POLICY DEVELOPMENT AND REVIEW MANUAL
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Approved 31 March 2006
1. PURPOSE OF THIS MANUAL

In response to growing demands for clarity, transparency and accountability in publicly funded institutions, Australian universities are being required to put in place standard structures and processes for organisational governance.

This Manual is designed to help University of Tasmania policy makers create policies that are necessary, current, relevant, useful and that are developed and presented in a uniform way.

It outlines a standard Policy Development and Review Process for the design, approval, implementation, monitoring and review of University Operational Policies and Procedures.

The process has been approved by the Vice-Chancellor and is administered by Governance and Legal.

The new Policy Development and Review Process is not designed to replace existing University mechanisms for the development and review of policy. Policy development will continue to use the established system of committees and other decision-making structures.

What will change will be the way all policies will now be uniformly recorded and presented.

Comments and questions on this manual or the policy process are welcomed and should be addressed to: Uni.Policy@utas.edu.au.
2. OUTLINE OF UNIVERSITY OF TASMANIA GOVERNANCE

2.1 General Features of the Governance Framework

The Council of the University of Tasmania has instigated a Governance Framework to establish a coherent structure for the effective management of the University and its operations.

The development of the Governance Framework is overseen by a Steering Committee chaired by the Chancellor and having, as members, the Deputy Chancellor, Vice-Chancellor, Deputy Vice-Chancellor, Chair of the Council’s Finance Committee and Chair of Academic Senate.

The Governance Framework consists of four elements:

1. University Ordinances defining the roles, delegations and accountabilities of the University’s Governing Entities. There are three of these Governing Entities: University Council; the Vice-Chancellor and the Senior Management Team; and the Academic Senate;
2. the University’s Operating Statement that guides the interactions of the Governing Entities in pursuing the effective operations of the University;
3. University Council approved Strategic Plans; and

Higher-level University statements of policy intent, such as Ordinances, Strategic Plans, the Operating Statement and Governance Level Principles are all approved by Council.

Underlying and giving effect to these high-level statements of policy will be a consolidated series of Operational Policies and Procedures. These relate to the day-to-day management of the University.

This manual focuses on these Operational Policies and Procedures and the new structures and processes being introduced for their development, review, recording and implementation.

2.2 The Policy Process

In support of the newly instigated Governance Framework the Council has also approved the development of a coordinated system of policy development and review. This integrated set of Principles, Operational Policies and Procedures is briefly described below.

- **Governance Level Principles** are high-level statements of the principles under which the University operates in key areas. They are established by the Council and apply across the University. These Principles provide high level direction and guidance, set priorities and allocate responsibilities in these key areas.
Governance Level Principle No. GLP1 – University Governance sets out the general structure of the Governance Framework. Details of the full list of Governance Level Principles can be found at www.utas.edu.au/universitycouncil/policyframework/

The implementation of Governance Level Principles is through supporting Operational Policies and Procedures and, if necessary, Operational Guidelines and Standards.

- **Operational Policies** set out rules for action (ie what should be done) for specific university operating arrangements or circumstances (for example, IT procurement). These apply across the University and, in general, they are approved by the Vice-Chancellor. University Operational Policies can be mandatory, having to be put in place in response to legislation or government directions or generated within the University as a result of Council or management decisions. In some cases, because of legal requirements, some Operational Policies might have to be embodied in University Ordinances or By-Laws. In other cases, the policy involved might be particularly far-reaching for the University and its operations. In these circumstances, policies will need to be approved by Council. All Operational Policies must comply with relevant higher levels of University governance, such as relevant legislation, ordinances, rules, principles and plans.

- **Operational Procedures** apply within a specific area of University operations. They provide guidance on implementing particular Operational Policies (ie how to do it). Procedures are approved by the head of the University work unit responsible for the implementation and management of specific Operational Policies. Some procedures can apply university wide (for example, procedures for areas of information management – access to uni facilities, bulk e-mails etc) or apply within a Faculty, School, Division or other University work unit.

- **Operational Guidelines and Standards.** In some instances Operational Procedures might be insufficient to implement specific Operational Policies and more detailed directions might be required. This can be done through additional Guidelines or Standards. These more prescriptive instructions are to be used in conjunction with Operational Procedures and are described more fully in Chapter 4.

### 2.3 Operational Policy Development and Review

Previously, the University has had no agreed, single means of developing, introducing and reviewing the Operational Policies and Procedures that support University governance.

This Manual introduces a Policy Development and Review Process that provides an approved, University-wide system for the development, review, recording, promulgation and implementation of university policies. It will apply
to the development of all new University Operational Policy. Over time, it will be used to review and standardise existing University policies, procedures, guidelines and standards.

The formal statements of University Operational Policy and Procedures for Operational Policy Development and Review can be found in Chapters 5 and 6 of this Manual.

The University Council believes that the process will reduce complexity and increase accessibility and accountability in University governance.

The policy process provides for a system of policies, procedures, guidelines and standards that are:

- uniformly presented;
- systematically recorded;
- readily understood; and
- easily identified and accessed.

The Policy Development and Review Process:

- is based on standard and commonly used definitions;
- has an identified authority for approval;
- follows transparent and standardised procedures;
- involves appropriate consultation as required;
- identifies who is responsible for the development, implementation, monitoring and review of policies;
- uses already established University administrative methods and structures (for example, appropriate committees);
- produces standardised and clearly identified policy documents;
- is supported by clearly identified sources of advice; and
- will be widely and easily accessible.

2.4 Responsibilities for Operational Policy

University Operational Policy will continue to be made and implemented by those managers delegated with the responsibility and authority for University policies in particular areas. These managers are referred to as the Policy Makers. They include: the Vice-Chancellor and members of the Senior Management Team, and Heads of: Schools; Administrative Sections; or University Institutes, Centres or other work units.

The Policy Development and Review Process will continue to use existing University consultation mechanisms and processes wherever possible.

The Vice-Chancellor will now approve all new Operational Policies, other than those that, because of their import, or for legal reasons, need to be approved by Council. Governance and Legal can provide advice on what will be the appropriate approval authority (the Vice-Chancellor or Council).
Delegated policy makers will be responsible for approving Operational Procedures, Guidelines and Standards that support Operational Policies.

