

# University of New England

## Policy on Non-Academic Policies and Related Procedures

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### Rationale and Scope

The following policy is intended to set a broad framework for development of policy and related procedures within the University and to enunciate principles for consistency in the development, approval, implementation, monitoring and review of policies and related procedures.

This policy applies to all staff and members of University decision-making and advisory bodies.

### Policy

#### 1.1 Policies approved by Council.

Pursuant to the *University of New England Act 1993* s16 (1B) (h) Council has the function to:

*... establish policies and procedural principles for the University consistent with legal requirements and community expectations.*

Consistent with this function, Council is the designated approval body for overarching Rules, policy and guidelines.

#### 1.2 Policies approved by the Vice-Chancellor.

The Vice-Chancellor is the designated approval authority for subsidiary documents (which may be termed policies, guidelines or procedures) that substantially refer to overarching policies approved by Council. These documents will be principally operational in nature and relate to management responsibilities, and will specify how the principles approved by Council will be enacted in practice. Accordingly, all guidance that may be taken to refer to an overarching policy approved by Council will defer to subsidiary policies, and all content referring to how an approved policy will be enacted at an operational level or how a matter that is solely operational and outside the

functions of Council to monitor and oversight will similarly defer to the Vice-Chancellor.

### **1.3 Academic policy**

The Academic Board sets policies and rules, subject to Council approval, on matters relating to the University's research and teaching activities and educational programs.

The Academic Board Secretariat takes responsibility, in conjunction with the Records Management Office and appropriate Directorates, for coordinating the review of academic policy and rules of the University. Academic policies and rules are developed and reviewed by Academic Board Committees and must be endorsed by the Academic Board prior to Council approval.

## **Procedures**

### **2.1 Procedures**

These procedures outlined below are for the guidance of staff developing new non-academic policy or reviewing existing policy. The procedures are consistent with "Procedures for Policy Development (Policies Approved by the Vice Chancellor)" and provide further guidance.

### **2.2 Responsible entities**

Responsible administrative entities (or relevant committee convenors) are to identify policies that require review or development. The development or revision of a University policy may result from the recognition of a need (including a change to legislation or the regulatory environment), a change in strategy or circumstance, the review timetable for existing policy, and the identification of gaps in policy coverage. Revision may also include deletion of a policy where it is no longer needed.

The Policy, Planning and External Relations Directorate reporting to the Chief Governance and Planning Officer can advise in this process.

### **2.3 Process for policy review and development**

2.3.1 Policies requiring review or development are identified by the responsible administrative entity (or committee convenor), assisted by policy advisers from Policy Planning and External Relations.

2.3.2 Policy advisers can advise at this and later stages if draft policies require approval by the Vice-Chancellor or by the Council. The initial stages of policy review or development are the same in either case, but draft policies will require different processes subsequent to consultation subject to whether they are to be policies approved by the Vice-Chancellor or by the Council.

- 2.3.3 The responsible administrative entity (or committee convenor) will develop a draft of the new or modified policy.
- 2.3.4 Policy documents should be framed according to the policy template (attached) and should be in Times New Roman – 12 point for text and 13.5 point for headings. 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 that guide the policy;
  - c. policy statements that make clear the intent of the policy;
  - 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 of 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, and links to relevant procedural documents.
- 2.3.5 The draft policy will be circulated to relevant parties, principally those who are affected by the policy, for consultation.
- 2.3.6 The draft policy will then be modified as necessary to address the issues arising from consultation.
- 2.3.7 The draft policy will be supplied to the Policy Planning and External Relations Directorate for review, including referral to the Legal Office and/or the Audit and Risk Unit if appropriate.
- 2.3.8 If the policy has undergone significant change of interest to the University community, or is a new policy, the relevant Director should send by un-official an email seeking comment on the draft policy. The draft policy will be lodged on the UNE Policies website <http://www.une.edu.au/policies/> for a period of two weeks.

### **Policies approved by the Vice-Chancellor**

- 2.3.9 A draft policy which is to be a policy approved by the Vice-Chancellor will be forwarded to the appropriate Senior Executive member for their review. The appropriate Senior Executive member may undertake such further consultation with their colleagues that they feel necessary, including seeking advice from the Vice-Chancellor's Committee.
- 2.3.10 The appropriate Senior Executive member will be responsible for forwarding the draft policy to the Vice-Chancellor for approval.
- 2.3.11 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. The administering section is notified of the approval and provided with a copy of the approved document by the Office of the Vice Chancellor. An electronic version shall be submitted to the Records Management Office accompanied by a Policy Submission Form (at <http://www.une.edu.au/policies/policy-submission.php> ) by the administering section. Electronic documents to be used as a source for publishing on the UNE Web must be filed in the TRIM records management system.

### **Policies approved by Council.**

- 2.3.12 A draft policy which is to be a policy approved by Council will be forwarded to the appropriate Senior Executive member for their review. The appropriate Senior Executive member may undertake such further consultation with their colleagues that they feel necessary, including seeking advice from the Vice-Chancellor's Committee.
- 2.3.13 The appropriate Senior Executive member will be responsible for forwarding the draft policy to the Vice-Chancellor for review.
- 2.3.14 Following review by the Vice-Chancellor, the draft policy is to be submitted through the Council Services Unit to the relevant Committee of Council by the appropriate Senior Executive member for the approval of that Committee and its endorsing to Council.

- 2.3.15 Following the approval of the relevant Committee and the incorporation of any requested changes or amendments, the draft policy is to be submitted through the Council Services Unit to Council for approval.
- 2.3.16 Once approved by Council the draft policy becomes University Policy. A final copy is prepared with any changes required by Council which shall be initialled electronically by the Chancellor and the original sent directly to the Records Management Office for filing. The administering section is notified of the approval by the Policy Planning and External Relations Directorate. An electronic version shall be submitted to the Records Management Office accompanied by a Policy Submission Form (at <http://www.une.edu.au/policies/policy-submission.php> ) by the administering section. Electronic documents to be used as a source for publishing on the UNE Web must be filed in the TRIM records management system.

### **Repository for University policy**

- 2.3.17 Publicising 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 to the UNE policy index page at <http://www.une.edu.au/policies/> .
- 2.3.18 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. 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.

### **Approval signature**

Chancellor