Policy Development and Review Policy

Responsible Officer
University Secretary

Approved by
Vice-Chancellor

Approved and commenced
August, 2014

Review by
August, 2017

Relevant Legislation, Ordinance, Rule and/or Governance Level Principle
University of Tasmania Act 1992
Ordinance 1 – Role of Council
Ordinance 3 – The Vice-Chancellor
Ordinance 6 – Council Delegations
Governance Level Principle 1 – University Governance
Governance Level Principle 13 – Quality Management Framework

Quality Management Policy

Responsible Section / Work Unit
Division of the Vice-Chancellor

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1 Objective

The Policy Development and Review Policy establishes the University Policy Framework which:

- defines University policy\(^1\)
- establishes the range of policy instruments (Policies, Minimum Standards, Procedures and Guidelines)
- specifies Approval Authorities for all policy instruments
- identifies University Policy Development Cycle stages
- defines the application of policy instruments.

2 Scope

All University of Tasmania Policies must be developed in accordance with this Policy Development and Review Policy. This includes University-wide Minimum Standards, Procedures and Guidelines. Minimum Standards, Procedures and Guidelines apply either University-wide or to one or more organisational units. Policy spans management and academic functions.

Transitional Clause

Existing Policies, Minimum Standards, Procedures and Guidelines yet to be transferred to the University Policy Framework in accordance with this Policy Development and Review Policy\(^2\) will remain in force until 31st December, 2014 where:

- there is no breach of Commonwealth or State legislation, the University of Tasmania Act 1992 or University By-Laws 1993
- there is no conflict with Ordinances, Rules, Governance Level Principles or Council Approved Plans
- there is no conflict with Policies, Minimum Standards, Procedures or Guidelines approved in accordance with this Policy Development and Review Policy.

3 Policy Provisions

3.1 University Policy Framework

The University Policy Framework comprises the following policy instruments:

- Policy
- Minimum Standards
- Procedures
- Guidelines

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\(^1\) For the purposes of this document, ‘policy’ means Policy, Minimum Standards, Procedures and Guidelines.

\(^2\) This includes, but is not restricted to:
- i. University-wide policy/minimum standards/procedures/guidelines yet to be transferred to the UTAS Policy Framework (i.e. ‘old’ documents);
- ii. local policy which is not recognised under the UTAS Policy Framework; and
- iii. other policy/minimum standards/procedure/guidelines not adhering to requirements of the Policy Development and Review Policy.
### 3.2 Defining University Policy Framework Components

<table>
<thead>
<tr>
<th>Type</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy</td>
<td>A statement of intent or principle which regulates, directs and controls University operations.</td>
</tr>
<tr>
<td>Minimum Standard</td>
<td>A statement of intent detailing minimum performance requirements and organisational compliance with Work Health and Safety legislation and Codes of Practice.</td>
</tr>
<tr>
<td>Procedure</td>
<td>A statement providing step by step instructions for implementing a Policy</td>
</tr>
<tr>
<td>Guideline</td>
<td>A statement providing guidance to support the implementation of a Policy and/or Procedure.</td>
</tr>
</tbody>
</table>

### 3.3 Approval Authorities

#### 3.3.1 Policy Development Approval Authorities

<table>
<thead>
<tr>
<th>Policy Instrument</th>
<th>Endorsement by Responsible Officer</th>
<th>Endorsement required by Senior Management Team (SMT)</th>
<th>Vice-Chancellor (VC) Approval Required (forwarded by relevant Senior Executive Member)</th>
<th>Council Approval Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policies</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td>NO</td>
</tr>
</tbody>
</table>

NO - unless one of the following considerations is applicable:
- 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 in accordance with provisions of the University of Tasmania Act 1992, Ordinance 1 - Role of Council or Delegations Policy and Schedules primarily in relation to policy regarding University finances, risk management or controlled entities or
- Council approval of a policy (as a minimum standard, procedure, guideline, agreement or Code of Practice) is required to ensure compliance with Ordinance 9 - Student Discipline.

If Yes - (submitted with Council Submission briefing note - Policy Website)

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3 Definitions and Acronyms for other terms used in this Policy are located at section 3.9.
| Minimum Standards, Procedures and Guidelines | YES | NO | NO | NO - unless the following is a consideration:  
Council approval of a policy (as a minimum standard, procedure, guideline, agreement or Code of Practice) is required to ensure compliance with Ordinance 9 – Student Discipline.  
If Yes - (submitted with Council Submission briefing note - Policy Website) |

3.3.2 Policy Review Approval Authorities

Review Approval Authorities are as follows:  

Table 2: Review Approval Authorities

<table>
<thead>
<tr>
<th>Policy Instrument</th>
<th>No Amendment</th>
<th>Minor Amendment*</th>
<th>Major Amendment*</th>
</tr>
</thead>
</table>
| Policies                                | No Approval Authority as no approval required.  
University Secretary                    |              | Vice-Chancellor or Council |
| Minimum Standards, Procedures and Guidelines |              | University Secretary (University-wide documents) or Responsible Officer (University-wide and local documents which only apply to one or more organisational units) | Responsible Officer |

3.4 University Policy Development Cycle

Policy development will be undertaken in accordance with the University Policy Development Cycle, which involves the following key stages:

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

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4 Policy and University-wide Minimum Standards, Procedures and Guidelines will be held in the University Policy Repository and in TRIM, included documents as they are reviewed and amended from time to time.  
5 A minor amendment would generally not modify the substance or intent of the Policy, Minimum Standard, Procedure or Guideline (e.g. minor editorial changes such as amendments to titles or positions).  
6 A major amendment would generally involve changing the substance or intent of one or more Policy, Minimum Standard, Procedure or Guideline clauses.  
7 A report must be provided to the Manager, Policy and Delegations confirming that the review found no need for amendment.
14. Review
15. Records Management.