In some cases, it might be necessary for Operational Policies to be endorsed by University governing entities such as the Academic Senate or University Council Committees prior to approval by the Vice-Chancellor or Council. Whether this is necessary should be determined by consultation between the Policy Maker and Governance and Legal.

Governance and Legal will administer the policy development and review process. It will be responsible for:
- providing advice on the policy development and review process;
- seeking policy approvals from the Vice-Chancellor (or Council if required); and
- maintaining policy databases on the University web page.

2.5 5 Implementing Operational Policies and Procedures

The final stage of the Policy Development and Review Process is the implementation of approved new Operational Policies or Operational Procedures. Implementation will usually be the responsibility of the Policy Maker.

Implementation:
- probably will impact on different groups of University members or work units;
- could have resource implications (people and financial); and
- could make significant changes to University practices.

To ensure the smooth introduction of new Policies and Procedures each should be accompanied by an approved Implementation Plan. This plan must address the following elements:

- implementation issues – How will the Operational Policy be communicated? Will any additional staff training be required? Are there additional costs (or savings)? etc
- actions – what specific actions are required to address each issue?
- responsibilities; and
- timing.

Implementation Plans should be approved by the responsible Policy Maker. A key part of the approval is to ensure that any resources required to effectively implement the new policy or procedure are available.

Further details and a standard form for an Implementation Plan are given in Chapter 8.
3. USING THE MANUAL

3.1 Stages of Policy Development and Review

This Manual provides the materials for creating or reviewing policy using the University of Tasmania’s approved Operational Policy Development and Review Process.

The development of new University Operational Policies is a staged process consisting of:

- **Stage 1** - identification of the need in a particular area;
- **Stage 2** - development or review;
- **Stage 3** - approval;
- **Stage 4** - publication; and
- **Stage 5** - implementation.

Stages 1, 2 and 5 are largely the responsibility of the delegated Policy Maker. These steps would be expected to take place using the resources and structures of the policy maker’s work unit or area of responsibility.

**Stage 3** is undertaken either by the Vice-Chancellor or, where appropriate, the University Council, on advice from the relevant Policy Maker or Committee as appropriate.

**Stage 4** is the responsibility of Governance and Legal. However, Governance and Legal will be available to provide advice and assistance throughout the Policy Development and Review Process.

It is strongly advised that Policy Makers consult Governance and Legal prior to initiating the formal policy process. This can save considerable effort by:

- clarifying the objectives of the policy;
- determining the approval authority (the Vice-Chancellor or University Council);
- ascertaining whether any particular groups (such as Academic Senate or University Council or other Committees) are needed to endorse the policy prior to approval;
- determining the need for associated procedures, guidelines or standards; and
- discussing the development of the Implementation Plan.
3.2 Parts of the Manual

**Chapter 4** – outlines the Standards for Policy Development and Review for the University of Tasmania. They should be adhered to in all policy development or review.

These standards:

- outline the need for policy and procedures and the characteristics of good ones;
- more closely define terms;
- describe the required writing style for University policies and procedures; and
- set out some of the key questions to be asked by Policy Makers in determining the need for policy development or review in a particular case;

**Chapter 5** – is the formal policy for Operational Policy Development and Review in the University of Tasmania as approved by the Vice-Chancellor. It states the intent of the policy; defines relevant terms; and assigns responsibilities for actions directly relating to the policy.

**Chapter 6** – outlines the approved Operational Procedure for Policy Development and Review. The procedure is not prescriptive but outlines a series of key **Steps** that would normally be expected to be undertaken. These Steps are detailed in the Procedure.

**Chapter 7** – contains the approved forms for both Operational Policies and Operational Procedures (if required). These forms must be used during the development and review of policies and procedures.

A third form - the Operational Policy Tracking Sheet must also be completed and accompany the Operational Policy when it is submitted for approval. The Tracking Sheet provides a record of the steps a new Operational Policy has gone through prior to being submitted for approval.

The Tracking Sheet would normally be signed off by the:

- Policy Delegate;
- Policy Maker;
- Director, Governance and Legal; and
- Chair of any appropriate University Committee endorsing the policy.

The Operational Policy Development and Review Process does not specify formats for associated guidelines and standards as they are likely to vary on a case by case basis, depending on requirements. In some areas they could be substantial technical manuals, in others brief schedules attached to Operational Procedures. However, if used, guidelines and standards must follow the approved Standards for Policy Development and Review.
Chapter 8 – contains the Policy Implementation Plan Form. An Implementation Plan must be developed and approved for every policy and procedure developed or reviewed.

Chapters 4-8 are to be followed in all development and review of University Policies and Procedures.
4. STANDARDS FOR POLICY DEVELOPMENT AND REVIEW

4.1 Operational Policies in the Governance Framework

As discussed in Chapter 2 the Council has instigated a comprehensive Governance Framework. This is supported by a policy structure that encompasses: Ordinances and By-Laws, to statements of general and strategic policy to supporting and enabling statements of increasing detail and specificity.

The policy structure that supports the Governance Framework consists of:

- **Ordinances** are statements that are approved by Council to give effect to the *University of Tasmania Act 1992*.
- **By-Laws** are the rules specified by the *Act* or approved by Council that relate to the management of University land and property.
- **Council approved Plans** set strategic directions for the future development of the University. They also establish targets for achievement and performance in specific areas (finances, student profile etc);
- **Governance Level Principles** are high-level statements of the principles under which the University operates in key areas. They are established by the University Council and apply across the University. These Principles provide high level direction and guidance, set priorities and allocate responsibilities in these key areas.
- **Operational Policies** approved by the Vice-Chancellor (or Council if required). These are also broad University-wide statements that declare intent in a particular area of operations or govern specific circumstances. They are linked to, and support, higher levels of University policy.
- **Operational Procedures**, guidelines and standards approved by senior University managers. Operational Procedures specify how specific policies are to be enacted. Guidelines and standards can be used in particular conditions where procedures need more detailed instructions or technical details to implement the relevant policy.

As part of the developing Governance Framework, the Council and the Vice-Chancellor have also approved a series of revised *delegations of authority*. These define the specific level of decision-making for different levels of University management. Delegations already approved by the Council or the Vice-Chancellor can be found in the Delegations Register at: [www.utas.edu.au/universitycouncil/policyframework](http://www.utas.edu.au/universitycouncil/policyframework).

