

UNE Governance - Policy Framework Procedures

Section 1 - Overview

(1) These procedures are for the guidance of staff developing new or reviewing existing documents in the UNE Policy Framework (set out in section 3 of the [UNE Governance Framework](#)). These procedures provide a step-by-step approach to the development of an overarching document.

Section 2 - Scope

(2) These procedures apply to all documents within the [UNE Governance Framework](#).

Section 3 - Procedures

Roles and Responsibilities

(3) UNE Council makes rules/policies on matters over which it has retained authority. Apart from Council rules/policies, University rules/policies are made by the Vice-Chancellor and Chief Executive Officer and in the case of academic rules/policies, the instruments are approved by the Academic Board prior to being made by the Vice-Chancellor and Chief Executive Officer.

(4) The development, implementation and review of documents in the [UNE Governance Framework](#) is the responsibility of each Rule/Policy Administrator (or delegate) as established in the University's Policy Register.

(5) The Records, Policy and Governance Unit is responsible for providing advice, guidance and support to the Rule/Policy Administrator (or delegate) to assist them in developing documents. The Records, Policy and Governance Unit also arranges for the formal approval, publication and filing of UNE Policy Framework documents.

Development cycle

Assess policy environment and identify stakeholders

(6) The Rule/Policy Administrator (or delegate) will assess the requirement for document review or development, scoping and benchmarking within the relevant internal/external environment.

(7) The Rule/Policy Administrator (or delegate) will contact the Records, Policy and Governance Unit for advice, guidance and support in developing the new or amended document.

(8) The Records, Policy and Governance Unit will provide advice as to which documents under the UNE Policy Framework are appropriate to be developed. For example, whether or not a document should be a rule, policy or protocol and how the instrument relates to other documents (for example documents that will be replaced by the instrument under development). Further documents may need to be developed as part of this drafting process and they may include procedures and guidelines.

Prepare draft policy

(9) Templates and systems provided by the Records, Policy and Governance Unit must be used in the document development process.

(10) The Rule/Policy Administrator in consultation with key staff, appropriate stake holders or working party, Records, Policy and Governance Unit, will prepare the draft document.

(11) The Rule/Policy Administrator (or delegate) will forward the final draft document to Records, Policy and Governance Unit, for final review before consultation.

Consultation

(12) The Records, Policy and Governance Unit will determine the appropriate consultation required for the document being developed or reviewed. Where documents need to be taken to the Joint Consultative Committee (JCC), then the Records, Policy and Governance Unit will arrange for that to occur also.

(13) The Records, Policy and Governance Unit will circulate the final draft document to the UNE community, for consultation and feedback.

(14) After the close of consultation period, feedback will be collated and delivered to the Rule/Policy Administrator (or delegate), for consideration and incorporation as appropriate.

Obtain approval

(15) A copy of the final draft document, implementation plan (and where appropriate, the approval submission form) will be provided to the Records, Policy and Governance Unit, for final check before forwarding to relevant approval bodies.

(16) The Records, Policy and Governance Unit will advise the Rule/Policy Administrator once the document has been approved.

(17) Following approval the document becomes effective once it is published.

Publish, communicate and implement the policy

(18) The approved document will be released onto the UNE policy website via the approved policy database system and a final, signed version of the document placed in TRIM by the Records, Policy and Governance Unit. Where required a UNE Official email will be sent by the Records, Policy and Governance Unit (RP&G), to advise the community of the new document.

(19) The Records, Policy and Governance Unit will advise the Rule/Policy Administrator (or delegate) when documentation has been uploaded to the UNE policy website.

(20) Once the document is published the Rule/Policy Administrator (or delegate) will implement the approved document according to the implementation plan.

Evaluate policy effectiveness/compliance

(21) The Rule/Policy Administrator (or delegate) is to evaluate the document for effectiveness at an agreed period of time after its approval.

(22) As a final step in the implementation process, recommendations for any adjustment to the document will be passed to the Records, Policy and Governance Unit, for action.

(23) Where a document is deemed to be ineffective, out of date, or no longer fit for purpose, the Rule/Policy Administrator (or delegate) will commence the development of an amended document.

(24) Where the document is no longer required the Rule/Policy Administrator will request approval to have the document rescinded. The Records, Policy and Governance Unit will seek all approvals to have the document rescinded and will advise the Rule/Policy Administrator accordingly.

(25) Any requests to rescind documents must have a detailed explanation of why the document is no longer required.

Compliance

(26) The Director Governance and University Secretary, pursuant to the University's Governance Framework, makes these procedures.

(27) University Representatives must observe these procedures in relation to University matters.

(28) These procedures operate as and from the Effective Date.

(29) Previous procedures relating to policy development are replaced and have no further operation from the Effective Date of this new procedure.

Section 4 - Definitions

(30) Effective Date - is the date on which this procedure will take effect

(31) Policy Register — means a master list of all University policies that records which UNE entity or position is responsible for the development, implementation and review of each particular policy.

(32) Rule/Policy Administrator — means the University officer who has received delegated authority from the Vice-Chancellor/Council for the development, implementation and review of policy as established in the University's Policy Register. The officer may further nominate a delegate to manage this responsibility on his/her behalf. The Unit Head, however, remains responsible for each policy for which they have received a delegation.

(33) Relevant Stakeholders — this means those parties immediately affected by the policy.

(34) UNE Representative - means a University employee (casual, fixed term and permanent) contractor, agent, appointee, UNE Council member, adjunct, visiting academic and any other person engaged by the University to undertake some activity for on behalf of the University. It includes corporations and other bodies falling into one or more of these categories

(35) UNE Policy Framework - The Policy framework outlines the University's principles and standards for its business practices. The framework and its components underpin and give authority to the decisions made by UNE Representatives on a day-to-day basis. The University policy framework consists of rules, policies, protocols, procedures and guidelines.

Status and Details

Status	Historic
Effective Date	31st July 2015
Review Date	31st July 2018
Approval Authority	Chief Legal and Governance Officer
Approval Date	10th July 2015
Expiry Date	20th June 2022
Unit Head	Kate McNarn Director Governance and University Secretary
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Glossary Terms and Definitions

"UNE Representative" - Means a University employee (casual, fixed term and permanent), contractor, agent, appointee, UNE Council member, adjunct, visiting academic and any other person engaged by the University to undertake some activity for or on behalf of the University. It includes corporations and other bodies falling into one or more of these categories.