Whilst the University Policy Development Cycle is staged, it is not necessarily intended to be completely sequential. Completion of the cycle is intentionally iterative, and may involve repetition of some cycle stages.

Implementation of the University Policy Development Cycle is outlined in the Policy Development and Review Procedure.

3.5 Management of University Policy Framework

Management of the University Policy Framework will involve:

- maintenance of the University Policy Framework through this Policy Development and Review Policy
- provision of policy development tools and resources through a Policy Toolkit
- provision and maintenance of a searchable, central University Policy Repository
- support for genuine consultation and broad communication mechanisms to promote transparency and facilitate implementation
- encouragement of continuous policy implementation monitoring and evaluation
- establishment of transparent policy review mechanisms in accordance with policy review schedules.

3.6 University Policy Website

The University will maintain a central Policy Website to support the implementation of this Policy Development and Review Policy.

The Policy Website will provide:

- the online interface with the University Policy Repository
- information regarding the University Policy Framework
- a Policy Toolkit of resources supporting the University Policy Development Cycle
- links to University governance instruments (University of Tasmania Act 1992, University By-Laws 1993, Ordinances, Rules, Governance Level Principles and Delegations Policy and Schedules)
- links to Council Approved Plans and subordinate plans.

3.7 UTAS Policy Network

A UTAS Policy Network will be maintained. This network provides a mechanism for opportunities for policy-related communication, information dissemination and consultation regarding University policy development and review. All University-wide Policies, Minimum Standards, Procedures and Guidelines must be promulgated to the network for consultation. The period of consultation can be negotiated from two to four weeks.
3.8 University Policy Repository

The University will maintain a University Policy Repository providing the authoritative source for all University-wide policy documentation, including all Policies and all University-wide Minimum Standards, Procedures and Guidelines. Loading documents into the University Policy Repository will be a Manager, Policy and Delegations controlled function to ensure the integrity of the repository.

3.9 Definitions and Acronyms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval Authority</td>
<td>Body or position with authority to approve Policy, Procedure, or Guideline.</td>
</tr>
<tr>
<td>By-Laws</td>
<td>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.</td>
</tr>
<tr>
<td>Council</td>
<td>Governing body of the University.</td>
</tr>
<tr>
<td>Delegation</td>
<td>To commit powers or functions to others. University Delegations of Authority are set out in the University of Tasmania Delegations Policy and Schedules.</td>
</tr>
<tr>
<td>Governance Level Principle</td>
<td>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.</td>
</tr>
<tr>
<td>Guideline</td>
<td>A statement providing guidance to support the implementation of a Policy and/or Procedure.</td>
</tr>
<tr>
<td>Legislation</td>
<td>For the purposes of this Policy, refers to the University of Tasmania Act 1992, which established the University of Tasmania.</td>
</tr>
<tr>
<td>Minimum Standard</td>
<td>A clear statement detailing minimum performance requirements in relation to a range of Work Health and Safety issues which may affect people at the University. Minimum Standards provide a link to the Work Health and Safety Regulations and the various Codes of Practice to which the University must comply. Minimum Standards define the intent and requirements necessary to achieve effective health and safety performance, reduce risk and deliver continuous improvement in line with the University’s Work Health and Safety Policy.</td>
</tr>
<tr>
<td>Ordinance</td>
<td>Statements which give effect to the University of Tasmania Act 1992. The University of Tasmania Act 1992 authorises Council to approve Ordinances applicable across the University.</td>
</tr>
<tr>
<td>Organisational Unit</td>
<td>Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.</td>
</tr>
<tr>
<td>Policy</td>
<td>A statement of intent or principle which regulates, directs and controls University operations.</td>
</tr>
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</table>
**Policy Delegate**
University officer delegated by the respective Responsible Officer with responsibility for progressing the development and review of a Policy, Minimum Standard, Procedure and/or Guideline. In most instances, this includes the function of policy writing.

**Policy Framework**
An overarching set of related policies, supporting minimum standards, procedures and guidelines around a central theme.

**Policy Stakeholder**
Person with a ‘stake’ in the respective Policy, Minimum Standard, 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, Minimum Standards, Procedures and Guidelines.

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

**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.

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

**University Policy Framework**
Comprises Policies, Minimum Standards, Procedures and Guidelines.

### 4 Supporting Documentation
- Policy Development and Review Procedure
- Policy Development and Review Guidelines
- Policy, Minimum Standard, Procedure and Guideline Templates
- Submission Templates
- Benchmarking Policy

### 5 Versioning

<table>
<thead>
<tr>
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<tbody>
<tr>
<td></td>
<td>Version 3 - Policy Development and Review Policy; updated with new transitional date of existing policies, procedures and guidelines to the University Policy Framework; approved December, 2012.</td>
</tr>
</tbody>
</table>
Current Version  Version 4 - Policy Development and Review Policy (current document); reviewed and updated with new transitional date of existing policies, procedures, minimum standards and guidelines to the University Policy Framework; updated consultation process for all university-wide applicable documentation; policy amended to reflect amendments to GLP 1 & 6 to include minimum standards as mandatory documents in policy framework, Council resolution 14/4/250, June 2014; approved Vice-Chancellor, August, 2014.

<table>
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<tr>
<td>Identification of Policy requirements</td>
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<tr>
<td>Others through recommendation to Responsible Officer</td>
</tr>
<tr>
<td>Nomination of Responsible Officer and Policy Delegate</td>
</tr>
<tr>
<td>Drafting</td>
</tr>
<tr>
<td>Benchmarking</td>
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<tr>
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