Section 1 – (General) of the revised delegations gives the authority to managers to ‘do all things necessary to implement the approved plans, principles and policies of the University’ in their areas of responsibility. Effectively this provides senior managers with the authority to:
- instigate policy development and review;
• develop and endorse Operational Policies for approval by the Vice-Chancellor (or Council if required);
• approve any necessary Operational Procedures, guidelines or standards; and
• implement new policies, procedures, guidelines and standards.

Managers delegated the authority to develop and review Operational Policies related to their areas of responsibility are designated as **Policy Makers**.

These Policy Makers include: the Vice-Chancellor and the Senior Management Team (Deputy Vice-Chancellor, Pro-Vice Chancellor (Research), Pro-Vice Chancellor (Teaching and Learning), Executive Director, Finance and Administration, Executive Director, Planning and Development, Chair of Academic Senate and Deans of Faculties); and Heads of Schools, Administrative Sections, Centres, Institutes or other University work units.

The new Policy Development and Review Process is not intended to substantially change the way policy is developed and reviewed in the University. Under the new process, in combination with the delegations of authority, the role of Policy Makers in instigating, developing and implementing policy will be strengthened.

Policy Makers will be expected to use established mechanisms for discussion, development and consultation on policy. The major change will be that, for the first time, a single system for approving, recording and promulgating policy will be introduced across the whole University.

### 4.2 Document Definitions

The term Operational Policy has been introduced to define those areas of policy which apply to the whole of the University and are usually approved by the Vice-Chancellor. These are the ‘policies’ which form part of the set of integrated Principles, Policies and Procedures supporting University Council’s Governance Framework.

Operational Policies reflect the ‘rules’ governing the implementation of University operations and processes. They are statements of general intent in a particular area of operations or circumstances. Operational Policies would be expected to remain stable over time with modifications being required only in response to substantial changes in the external and/or internal operating environment of the University.

In general, an Operational Policy defines the position of the University on a particular operational issue or for an operational activity and by which the University and its members (staff, students and associates) are required to conduct the activities of the University consistent with university values and principles.
An Operational Policy:

- promotes the achievement of the university’s mission, objectives and plans;
- guides, mandates or constrains conduct or action in an important area of operations;
- will generally be consistent over time;
- applies across the university;
- can help ensure compliance and/or reduce institutional risk; and
- with some exceptions, (noted below) will be approved by the Vice-Chancellor.

The exceptions are when, for legal reasons, Operational Policies may sometimes have to be embodied in Ordinances, Rules or By-laws and therefore approved by the University Council. Or if the policy deals with a particularly far-reaching issue it is appropriate for it be approved by the Council. Governance and Legal Section will provide advice on the appropriate approval authority (Vice-Chancellor or Council).

Operational Procedures, on the other hand, provide the instructions for the implementation of Operational Policy. They would be expected to evolve over time as new tools emerge, new processes are designed, and the risks associated with an operational area change in response to internal or external drivers.

An Operational Procedure specifies how a particular policy is to be applied. They:

- provide broad direction on how policy must be implemented;
- are always linked to a specific policy;
- will always contain mandatory elements but may also contain optional elements (to be used as required by the situation);
- are narrower in scope than policies;
- must be clear and sufficiently detailed to enable consistent application;
- clearly specify who has the responsibility to act;
- are often specified when regulatory requirements mandate that a policy be implemented in a particular manner (for example, OHS or financial instructions);
- may come into being through external influences, for example changes in legislation or government regulations; and
- are approved by the head of the relevant University operational area (the Policy Maker).

In some cases, more detailed guidelines or standards will need to be put in place to properly implement policy. The use and development of these will be at the discretion of the responsible Policy Maker.

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Guidelines suggest how certain functions could be performed where the procedure is not prescriptive. They:

- are aimed at achieving best practise application of policy and procedure across the university;
- are non-mandatory (they may be disregarded where particular circumstances make them inappropriate);
- support the implementation of policy;
- promote consistency of interpretation and application across the university; and
- may suggest or give details of helpful techniques/approaches.

Standards are used when an activity or action must conform to set specifications of procedure or meet mandated conditions. Standards might be developed within the University or need to conform to international or Australian standards. Standards are usually referred to in operational procedures rather than being attached or quoted in full.

### 4.3 Characteristics of Good Policy Documents

The overall goal for any policy document is for the design to be simple, consistent and easy to use.

**Good Policies (and Procedures):**

- are necessary;
- do not duplicate any other policy or part of any other policy operating within the University;
- are written in clear, concise, simple language;
- have clear accountabilities;
- designate ‘policy experts’ who are readily available to interpret policies and procedures and resolve problems; and
- as a body, represent a consistent and logical framework.

The documents should:

- be uniform (for Operational Policies and Procedures) and use the standard formats provided in this Manual;
- be concise: with a minimum of explanatory detail;
- be factual: all statements made should be double checked for accuracy;
- be relevant: they should not contain information that could become quickly outdated (for example, names of people occupying specific positions, costs and charges, contact details etc);
- be understandable: they should be written in language that can be understood by a lay-person and should not use excessive technical terms or jargon;
• have acronyms always spelled out in full in the appropriate section of the policy or procedure; and
• be written in non-discriminatory language and address (where appropriate) access, equity and natural justice issues.

4.4 Key Questions for Policy Makers

The following is a list of questions developed to assist Policy Makers (or others of the University community) to decide whether new Operational Policy needs to be introduced or existing policy needs revision.

• Is the policy informed by relevant or recent changes in government policy or regulation (Australian or State), directions from the Minister or national guidelines introduced by the Department responsible for higher education?

• Does the policy enact any of the changes indicated above?

• Is the policy consistent with Australian and State legislation and regulations or relevant legislation in other countries?

• Is it consistent with:
  • AVCC codes of practice and good practice guidelines;
  • University enterprise agreements;
  • industry standards (accounting, financial reporting etc); and/or
  • OHS regulations?

• Alternatively, or in addition, have the above codes of practice been translated into University policy?

• Is the policy consistent and supportive of higher level University Ordinances, Rules, By-Laws, Governance Level Principles, the University Operating Statement and University Plans?

