Policy Development and Review Procedure

Related Policy
Policy Development and Review Policy

Responsible Officer
University Secretary

Approved by
Vice-Chancellor

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Review by
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Responsible Section / Work Unit
Division of the Vice-Chancellor

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1 Objective

This Procedure provides instructions to facilitate the implementation of the Policy Development and Review Policy.

2 Scope

All University of Tasmania Policies, Minimum Standards, Procedures and Guidelines must be developed in accordance with this Policy Development and Review Procedure.

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 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 Policy, Minimum Standards, Procedures or Guidelines approved in accordance with this Policy Development and Review Policy.

3 Procedure

3.1 University Policy Development Cycle

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.

3.1.1 Stage 1 - Identification of Policy Requirements

The Responsible Officer is responsible for identifying policy development and review requirements. The Responsible Officer may establish the need for policy development by identifying:

- existing University of Tasmania policy yet to be transferred to the University Policy Framework in accordance with provisions of the Policy Development and Review Policy
- policy ‘gaps’ where no University-wide policy exists and is required
- approved Policies, Minimum Standards, Procedures or Guidelines requiring review.

The Manager, Policy and Delegations may provide advice or make recommendations to the Responsible Officer regarding University policy requirements.

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1 This includes, but is not restricted to:
   i. University-wide policies/minimum standards/procedures/guidelines yet to be transferred to the UTAS Policy Framework (i.e. ‘old’ documents);
   ii. other policies/minimum standards/procedures/guidelines not adhering to requirements of the Policy Development and Review Policy.
The Responsible Officer and/or the Manager, Policy and Delegations will determine:

- whether a policy should and will be developed and/or reviewed
- whether a Policy, Minimum Standard, Procedure and/or Guideline is an appropriate policy instrument to deal with the matter, or recommend alternative means.

Recommendations must be approved by the respective Responsible Officer prior to the commencement of the development of a Policy, Minimum Standard, Procedure or Guideline.

### 3.1.2 Stage 2 - Nomination of Responsible Officer and Policy Delegate

The Responsible Officer\(^2\) shall be the most senior position strategically responsible for the particular Policy, Minimum Standard, Procedure or Guideline in question. Where clarification is required, the Manager, Policy and Delegations, may advise the appropriate Responsible Officer.

The Responsible Officer has:

- authority to develop and review Policy
- authority to submit Policy to the Approval Authority for approval
- authority to develop, review and approve Minimum Standards, Procedures and Guidelines
- overarching responsibility for the Policy, Minimum Standards, Procedures and/or Guidelines
- responsibility for ensuring implementation
- responsibility for ensuring reporting
- responsibility for ensuring implementation and compliance monitoring and evaluation
- responsibility for ensuring review in accordance with the scheduled review dates.

A Responsible Officer must nominate a Policy Delegate to implement the policy development and review process. In a small number of instances, the Responsible Officer may also be the Policy Delegate.

The Policy Delegate is responsible for:

- drafting
- benchmarking
- consultation
- revision
- submission of draft documents to University committees or senior positions for endorsement, where required
- submission of final draft documents to the Policy and Delegations Office
- promulgation (other than that undertaken by the Manager, Policy and Delegations)
- implementation
- compliance monitoring and evaluation

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\(^2\) 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 Minimum Standards, Procedures and Guidelines include Senior Management Team members, Directors or Principals of University Entities and heads of University organisational units.
• review
• records management.

The Responsible Officer or Policy Delegate may establish a Policy Working Party to support the University Policy Development Cycle.

3.1.3 Stage 3 - Drafting

Policy must be drafted 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
• industrial agreements
• Delegations Policy and Schedules.

The University Policy Website will provide ready access to these resources.

The Policy Delegate may seek advice regarding Commonwealth and State legislative and regulatory requirements from the Legal Office.

The Policy Delegate must draft policy using the templates available through the Policy Toolkit (i.e. Policy, Minimum Standard, Procedure and Guideline Templates) and may seek advice regarding Commonwealth and State legislative requirements from the University Legal Office. Policy should be drafted in plain English, using inclusive language.

The Manager, Policy and Delegations, will provide assistance to University members drafting Policy, Minimum Standards, Procedures and Guidelines.

3.1.4 Stage 4 - Benchmarking

The Policy Delegate must undertake or refer to benchmarking to consider other Australian University and/or related organisation's policy (i.e. Policy, Minimum Standard, Procedure and Guideline) in line with the University of Tasmania's Benchmarking Policy.

The Manager, Policy and Delegations will provide assistance to University members conducting policy benchmarking.

3.1.5 Stage 5 - Consultation

The Responsible Officer and Policy Delegate will identify Policy stakeholders relevant to the specific policy document under development and undertake internal consultation.

