or
- Drafting policy statements to address identified policy 'gaps'.

**Policy**

- Promotes the achievement of the University’s mission, objectives and plans;
- Guides, mandates or constrains conduct or action;
- Generally remains consistent over time; and
- May facilitate compliance and/or reduce institutional risk.

The Policy Template available from the University Policy Website provides a basis for drafting a Policy.

**Procedures**

- Support the implementation of Policy by providing clear instructions;
- Align to a specific Policy in almost (but not) all cases;
- Clearly specify who maintains responsibility to act; and
May specify when regulatory requirements mandate that a Policy be implemented in a particular manner.

The Procedure Template available from the University Policy Website provides a basis for drafting a Procedure.

Guidelines

- Provide guidance to support the good practice implementation of Policy and Procedure;
- Promote consistency of interpretation and application; and
- May suggest or give details of helpful techniques/approaches.

The Guideline Template available from the University Policy Website provides a basis for drafting a Guideline, noting that a large degree of flexibility is provided to support the anticipated variety of Guidelines developed.

Consistency

Components of the University Policy Framework (i.e. Policy, Procedures, Guidelines) must be consistent with:

- Commonwealth and State legislation and regulatory requirements;
- the University of Tasmania Act 1992 and University By-Laws 1993;
- Ordinances, Rules and Governance Level Principles;
- Council Approved Plans and subordinate plans;
- the Delegations Policy and attendant Schedules;
- provisions of other approved Policy;
- Policy, Procedure and Guideline Templates (unless an exception has been granted);
- Industrial agreements; and
- University of Tasmania Glossaries or Dictionaries (e.g. Course Structures Glossary).

Responsible Officers

Responsible Officers for Policy include:

- Senior Management Team members; and
- in a limited number of instances in accordance with the respective Ordinance, Directors or Principals of University Entities.

Responsible Officers for Procedures and Guidelines include:

- Senior Management Team members;
- Directors or Principals of University Entities; and
- heads of University organisational units.

Stage 4 - Benchmarking

Benchmarking may be defined as ‘an objective, ongoing search for best practices and processes ... for organisations committed to achieving world class standards of performance’ (Prescott, 1993). Benchmarking provides an opportunity to examine a range of policy alternatives, and draw on lessons learned by other institutions.
Policy Delegates are required to undertake benchmarking (or access benchmarking reports) to consider Australian and international university’s and related organisation’s responses (e.g. policies) and strategic approaches (e.g. strategic plans).

Refer: McKinnon, Walker and Davis (2000), *Benchmarking: A manual for Australian Universities* to see a number of indicators to initiate benchmarking.

**Stage 5 – Quality Control**

Prior to circulating draft policy (or University-wide procedure or guideline) documentation to the UTAS Policy Network, the Policy Delegate must submit draft policy documents to the Manager, Policy and Delegations for quality control checks. This stage is intended to ensure both compliance with the requirements of the *Policy Development and Review Policy*, and maintain the integrity of the suite of University policy documents. The Manager, Policy and Delegations will liaise with the Policy Delegate where additional amendments of substance are required.

**Stage 6 – Consultation**

Genuine and comprehensive consultation with Policy Stakeholders is fundamental to the University Policy Development Cycle, and underpins successful policy implementation.

The Responsible Officer is responsible for identifying Policy Stakeholders, and the Policy Delegate is responsible for co-ordinating consultation processes to provide opportunities for Policy Stakeholders to participate in the policy development and review process.

The UTAS Policy Network may be accessed to consult with a cross-section of University members. Contact the Manager, Policy and Delegations to access this network for policy consultation purposes.

**Stage 7 – Revision**

The next stage of the University Policy Development Cycle involves revision of the draft documents to reflect outcomes from the consultation process. Contributions from Policy Stakeholders and others may or may not be incorporated into the revised documents, as appropriate.

**Stage 8 – Endorsement**

The University Policy Development Cycle may involve ‘endorsement’ of a particular Policy, Procedure or Guideline prior to submission of the respective document for formal ‘approval’.

University practice will generally dictate endorsement requirements. Alternatively, the Responsible Officer may determine, in conjunction with Governance and Legal, the requirement(s) for endorsement from an appropriate Endorsing Committee.

In most instances:

- Learning and Teaching policy will be submitted to the University Learning and Teaching Committee then Academic Senate for endorsement;
- Research policy will be submitted to the Research College Board then Academic Senate for endorsement;
• Graduate Research policy will be submitted to the Board of Graduate Research then Academic Senate for endorsement;
• Administrative policy will be submitted to a committee for endorsement as required.

Stage 9 – Quality Control

All final draft:

- Policy documents; and
- University-wide Procedure and Guideline documents

must be submitted to the Policy and Delegations Office of Governance and Legal for quality control purposes as outlined in the Policy Development and Review Procedure.

The Policy and Delegations Office will complete quality control processes in relation to all draft policy documents, and University-wide procedure and guideline documents.

Local organisational units are responsible for completing quality control processes in relation to local procedure and guideline documents.

Stage 10 – Approval

The approval process will involve revoking outdated or superseded policy versions and concurrent approval of new/updated policy in accordance with provisions of the Policy Development and Review Policy. Policy approval must be in accordance with established Approval Authorities.