• Does the policy promote the overall sustainability of the University?

• Is the policy still necessary? Will governance or other University objectives be risked if this policy no longer existed?

• Is this policy, or part of the policy, duplicated in any other policy operating within the University?

• Are the outcomes of the policy stakeholder-focused?

• Is the policy consistent with, and does it support, relevant University strategies relating to teaching and learning and research and development?
• Does the policy meet the needs of all the members of a diverse University community?

• Is the policy inclusive of international onshore and offshore students or are separate policies required?

• Is the policy inclusive of new business, eg. external organisational clients; new modes of delivery (work-based, on-line)?

• Is the nomenclature used in the policy current?

4.5 Timetable for Policy Review

A key part of the new Governance Framework will be to establish a timetable for review of each Operational Policy and Procedure. This review date will be recorded on each Policy and Procedure prior to its approval.

New Operational Policy and Procedures would be expected to undergo initial review twelve months after their first approval. This twelve month period should be sufficient to assess their effectiveness in managing University operations. Following this initial review, amendments would be made to the Policy or Procedure as required.

After this initial review, new Operational Policy will be formally reviewed every three years. Revised Operational Procedures would also be reviewed three years after the date of its approval.

Reviews of Operational Policies would be undertaken more frequently if the Policy Maker considers that new legislation or exceptional circumstances make this appropriate.

Procedures would undergo review at the same time as the related Policies, or more frequently if thought necessary by the Policy Maker.
5. POLICY FOR OPERATIONAL POLICY DEVELOPMENT AND REVIEW

The attached document outlines the approved University of Tasmania Policy for Operational Policy Development and Review.

The policy must be adhered to in all development and review of University Operational Policies.
Pol icy CO R 1.1

POLICY STATEMENT

1 Intent

To ensure that University Operational Policies are necessary, current, relevant and useful by providing a framework for their design, development, approval, implementation, monitoring and review.

2 Scope

All University of Tasmania Operational Policies. There will be no exclusions.

3 Objective(s)

To ensure that all Operational Policies and related procedures, guidelines and standards are:
- written, presented, approved and implemented using uniform formats and processes; and
- promulgated, recorded, monitored and reviewed within properly constituted and managed systems.

4 Definitions and Acronyms

Operational Policy is a statement defining the position of the University on a certain matter and by which the University, its work units and members are required to conduct the activities of the University. It has the following characteristics:
- It is a general statement of intent that mandates or constrains actions.
- It has institution-wide application.
• It will change infrequently and sets a course for the foreseeable future.
• It helps ensure compliance, enhances the University’s mission or reduces institutional risk.
• It is usually approved by the Vice-Chancellor.

<table>
<thead>
<tr>
<th>Policy Delegate</th>
<th>University officer within a University work unit charged by the Policy Maker to take responsibility for drafting and/or reviewing Operational Policies, Procedures, guidelines and standards.</th>
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</thead>
<tbody>
<tr>
<td>Policy Maker</td>
<td>Senior University officer delegated with the authority to develop and endorse Operational Policies and approve Operational Procedures, Guidelines and Standards and Policy Implementation Plans. They includes the Vice-Chancellor and the Senior Management Team (Deputy Vice-Chancellor, Pro Vice-Chancellor (Research), Pro Vice-Chancellor (Teaching and Learning), Executive Director Finance and Administration (EDFA) and Executive Director, Planning and Development (EDPD), Chair of Academic Senate and Deans of Faculties); and Heads of Schools, Administrative Sections or other university work units.</td>
</tr>
<tr>
<td>Policy Stakeholder</td>
<td>Members or work unit(s) of the University on which the Operational Policy will impact.</td>
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<tr>
<td>University Members</td>
<td>Academic and general staff, students and associates of the University.</td>
</tr>
<tr>
<td>University Work Unit</td>
<td>Faculty, School, administrative division or section or other institution, centre or business enterprise of the University.</td>
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5 Policy Maker

Director, Governance and Legal.

6 Policy Provisions

Operational Policy Framework: there is to be one level of Operational Policy – university wide.

Approval Authority: the Vice Chancellor is responsible for approving all Operational Policies except in those cases where there may be legal requirements for the policy to be expressed as an Ordinance, Rule or By-Law, or the policy is particularly far-reaching for the University and its operations. In these cases the approval authority will be the University Council.
The **Policy Maker** oversees and is responsible for the policy development and review process in their areas of responsibility.

**Minor changes** or clarifications of wording may be approved by the Director, Governance and Legal.

**Areas covered** by operational policies include (but are not restricted to);

- **Teaching and Learning Policies:**
  - teaching and learning;
  - student administration and services
  - academic standards and course approvals; and
  - external development (interstate and overseas).

- **Research Policies**
  - research and development;
  - consultancy and commercialisation; and
  - intellectual property management;

- **Corporate Policies:**
  - policy development and review;
  - risk management;
  - code of conduct implementation;
  - public relations and communications; and
  - community engagement;

- **Human Resources Policies:**
  - occupational health and safety management;
  - equity and diversity; and
  - personnel management;

- **Financial Policies:**
  - accounting and financial management; and
  - procurement and contracting;

- **Physical and Technical Infrastructure Policies:**
  - asset management;
  - environmental management;
  - campus development;
  - information management; and
  - accommodation services.

Operational Policies are to be **drafted consistently** with Federal and State legislation, the University of Tasmania Act (1992), and University Ordinances, Rules, By-Laws, Governance Level Principles and University Plans.

The **Policy Maker** will nominate a **Policy Delegate** who will be responsible for drafting new or revised operational policies.
The Policy Delegate shall be responsible for conducting any required consultations with Policy Stakeholders during the development of an Operational Policy. The Governance and Legal Section will provide advice on the Policy Review and Development Process.

**Operational Procedures**: shall describe the components of a policy and how they shall be applied. Procedures shall be approved by the Policy Maker and shall be linked to a specific policy.

Where possible, Operational Procedures should be attached for information when the related Operational Policy is submitted to the Vice-Chancellor (or Council) for approval.

**Operational Guidelines and Standards**: suggest ways in which policies will be applied where the procedure is not prescriptive. Standards are developed when policies need specific technical or detailed information to be applied. Both Guidelines and Standards are approved by the Policy Maker.