The Policy Delegate will co-ordinate and undertake genuine consultations with identified Policy stakeholders and interested University members. Policy stakeholders must be consulted through the policy development and review process to contribute to quality policy development and foster support for implementation.
The Policy Delegate must forward a copy of draft Policies, Minimum Standards, Procedures and Guidelines to the Manager, Policy and Delegations, so they can upload all applicable university-wide Policies, Minimum Standards, Procedures and Guidelines for advice to the UTAS Policy Network.

Responses, comments and feedback must be forwarded from Policy stakeholders and the UTAS Policy Network to the Policy Delegate.

3.1.6 Stage 6 - Revision

The Policy Delegate will revise draft policy documentation in response to Policy stakeholder and other contributions, as appropriate.

3.1.7 Stage 7 - Endorsement

Policy must be endorsed prior to submission to the Approval Authority for formal approval, as required.

The Responsible Officer must determine whether draft policy must be submitted to, and endorsed by, an endorsing committee prior to submission to the Approval Authority for formal approval.

In most, but not all, instances:

- Teaching and Learning policy will be submitted to the University Teaching and Learning 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 Research Degrees Committee, the Research College Board and Academic Senate for endorsement.
- Administrative policy will be submitted to a committee for endorsement as required.

Where policy is submitted to an endorsing committee, the Policy Delegate must make subsequent amendments, as required. The Policy Delegate must also hold relevant minutes of endorsing committee meetings, any details of submissions to Council and/or Academic Senate, keeping copies of Senior Management Team and Vice-Chancellor Briefing notes as appropriate to submit with policy documentation to the Manager, Policy and Delegations.

3.1.8 Stage 8 - Quality Control

The Policy Delegate must submit final draft policy documents to the Manager, Policy and Delegations.

The Policy and Delegations Office will conduct quality control checks to:

- enhance the rigor of policy documentation
- ensure compliance with requirements of the Policy Development and Review Policy
- maintain consistency in terms of presentation, language and formatting.
The Manager, Policy and Delegations will liaise with the Policy Delegate where additional amendments of substance are required.

3.1.9 Stage 9 - Approval

Policy approval must be in accordance with Approval Authorities established in the Policy Development and Review Policy.

In relation to all Policy, and University-wide Minimum Standards, Procedures and Guidelines:

- Policy Delegates shall submit final drafts and associated submission documentation to the Manager, Policy and Delegations

The Approval Authority shall consider the draft Policy and/or Minimum Standard, Procedure and Guideline and:

- approve as presented
- approve pending amendment
- require further consideration and/or amendment or
- not approve.

Documentation must be returned to the:

- Manager, Policy and Delegations (in the case of Policy, and University-wide Minimum Standards, Procedures and Guidelines) and the Policy Delegate

Outdated or superseded policy versions will be revoked as new/updated policy is approved in accordance with the provisions of the Policy Development and Review Policy.

In relation to Policy and University-wide Procedures, Minimum Standards and Guidelines, the Manager, Policy and Delegations will:

- make final annotations on the Policy, Minimum Standard, Procedure and/or Guideline document, as required
- liaise with the Responsible Officer and Policy Delegate where amendments are required (or the document was not approved)
- advise the Responsible Officer and Policy Delegate where approval (or approval pending amendment) was granted
- provide an electronic copy of the approved document to the Responsible Officer and Policy Delegate for record-keeping and review purposes
- input relevant documentation and approved documents in TRIM.
Table 1: Policy Approval Authorities

<table>
<thead>
<tr>
<th>Policy Instrument</th>
<th>Responsible Officer</th>
<th>Senior Management Team (SMT)</th>
<th>Vice- Chancellor (VC) Approval Required (forwarded by relevant Senior Executive Member)</th>
<th>Council Approval</th>
</tr>
</thead>
</table>
| Policies          | YES                 | YES (submitted with SMT briefing note - Policy Website) | YES (submitted with VC briefing note - Policy Website) | 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  
- 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) |
| 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) |
3.1.10 Stage 10 - Promulgation

Policy will be broadly promulgated to support implementation and compliance.

The Responsible Officer and Policy Delegate will implement communication strategies to broadly promulgate approved policy and any supplementary documentation or resources developed (e.g. forms) to Policy Stakeholders to support implementation and compliance.

The Manager, Policy and Delegations will upload approved Policy, Minimum Standards, Procedures and Guidelines to the University Policy Repository. These documents will represent the authoritative source.

The Manager, Policy and Delegations will incorporate advice of recently updated policy details in the University Policy Website’s-Policy and Delegations Announcements webpage.