The Policy and Delegations Office of Governance and Legal provides advice regarding policy approval processes, and is responsible for submitting all Policy statements and University-wide Procedures and Guidelines to the Approval Authorities. In such instances, Policy Delegates should submit all policy documentation to the Policy and Delegations Office to progress the approvals process.

Policy Delegates are responsible for submitting local Procedures and Guidelines to the respective Responsible Officer. Liaison with the Policy and Delegations Office of Governance and Legal is not a requirement.

Stage 11 – Promulgation

Responsible Officers are responsible for the widespread promulgation of Policy, Procedures and Guidelines and associated information (including web-based information) to support implementation and compliance.

Promulgation may involve:

- Circulation to relevant organisational units (e.g. email alert; hard-copy distribution);
- Presentations to committees, staff meetings or student groups;
- Conduct of information sessions, training programs and/or discussion groups;
- Inclusion in local web-based Policy Repositories (linked from the University Policy Repository as this is the authoritative source);
- Inclusion in news bulletin and staff briefings;
- Conduct of professional development initiatives focused on implementation of relevant statements.
Governance and Legal shall upload approved and reviewed Policy and University-wide Procedures and Guidelines to the University Policy Repository.

Policy Delegates shall upload approved and reviewed local Procedures and Guidelines to their respective policy websites.

Stage 12 – Implement Policy

Policy implementation is conducted with respect to the specific policy provisions.

Stage 13 – Implementation and Compliance Monitoring

The Responsible Officer and Policy Delegate are responsible for ensuring that policy implementation and compliance is monitored.

Stage 14 – Implementation and Compliance Evaluation

The Responsible Officer and Policy Delegate are responsible for ensuring that policy implementation and compliance is evaluated.

The Policy Development and Review Policy does not stipulate particular evaluation methodologies; however Governance and Legal encourage all Responsible Officers to ensure that policy implementation evaluation is undertaken to guide continuous improvement.

Evaluation outcomes should be used to inform the formal review process.

Stage 15 – Review

Policy instruments are reviewed every three (3) years.

Refer to the Policy Development and Review Policy for review requirements.

Stage 16 – Records Management

Records must be managed in accordance with the Records Management Policy.

Electronic copies of all approved:

- Policy and University-wide Procedures and Guidelines will be maintained by Governance and Legal
- Local Procedures and Guidelines will be maintained by the Policy Delegate

as authoritative source documents.

These documents will be made available to support the policy review process.
Glossary

Approval Authority  Body or position with authority to approve Policy, Procedure or Guideline.

By-Laws  For the purposes of this Policy, refers to the University By-Laws 1993, approved by Council. The University By-Laws 1993 relate to the management of University land and regulation and control of roadways and parking of vehicles.

Code of Conduct  A statement of rules and expectations which has been approved in some formal way but without the legal force of legislation or regulations. They focus on duties and responsibilities for particular circumstances, often outlining the required standard of behaviour (e.g. Code of Conduct in Teaching and Learning, Code of Conduct in Research).

Council  Governing body of the University.

Delegation  To commit powers or functions to others. University Delegations of Authority are set out in the University of Tasmania Delegations Policy and attendant Schedules.

Guideline  A statement providing guidance to support the implementation of a Policy and/or Procedure.

Governance Level Principle  High level statements of principle, providing University-wide direction and guidance, establishing priorities and allocating responsibilities in key areas. In accordance with provisions of Ordinance 1 – Role of Council, and Council Resolutions, Governance Level Principles are approved by Council and apply across the University.

Legislation  For the purposes of this Policy, refers to the University of Tasmania Act 1992 (Tasmania), which established the University of Tasmania. This Act was approved by the Tasmanian Government.

Ordinance  Statements which give effect to the University of Tasmania Act 1992 (Tasmania). The University of Tasmania Act 1992 authorises Council to approve Ordinances applicable across the University.

Organisational Unit  Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.

Policy  A statement of intent or principle which regulates, directs and controls University operations.

Policy Delegate  University officer delegated by the respective Responsible Officer with responsibility for progressing the development and review of a Policy, Procedure and/or Guideline. In most instances, this includes the function of policy writing.

Responsible Officer  Responsible Officers for Policy include:
  • Senior Management Team members; and
  • in a limited number of instances in accordance with the respective Ordinance, Directors or Principals of University Entities.

Responsible Officers for Procedures and Guidelines include:
  • Senior Management Team members;
  • Directors or Principals of University Entities; and
• heads of University organisational units.

Policy Framework
An overarching set of related policies, supporting procedures and guidelines around a central theme.
For example:
• the Learning and Teaching Policy Framework would include all University of Tasmania Learning and Teaching Policy, Procedures and Guidelines; whereas
• the Governance Policy Framework would include all Governance Policy, Procedures and Guidelines.

Policy Stakeholder
Person with a ‘stake’ in the respective Policy, Procedure or Guideline. May include University staff, students, University community members or others identified by the Responsible Officer.

Policy Toolkit
Includes templates, resources and training materials to support the development, review and management of Policy, Procedures and Guidelines.

Procedure
A statement providing step-by-step instructions for implementing a Policy.

Rule
Statements regarding key aspects of the University’s academic and other operations. The University of Tasmania Act 1992 and Delegations Policy and attendant Schedules authorise Council and Academic Senate to approve Rules applicable across the University.

University Policy Framework
Comprises Policy, Procedures and Guidelines.
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<td>January 2012</td>
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<tr>
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<td>Professor David Rich</td>
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<tr>
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