Following approval by the relevant authority, each Operational Policy, Procedure, Guideline and Standard will be given a unique identifying number by the Governance and Legal Section.

Operational Policies, Procedures, Guidelines and Standards will be published on the University’s web page by the Governance and Legal Section only after approval by the appropriate authority.

The **Policy Implementation Plan** describes the actions required to implement the policy and procedures. The Implementation Plan is to be developed by the appropriate Policy Delegate in consultation with relevant stakeholders. The Implementation Plan is approved by the Policy Maker and should be attached for information when the Operational Policy is submitted to the Vice-Chancellor for approval.

**7 Supporting/Related Documents**

University of Tasmania Act (1992) Ordinances No 1 (Role of Council); 3 (The Vice-Chancellor); 6 (Council Delegations); 13 (Academic Senate) and Governance Level Principle No 1 (University Governance).

**8 Key Words**

- Policy development
- Policy review
- Operational Policies
- Operational Procedures

**9 Supporting Procedures/ Guidelines**
Procedure – No. COR (v.1) Operational Policy Development and Review.

**RESPONSIBILITIES**

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<th>Implementation</th>
<th>Director, Governance and Legal</th>
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<tr>
<td>Monitoring and Evaluation</td>
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<td>Development and/or Review</td>
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<tr>
<td>Interpretation and Advice</td>
<td>Director, Governance and Legal</td>
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</table>

**WHO NEEDS TO KNOW THIS POLICY?**

- Vice-Chancellor and Vice-Chancellor’s Executive
- Deans,
- Heads Of Schools, Administrative Sections or other University Work Units
- Faculty and Divisional Executive Officers

**EFFECTIVENESS OF THIS POLICY**

- Percentage of Operational Policies submitted for approval that comply with this policy.
- Number of queries/problems raised in regard to new policies.

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## POLICY HISTORY

<table>
<thead>
<tr>
<th>Policy No.</th>
<th>COR 1.1</th>
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<td>Rescinded</td>
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<td>Date</td>
<td>…/…/2006</td>
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<tr>
<td>Vice-Chancellor</td>
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<td>Signature</td>
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6. PROCEDURE FOR OPERATIONAL POLICY DEVELOPMENT AND REVIEW

The attached document outlines the approved University of Tasmania Procedures for Operational Policy Development and Review.

The Procedures must be adhered to in all development and review of University Operational Policies and Procedures.
Operational Policy Development and Review

PROCEDURE COR 1.1

<table>
<thead>
<tr>
<th>Related Policy</th>
<th>Operational Policy Development and Review (Policy – No. COR 1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Procedure Scope</td>
<td>University wide</td>
</tr>
<tr>
<td>Commencement Date</td>
<td>1 May 2006</td>
</tr>
<tr>
<td>Review Date</td>
<td>1 May 2007</td>
</tr>
</tbody>
</table>
| Organisational Unit responsible for day-to-day operation of the procedure | Unit name: Governance and Legal
Phone: (03) 6226 2005
Fax: (03) 6226 2005
Email: op.policy@utas.edu.au |

PROCEDURE

Purpose

To outline the process by which University Operational Policies are to be developed, presented, approved, implemented, promulgated, monitored and reviewed.

Exceptions

Nil

Definitions and Acronyms

Operational Policy is a statement defining the position of the University on a certain matter and by which the University, its work units and members are required to conduct the activities of the University. It has the following characteristics:

- It is a general statement that mandates or constrains actions.
- It has institution-wide application.
- It will change infrequently and sets a course for the foreseeable future.
- It helps ensure compliance, enhances the University’s mission or reduces institutional risk.
- It is usually approved by the Vice-Chancellor

Policy Delegate University officer within a University work unit charged by the Policy Maker to take responsibility for
drafting and/or reviewing Operational Policies, Procedures, guidelines and standards.

Policy Implementation Plan

Standard document outlining the steps to be taken in enacting Operational Policies. Each plan should specify a timetable for implementation and any resource implications (costs or savings).

Policy Maker

Senior University officer delegated with the authority to develop and endorse Operational Policies and approve Operational Procedures, Guidelines and Standards and Policy Implementation Plans. They includes the Vice-Chancellor and the Senior Management Team (Deputy Vice-Chancellor, Pro Vice-Chancellor (Research), Pro Vice-Chancellor (Teaching and Learning), Executive Director Finance and Administration (EDFA) and Executive Director, Planning and Development (EDPD), Chair of Academic Senate and Deans of Faculties); and Heads of Schools, Administrative Sections or other university work units.

Policy Stakeholder.

Members or work unit(s) of the University on which the Operational Policy will impact.

University Members

Academic and general staff, students and associates of the University.

University Work Unit

Faculty, School, administrative division or section or other institution, centre or business enterprise of the University.

Links to Related Forms, Records and Electronic Databases


Detailed Steps, Procedures and Actions

<table>
<thead>
<tr>
<th>Procedure (including key steps)</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Policy is identified for development or review. The need can arise from:</td>
<td>Policy Maker OR Governance and Legal Section</td>
</tr>
<tr>
<td>• external drivers such as new legislation, policies or strategies, etc</td>
<td></td>
</tr>
<tr>
<td>• internal drivers such as: decisions of Council and its Committees; VCE; other senior university committees; new strategies; stakeholder feedback or complaint; new practices, new technologies etc. policies reaching their review date.</td>
<td></td>
</tr>
<tr>
<td>2. Check whether there is an existing policy:</td>
<td>Policy Maker</td>
</tr>
</tbody>
</table>
Operational Policy Development and Review
Procedure COR 1.1

- if Yes determine whether the existing policy requires modification;
- if No proceed with development of new policy.

3a). If conditions under Step 2 above are met, consult the Governance and Legal Section for advice on the policy development and review process and publication requirements.

During this consultation, the Governance and Legal Section will also advise whether the policy needs to be framed as an Ordinance, Rule or By-Law or for other reasons that require it be approved by the University Council. It is expected that the majority of Operational Policies will be approved by the Vice-Chancellor.

3b) NOTE: Minor changes or clarifications of wording to existing Operational Policies may be approved by the Director, Governance and Legal.