3.1.11 Stage 11 - Implementation

The Responsible Officer will oversee the implementation of approved policy in accordance with provisions of the respective policy statements.

3.1.12 Stage 12 - Compliance Monitoring and Evaluation

The Responsible Officer and/or Policy Delegate will establish and implement monitoring mechanisms to monitor policy compliance and evaluate implementation, informing the formal review process.

3.1.13 Stage 13 - Review

All Policy, Minimum Standards, Procedures and Guidelines must be reviewed every three years following approval. Reviews may also be held at any time should a critical issue arise.

The review must involve:

- consultation with Policy stakeholders
- consideration of the congruence between policy statements and:
  - Commonwealth and State legislation
  - the *University of Tasmania Act 1992*
  - *University By-Laws 1993*
  - Ordinances
  - Rules
  - Governance Level Principles
  - Council Approved Plans and subordinate plans
  - Industrial Agreements
  - Delegations Policy and Schedule
- consideration of the policy content
- evaluation of policy implementation.

Once completed, the Responsible Officer must recommend to:
• the Manager, Policy and Delegations in the case of Policy and University-wide Minimum Standards, Procedures and Guidelines or either that:

1. no changes have been made or
2. minor amendments have been made or
3. major amendments have been made or
4. the policy is to be revoked as it is no longer required.

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). A major amendment would generally involve changing the substance or intent of one or more Policy, Minimum Standard, Procedure or Guideline clauses.

3.1.14 Stage 14 - Records Management

Policy Delegates must maintain records for all policy development and review projects in accordance with the Records Management Policy.

University-wide Policy, Minimum Standard, Procedure and Guideline documentation will be maintained centrally and coordinated by the Manager, Policy and Delegations through records management systems (including TRIM), and made available through the University Policy Repository.

3.2 University Policy Website

The Manager, Policy and Delegations will manage and administer the University Policy Website.

3.3 University Policy Repository

The Manager, Policy and Delegations will manage and administer the University Policy Repository.

3.4 UTAS Policy Network

The Manager, Policy and Delegations will co-ordinate the UTAS Policy Network.

3.5 Management of University Policy Framework

The University Policy Framework will be managed in accordance with provisions of the Policy Development and Review Policy.

3.6 Post-Approval Procedures

The Manager, Policy and Delegations will manage completion of the following post-approval procedures:

• make final approval annotations to policy documentation
• save final WORD and PDF copies (in Approved Policy files and specific Development/Review files and TRIM)
• circulate final WORD and PDF copies to Policy Delegate and Responsible Officer for records and review purposes
• make Policy and Delegations Website changes:
  - upload policy/minimum standard/procedure/guideline to Policy Repository (i/ Category List and ii/ Alphabetical List)
  - make amendments to Policy Repository – Alphabetical List notations and contacts
  - make Policy and Delegations web announcements
  - delete revoked policies/minimum standards/procedures/guidelines from Policy Repository (i/ Category List and ii/ Alphabetical list)
  - arrange versioning
  - amend Policy Review Schedule and upload revised document to web
  - amend Policy Development List and upload revised document to web
• make amendment to Policy Register (i/ Approved policies/minimum standards/procedures/guidelines; ii/ Reviewed policies/minimum standards/procedures/guidelines)
• notify relevant Section to delete revoked policies/minimum standards/procedures/guidelines from their webpage.

4 Definitions and Acronyms

Approval  Body or position with authority to approve Policy, Procedure, Minimum Standard or Guideline.
Authority  Minimum Standard 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.
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 Schedule.
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, which established the University of Tasmania.
Minimum Standard  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.
Ordinance  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.

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, Minimum Standard, 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 Minimum Standards, Procedures and Guidelines include:
• Senior Management Team members;
• Directors or Principals of University Entities; and
• Heads of the University’s organisational units.

Policy Framework
An overarching set of related policies, supporting procedures, minimum standards 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.

Rule
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.

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

5 Supporting Documentation
• Benchmarking Policy
• Quality Management Policy
• Minimum Standard, Procedure and Guideline Template

6 Versioning

| Former       | Version 1 - Operational Policy Development and Review |
| Version(s) | Procedure; approved April, 2006; reviewed January - November, 2010.  
Version 3 - Policy Development and Review Procedure (current document); updated with new transitional date of existing policies, procedures and guidelines to the University Policy Framework; approved December, 2012. |
| Current Version | Version 1 - Policy Development and Review Procedure (current document); reviewed and updated to align with new approved policy amendments; update new transitional date of existing policies, minimum standards, procedures and guidelines to University Policy Framework; updated to reflect amendments to GLP 1 & 6 to include minimum standards as mandatory documents in policy framework, Council resolution 14/4/250, June 2014 |