

FRAMEWORK FOR POLICIES AND OTHER INSTRUMENTS

HIERARCHY OF DOCUMENT TYPES THAT PRESCRIBE HOW THE UNIVERSITY IS TO BE GOVERNED AND MANAGED:

- Legislation – University of New England Act 1993 (NSW) No 68 as updated 24 November 2005; Higher Education Support Act 2003 (Commonwealth).
- By-Laws – made under authority of the University of New England Act and approved by Governor of NSW.
- Rules – power is given by the Act/By Laws to the UNE Council to make rules, and to empower the Vice-Chancellor to make rules. A rule is an instrument of governance. It should be a succinct but comprehensive document that leaves no doubt as to what matters it is intended to mandate and what person or body is empowered to administer it. It will leave little or no discretion to vary its mandates, but will make clear who is entitled to make judgements within their bounds.
- Policies – *policies are made in respect of matters that are within the powers under which rules are made. The Council has outlined the matters on which it retains authority, and outlined the powers of the Vice-Chancellor to establish policies.* A policy is a formal statement outlining how a matter is to be administered and/or regulated. Policies will be less prescriptive than rules and cover matters that are more in the nature of operations and management. Policies may tend to enunciate principles that are to be adhered to or outcomes that are to be achieved, and settle the main administrative framework for a matter, while leaving the details of their administration to management plans, guidelines or operating procedures, which will themselves be empowered by reference in the policy. Where discretion is to be exercised in the administration of a policy the person to whom the discretion is delegated should be indicated.
- Management plans – describe how a matter or a policy is to be arranged and/or managed, and are made by a director or a senior executive and approved by the supervisor of that office. These may be quite comprehensive and lengthy documents.
- Guidelines – are generally shorter documents that explain how a policy is to be enacted, and are made by a director or a senior executive and approved by that office's supervisor.
- Operating procedures – describe how a matter (which need not be a policy) is to be administered. These are made by a director or a senior executive and approved by that office's supervisor.

Matters that are within the delegation of a Director should not be made into policies, but matters that must be settled so that a Director has a framework in which to administer should be a policy. Directors are empowered to act either because they have the delegation to manage (that is to devise operating procedures and administer them) as part of their appointment to a position, or because they are the natural administrator of a policy which names their office in that role. As part of administration, Directors will make guidelines, operating procedures or management plans.

PROCEDURES FOR POLICY DEVELOPMENT (Policies approved by the Vice-Chancellor)

1. The responsible administrative entity or committee convenor will develop a draft of the new or modified policy; policy documents should contain:
 - a. a rationale and scope for the policy that describes the reason for the policy;
 - b. a description of underlying principles or systematics that guide the policy;
 - c. policy statements that make clear the intent of the policy and what it is intended to mandate;
 - d. reference to guidelines for implementation, and office responsible for issuing guidelines;
 - e. administrative procedures where these are necessary in the policy document and/or reference to administrative documents that exist outside the policy document (these external documents will be the responsibility the relevant director or cost centre head and be limited in scope to further elaboration of administrative processes and shall in no way change the intent of the policy);
 - f. the action officer responsible for publication and implementation of the policy and its administrative processes;
 - g. the office of the entity responsible for policy development and review; [and]
 - h. a standard set of key information, such as date of approval, date for next review, contact officer for information, links to relevant procedural documents, etc.
2. The draft will be circulated to relevant parties – principally those who are affected by the policy – for consultation and critical feedback; the draft will then be modified as necessary to address the issues arising from consultation; in some cases, further consultation with providers of feedback will be appropriate.
3. The draft policy will then be forwarded to the appropriate Senior Executive for their review, who will be responsible for forwarding it to the Vice-Chancellor for approval.
4. Once approved by the Vice-Chancellor the draft policy becomes University Policy; a final copy is prepared with any changes required by the Vice-Chancellor, which shall be initialled by the Vice-Chancellor and the original sent directly to the Records Management Office for filing. These policies should be sent to Council for noting. Electronic documents to be used as a source for publishing on the UNE Web must be filed in the Trim records management system. The administering section is notified of the approval and provided with a copy of the approved document.
5. The definitive copy of any rule or policy is the actual document approved and dated by the Council or the Vice-Chancellor as described above and lodged in the UNE file registry consistent with the NSW State Records Act (1998). Electronic documents used as a source for publication on the Web must be filed in the Trim records management system.

PUBLICATION OF POLICIES

Publication of all rules and policies on which Council retains authority is in the University Handbook. Publication of rules and policies made by the Vice-Chancellor may be in the University Handbook or by distribution to members of the university or by

attachment to instruments of administration or by display of notices, or any combination. All policies and rules should be published for ready reference on the UNE Intranet and/or public UNE Web pages as appropriate.

Publication in paper form is to be the responsibility of the administering area named in the policy.

Publicising/announcing the existence of the (new or updated) policy is also the responsibility of the administering area named in the policy. In so doing references/links announced to the UNE community to an electronic document must in the first instance be (when it has been created) to the UNE policy index page on the Web.

All links made to the electronic document must be to the official UNE server location for all policies. No electronic copies will be permitted for access to links in the UNE or public domains other than the one single controlled location for policies.

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Related policies or other documents: Authorities Retained by Council SED06/571

POLICIES WEBSITE IMPLEMENTATION NOTES:

First established in late 2003, the UNE Policies website <http://www.une.edu.au/policies/> is now in its second generation, having been re-developed during the first half of 2007 with an updated inventory. Publication of policies in the website is the operational responsibility of the Records Management Office. The administrative entity named in each policy is responsible for ensuring that the Records Management Office is notified of any new or updated policies so that publication can take place.