4. If new policy, or substantial change to existing policy, is required the Policy Maker appoints a Policy Delegate who is responsible for developing and drafting policy and the Policy Implementation Plan (and any required procedures, guidelines or standards).

5. The Policy Delegate is responsible for:
   - developing policy using the established mechanisms within his/her work unit;
   - for consulting any other relevant stakeholders; and
   - liaising with Governance and Legal Section as required.

In drafting policy, the Policy Delegate must use accepted university formats and standards from the Policy Development and Review Manual. In parallel to drafting the policy, the Policy Delegate drafts the Policy Implementation Plan and any needed procedures, guidelines or standards.

The Policy Delegate continues iterations of consultations on draft policy (and the Implementation Plan) using established mechanisms until agreement is reached on content.

Policy Maker
AND
Governance and Legal Section

Policy Maker

Policy Delegate

Approved 31 March 2006
6. The Policy Delegate submits the draft policy and Implementation Plan (and any required procedures, guidelines or standards) to the Policy Maker for endorsement.  

| Policy Maker AND Policy Delegate |

7. If the draft policy is endorsed by the Policy Maker, the Policy Delegate submits it (and the Implementation Plan and any procedures, guidelines and standards) to the Governance and Legal Section for assessment against standards and to undertake any editing if required.  

| Policy Delegate AND Governance and Legal Section |

8. In consultation with the Policy Maker, the Governance and Legal Section will determine whether the policy should be submitted to any appropriate higher level body (for example, University Council Committees or Academic Senate) for endorsement prior to being submitted for approval.  

| Governance and Legal Section AND Policy Maker |

9. The Policy Maker is responsible for preparing the standardised draft policy for approval by the Vice-Chancellor (or University Council if appropriate). This includes submitting the policy to any appropriate University Committees for examination/endorsement if this is required.  

(The Implementation Plan and any associated procedures, guidelines and standards should accompany the policy when it is submitted for approval).

| Policy Maker |

10. Governance and Legal submit the policy for approval and will inform the Policy Maker of the outcomes.  

| Governance and Legal |

11. If the policy is approved, Governance and Legal will number policy (and any procedures, guidelines and standards) and put them on the University web page.  

| Governance and Legal Section. |

12. If the policy is approved, the Policy Maker will act on the Implementation Plan.  

| Policy Maker |

13a). If policy is not approved, but a decision is made to reconsider it, it will be returned to the Policy Maker for amendment or further work.  

| Policy Maker |

13b). If policy is not approved, and there is no direction that it be reconsidered, the policy will be discarded.  

| Policy Maker OR Governance and Legal Section. |

14. Review of the policy will commence when the scheduled review period is completed. This date will be included on all new or reviewed Policies and Procedures.  

| Policy Maker OR Governance and Legal Section. |
NOTE: The standard date for the review of new policies will be 12 months after first approval. Subsequent reviews will be undertaken every 3 years or sooner if deemed appropriate by the Policy Maker. Review of Operational Procedures will be undertaken at the same time as the related policy.

15. If, upon review, no changes to the policy are considered necessary, the Policy Maker will record this on the policy and no further action need be taken.

If amendments are required, the Policy Maker recommences the policy development and review process from Step 3 above. Significant changes to existing policies will require the approval of the Vice Chancellor or Council (where appropriate).

Policy Maker

Key Words

- Policy development
- Policy review
- Operational Policies
- Operational Procedures

Supporting Guidelines, Flow-charts, Check-lists, etc

See attached Policy Development and Review flowchart.

RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Implementation</th>
<th>Director, Governance and Legal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance</td>
<td>Director, Governance and Legal</td>
</tr>
<tr>
<td>Development/Review</td>
<td>Director, Governance and Legal</td>
</tr>
<tr>
<td>Interpretation and Advice</td>
<td>Director, Governance and Legal</td>
</tr>
</tbody>
</table>

WHO SHOULD KNOW THIS PROCEDURE?

University staff with responsibility for developing policy.

Effectiveness of this Procedure

- Reduction in overlap and inconsistencies of policies and procedures.
- Number of policies approved by the Vice-Chancellor at the first presentation.
- Number of policies developed and approved consistent with number of policies not in required format.

## PROCEDURE HISTORY

<table>
<thead>
<tr>
<th>Revision Ref. No.</th>
<th>COR 1.1</th>
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<tbody>
<tr>
<td>Approved or Rescinded</td>
<td>Approved</td>
</tr>
<tr>
<td>Date</td>
<td>…/…/2006</td>
</tr>
<tr>
<td>Title</td>
<td>Director, Governance and Legal</td>
</tr>
<tr>
<td>Signature</td>
<td></td>
</tr>
</tbody>
</table>

| Date of Review | …/…/2006 |
| Amendment Required | Yes/No |
| Name of Policy Maker | |
| Title | |
| Signature | |
POLICY DEVELOPMENT AND REVIEW PROCESS

1. Policy Maker identifies need for policy

2. Does policy exist?
   - Yes
     - Needs change?
       - Yes
         - Consult Governance & Legal (G&L)
       - No
     - New policy required?
       - Yes
         - G&L make minor changes
       - No
         - 3a) Consult Governance & Legal (G&L)

5. Policy Delegate starts drafting & consultation process

4. Policy Maker appoints Policy Delegate
     - New policy required?
       - Yes
         - G&L make minor changes
       - No
         - 3b) G&L make minor changes

11. Policy published on web

7. G&L standardises/edit policy if required

9. Policy Maker initiates approval process

6. Policy Maker endorses policy?
   - Yes
     - 13a) Returned to Policy Maker for further work
   - No
     - 15. Amend policy?

12. Policy Maker starts implementation

13a) Returned to Policy Maker for further work

13b) Draft policy discarded

15. Review process started

14. Policy scheduled for review

NOTE: Numbers on flowchart refer to those in section 5 – Detailed Steps, Procedures and Actions

Approved 31 March 2006
7. TEMPLATES

Attached are the:

- Operational Policy Tracking sheet;
- Operational Policy template; and
- Operational Procedure template.

These should be used when developing or reviewing policy.

The Tracking Sheet must be completed and accompany the Operational Policy when it is submitted for approval.

It provides a record of the, consultations/endorsements undergone by the new Operational Policy prior to being submitted for approval by the Vice-Chancellor or Council.

Whether any new Operational Policy should be submitted to an appropriate University committee for examination/endorsement, prior to being submitted for approval, should be determined in consultations between the Policy Maker and Governance and Legal Section.

The templates contain instructions on how they should be completed. These should be deleted as you complete the template.

Each policy and procedure will be given a unique identifying number by the Governance and Legal Section prior to the policy being approved and posted on the University web page.
The Tracking Sheet provides a record of the steps that have been undertaken during the development of a particular Operational Policy prior to it being submitted for approval by the University Council or Vice-Chancellor.

The Tracking Sheet provides details of the:
- University officers responsible for the stages of developing the policy;
- tasks they completed;
- stakeholders who were consulted; and
- University Committees or other groups which might have endorsed the policy.

Under the Tasks Completed column of the Tracking Sheet the Policy Delegate should list those stakeholder groups that were consulted during the development of the draft Operational Policy.

The Policy Maker should also indicate that the Implementation Plan had been completed and signed off and that any resources required for implementation of the policy had been made available from the existing budget.

If additional resources were required, the Policy Maker should indicate that approval had been given from the appropriate level that the required resources were to be made available in future budgets.

A completed and signed Tracking Sheet must accompany every Operational Policy when it is submitted for approval.
# OPERATIONAL POLICY TRACKINGSHEET

**Policy Name**

Policy AAA X.Y

**Approved** 31 March 2006

## OPERATIONAL POLICY TRACKINGSHEET

- **Policy:** Title:
- **Policy:** Number:
- **Associated Procedures, Guidelines and/or Standards are attached:** YES/NO (Delete one)
- **Implementation Plan is attached:** YES/NO (Delete one)
- **To be Approved by:** VICE-CHANCELLOR OR UNIVERSITY COUNCIL (Delete one)

<table>
<thead>
<tr>
<th>University Officer/Agency</th>
<th>Title</th>
<th>Tasks Completed</th>
<th>Name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Delegate</td>
<td></td>
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</tr>
<tr>
<td>Endorsing Committee</td>
<td>Chair of Committee</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policy Maker</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Governance and Legal Section</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Approved 31 March 2006
**Policy Name** – use a brief descriptive title.

POLICY AAA X.Y

| Relevant UTas Ordinance Rule and/or GLP No. | Insert the relevant University of Tasmania Ordinance, Rule Number and/or Governance Level Principle (GLP) if applicable. |
| Relevant State/Federal Govt. Legislation | Detail State/Federal Government Legislation if they directly contribute to the introduction of the policy (for example, University of Tasmania Act 1992). |
| Commencement Date | Insert the proposed Commencement Date. This will generally be the date that the policy is approved by Council or the Vice-Chancellor. |
| Review Date | The review date should typically be 12 months after the commencement date for new policy and every three years after that. |

**POLICY STATEMENT**

1 **Intent**

A single sentence indicating what University members have to comply with. This is the part of the policy to be relied on as enabling decisions to be made.

2 **Scope**

The people, groups or University units to which the policy applies, for example: ‘to all students and prospective students’, ‘to all academic staff’. This section must also include details of any exclusions from the operation of the policy.

3 **Objective(s)**

A clear statement of the rationale(s) that are behind the policy and/or the outcomes that should be achieved by following the policy. The objectives must relate to the statement of the intent of the policy. Policy objectives should be concise and should not contain background information or detailed explanations.

4 **Definitions and Acronyms**

Define terms used in the policy and explain any acronyms, for example:

- **GLP**: Council Government Level Principle
- **Policy Maker**: Senior University officer responsible for Operational Policy development.
5 Policy Maker

This is the person delegated with the authority to develop or review the policy. They should be referred to by title (for example, Pro Vice-Chancellor (Teaching and Learning), Director Human Resources, etc) and not name.

6 Policy Provisions

Spell out in greater detail the principles that must be taken into account when developing any supporting procedures. The principles will generally cover each objective set out in the statement of objectives and/or to relate to the supporting procedures.

Again, the policy should be brief and to the point. It should be concise and should not contain background information or detailed explanations.

7 Supporting/Related Documents

Identify any documents relevant to the development of the policy. These could include legislation, research reports (including relevant University of Tasmania discussion papers), DEST and AVCC guidelines, etc.

This information will provide the background to the development of the policy if readers need to ascertain this.

8 Key Words

Policies will be housed on the University of Tasmania web site. Identifying key words will assist students and staff to locate the relevant policy using the web ‘search’ function.

9 Supporting Procedures/ Guidelines

Links to any procedures, guidelines or standards that are to be used in enacting the policy.

RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Implementation</th>
<th>The position(s) responsible for implementing the policy.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance</td>
<td>The position(s) responsible for complying with the policy.</td>
</tr>
<tr>
<td>Monitoring and Evaluation</td>
<td>The position(s) responsible for monitoring and evaluating the policy (which may include both</td>
</tr>
</tbody>
</table>
individu
(s and committee(s).

Development and/or
Review
The position(s) responsible for developing and/or
reviewing the policy (which may include both
individual/s and committee/s).

Interpretation and
Advice
The position(s) responsible for interpreting and
advising on the policy.

WHO NEEDS TO KNOW THIS POLICY?
Identify the people, position(s) or parts of the University that need to know the
details of the policy (for example, senior managers, all students, etc).

EFFECTIVENESS OF THIS POLICY
Identify how the effectiveness of the policy will be established, including listing
the key performance indicators.

POLICY HISTORY

<table>
<thead>
<tr>
<th>Policy No.</th>
<th>AAA No X (v.Y)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved / Rescinded</td>
<td></td>
</tr>
<tr>
<td>Date</td>
<td>Dd/mm/yyyy</td>
</tr>
<tr>
<td>Vice-Chancellor/Council (Delete one)</td>
<td></td>
</tr>
<tr>
<td>Signature</td>
<td></td>
</tr>
</tbody>
</table>

Date of Review .../.../2006
Amendment Required Yes/No
Name of Policy Maker
Title
Signature

Approved 31 March 2006
Procedure Name – use a brief descriptive title linking it to the policy it supports.

PROCEDURE AAA X.Y

<table>
<thead>
<tr>
<th>Related Policy</th>
<th>The name and number of the Operational Policy to which the Procedure is linked.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Procedure Scope</td>
<td>To whom or what parts of the University that the procedure will be applied (for example, all staff, University-wide etc)</td>
</tr>
<tr>
<td>Commencement Date</td>
<td>Insert the proposed Commencement Date. This will generally be the date that the procedure is approved by the appropriate policy maker.</td>
</tr>
<tr>
<td>Review Date</td>
<td>The review date should typically be 12 months after the commencement date for new procedures and every three years after that. Procedures will generally be reviewed in concert with the policies they support.</td>
</tr>
<tr>
<td>Organisational Unit responsible for day-to-day operation of the procedure</td>
<td>Unit name: Phone: Fax: Email:</td>
</tr>
</tbody>
</table>

PROCEDURE

1 **Purpose**

To be consistent with the objectives of the related policy.

2 **Exceptions**

Detail any exceptions.

3 **Definitions and Acronyms**

Define terms used in the procedure and explain any acronyms, for example:

- **GLP** Council Government Level Principle
- **Policy Maker** Senior University officer responsible for Operational Policy development.

4 **Links to Related Forms, Records and Electronic Databases**

Provide links to any relevant documents. These could refer to linked policies or other documents which provide guidance or advice on how the procedure could be interpreted or put into practice.

Approved 31 March 2006
5 **Detailed Steps, Procedures and Actions**

<table>
<thead>
<tr>
<th>Procedure (including key steps)</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Describe the key actions or steps to be undertaken to enact the procedure. Include dates, links and flow charts where relevant.</td>
<td>Who is responsible for carrying out the action?</td>
</tr>
<tr>
<td>2. etc</td>
<td></td>
</tr>
</tbody>
</table>

The procedure should be broken up into a series of distinct actions or steps that need to be completed and in the order that they should be completed. Each separate step or action should be numbered sequentially.

6 **Key Words**

Procedures will be housed on the UTas web site. Identifying key words will assist students and staff to locate the relevant policy using the 'search' function.

- 
- 

7 **Supporting Guidelines, Flow-charts, Check-lists, etc**

Links and/or references to other documents relevant to this procedure. These might be supporting guidelines or standards or more detailed schedules to the procedure itself.

**RESPONSIBILITIES**

<table>
<thead>
<tr>
<th>Implementation</th>
<th>The position/s responsible for implementing the procedure.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance</td>
<td>The position/s responsible for complying with the procedure. These are the positions responsible for carrying out the procedure.</td>
</tr>
<tr>
<td>Development/Review</td>
<td>The position/s responsible for developing and/or reviewing the procedure (which may include both individual/s and committee/s).</td>
</tr>
<tr>
<td>Interpretation and Advice</td>
<td>The position/s responsible for interpreting and advising on the procedure.</td>
</tr>
</tbody>
</table>

Approved 31 March 2006
WHO SHOULD KNOW THIS PROCEDURE?

Identify the position/s that need/s to know the details of the procedure.

- 
- 

EFFECTIVENESS OF THIS PROCEDURE

Identify how the effectiveness of the procedure will be established, including listing the key performance indicators.

- 
- 

PROCEDURE HISTORY

<table>
<thead>
<tr>
<th>Revision Ref. No.</th>
<th>x.x</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved or Rescinded</td>
<td></td>
</tr>
<tr>
<td>Policy Maker (Title)</td>
<td></td>
</tr>
<tr>
<td>Policy Maker (Signature)</td>
<td></td>
</tr>
<tr>
<td>Date</td>
<td>xx/xx/xx</td>
</tr>
</tbody>
</table>

Approved 31 March 2006
8. IMPLEMENTATION PLAN

The Operational Policy Implementation Plan and instructions on what information is required is attached.

An Implementation Plan must be completed for each new Operational Policy or Procedure and accompany the policy when it is submitted for approval.
Purpose

The purpose of the Implementation Plan is to identify the steps needed for the effective implementation of the Operational Policy or any related Procedures. The Implementation Plan should be developed by the Policy Delegate in parallel to the development or review of policies and procedures and in consultation with the Policy Maker. The Governance and Legal Section can provide advice to assist its completion.

The appropriate Policy Maker is responsible for both approving and implementing the Implementation Plan.

The attached Implementation Plan should be completed and appended (for information) to each Operational Policy submitted to the Vice-Chancellor (or Council) for approval.

Resource Implications

Some Operational Policies and/or Procedures will require the use of additional resources (people, funds or materials) for their effective implementation. It is the responsibility of the Policy Maker approving the Implementation Plan to demonstrate that these resources will be available. The resources may be available from within the Policy Maker’s existing budget. If additional resources are required, the Policy Maker must be able to demonstrate that these have been approved through the appropriate higher authority.

Requirements

The following points must be taken into consideration when completing the Implementation Plan.

- **Implementation issues**: identify each issue that could be expected to effect the smooth implementation of the policy or procedure. For example:
  
  o How will the new/amended regulation, policy or procedure be successfully communicated to stakeholders, including faculties, groups and students? What strategies will you use, (for example workshops, staff briefings, emails to affected staff, newsletters, web)?
  o What, if any, staff training will be required?
  o What additional costs/resources will be required to implement the policy? (or What savings will be made?)
• **Action Step(s):** what actions will be taken to address each implementation issue identified?

• **Responsibility:** who is responsible for managing or completing each action step?

• **Timeline:** when will each action be completed?

• **Comments:** record any additional comments that could assist the successful completion of the Implementation Plan.
## Operational Policy or Procedure Implementation Plan

**Policy/Procedure Title:**  
**Number:**  
**Date Policy/Procedure Approved:**  
**Approved by:**  
**Position:**  

<table>
<thead>
<tr>
<th>Implementation Issue</th>
<th>Action Step(s)</th>
<th>Responsibility</th>
<th>Timeline</th>
<th>Comments</th>
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<tr>
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</tbody>
</table>

**Resources required for implementation are directly available or have been approved:** YES/NO

**Implementation Plan Approved by Policy Maker:** YES/NO

(Policy Maker to complete)

**Signature**  

**Position**  

**Section**  

Approved 31 March 2006