



# UOWGE POLICY STANDARDS

<b>Version:</b>	<b>Approved by:</b>	<b>Approval Date:</b>	<b>Effective Date:</b>	<b>Next Review:</b>						
3	Executive Director Commercial and Legal	14 July 2021	14 July 2021	14 July 2024						
<b>Policy Custodian:</b>	Executive Director Commercial and Legal	<b>Document No:</b>	UOWE-LGL-STD-01							
<b>Purpose:</b>	This Standard establishes a consistent and enforceable system for the development, approval, implementation and review of Policy Documents.  The Standard provides a mechanism to ensure that Policy Documents are compliant with regulatory and legislative requirements, and support operations and the strategic direction of UOW Global Enterprises.									
<b>Scope:</b>	<b>UOWGE</b>	✓	<b>UOWCA</b>	✓	<b>UOWD</b>		<b>UOWCHK</b>		<b>UOWMKDU</b>	
	This Standard applies to any person, business unit or committee responsible for the development, maintenance, communication and review of Policy Documents on behalf of:  a. UOW Global Enterprises; and  b. UOW College Australia.  The provisions of this Standard apply to all Policy Documents, including this Standard.									
<b>Related Documents:</b>	<a href="#">Framework Policy for UOW Students Studying at UOW College Australia</a>  General Delegations of Authority Policy Australia  Policy Implementation and Communication Plan									



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## 1. Definitions

Word/Term/Acronym:	Definition:
Academic Policy	A Policy Document affecting teaching and learning.
Administrative Amendment	A change to a current Policy Document that is superficial or administrative in nature. Administrative amendments refer to changes in nomenclature, editorial changes, updates to names and position titles, changes to the review or expiry date and updates to references.
Approval Pathway	The pathway through which a Policy Document must move in order to be approved.
Code	A statement of rules and expectations focusing on duties and responsibilities. A Code will often outline the required standard of practice or behaviour.
Delegated Authority	A person or body exercising powers or undertaking functions delegated by the UOW Global Enterprises Board under the terms of a delegation of authority. All lawful delegations of UOW Global Enterprises Board powers and functions are contained in the General Delegations of Authority Policy Australia.
Guideline	An advisory document that provides guidance on how to implement Policy Documents or apply processes effectively.
Legal	A nominated team member of the UOW Global Enterprises Legal and Commercial Department.
Major Amendment	A change to a current Policy Document that is likely to impact upon the intent of the Policy Document and/or have a significant impact on other related Policy Documents, stakeholders, aligned procedures or systems.
Minor Amendment	A change to a current Policy Document that is of an insubstantial nature, not affecting the intent of the policy. Minor amendments may affect responsibilities or operational aspects of processes.



Policy	A statement that outlines non-discretionary governing principles and intentions in order to regulate practice.
Policy Custodian	The officer that has overarching responsibility for the Policy Document. The Policy Custodian is responsible for the implementation, monitoring and review of the policy.
Policy Directory	The central repository for all UOW Global Enterprises and UOW College Australia Policy Documents, as located on the UOW Global Enterprises intranet.
Policy Document/s	A Policy, Procedure, Guideline, Form, Template or Reference Material of UOW Global Enterprises or UOW College Australia.
Policy Review Schedule	A spreadsheet centrally managed by Legal, of all current UOW Global Enterprises and UOW College Australia Policy Documents, their respective Policy Custodian, the most recent approval date and the scheduled review date.
Policy Template Document	The template to be used for all new and reviewed Policy, Procedure and Guideline documents, as updated by Legal from time to time.
Procedure	A documented instruction that gives directions to carry out specified actions. For the purposes of procedures that support policy, they are mandated directions.
Rescission	The retraction or deletion of a Policy Document deemed to be obsolete.
Standards	Standards dictate the minimum requirements for the administration of the activities of UOW Global Enterprises and UOW College Australia.



## **2. Principles**

2.1. All Policy Documents must:

- i. Support and be consistent with UOW Global Enterprises' vision, mission and values;
- ii. Assign responsibility and accountability to ensure due diligence in operations;
- iii. Comply with the requirements set out in these Policy Standards;
- iv. Be consistent with all applicable legislative and regulatory requirements;
- v. Be relevant and transparent in their intention and meaning;
- vi. Be developed in consultation with UOW Global Enterprises staff and other stakeholders;
- vii. Be binding and applicable across all entities covered in the scope of the document; and
- viii. Be regularly reviewed.

## **3. Hierarchy of Policy Documents**

3.1. All Policy Documents are part of the structured hierarchy of documents that govern operations.

3.2. The hierarchy of Policy Documents, descending from highest to lowest is as follows:

- i. Standards, Codes, and Policies;
- ii. Procedures;
- iii. Guidelines; then
- iv. Other subordinate documents including forms, templates and reference materials.

## **4. Interpretation of Policy Documents**

4.1. In interpreting Policy Documents, unless the contrary intention appears in the document, the following apply:

- i. A defined term shall have the meaning ascribed to it in the Policy Document;
- ii. If a Policy Document defines a word or expression, other grammatical forms of the word or expression have corresponding meanings;
- iii. A word or expression that indicates one particular gender shall be construed as every other gender;



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- iv. A reference to a word or expression in the plural form includes a reference to the singular form and vice versa;
- v. A schedule or appendix to a Policy Document constitutes part of the Policy Document;
- vi. The word 'may' when used to bestow a duty or power indicates that the action or decision may be enacted or not, at discretion;
- vii. The words 'shall', 'must' or 'will', if used to bestow a duty or power, indicate that the action or decision must be enacted;
- viii. Headings are inserted for convenient reference only and have no effect in limiting or extending the language of provisions to which they refer;
- ix. An uncertainty or ambiguity in the meaning of a provision will be interpreted reasonably and in consideration of the best interests of all parties;
- x. Reference to any statute or other legislation (whether primary or subordinate) is to the current statute or other legislation as amended;
- xi. A reference to the word 'including' in any form is not to be construed or interpreted as a word of limitation;
- xii. Any reading down or severance of a particular part of a UOW Global Enterprises' Policy Document does not affect the other parts of that Policy Document.

## **5. Requirements of Policy Documents**

- 5.1. Policy Documents shall identify all relevant legislation and shall be drafted so as to be consistent with operations.
- 5.2. The Policy Custodian or delegate shall develop all new Policy Documents.
- 5.3. The Policy Custodian must use the Policy Template Document. In some cases, modifications to the template may be required in order to meet requirements of the specific Policy Document. This should be only in exceptional circumstances as approved by Legal. Policy Documents shall contain language that is in plain English and audience appropriate. The Policy Custodian should not assume a prior knowledge of the subject area by the reader. Other policies may also be of use in defining terms.
- 5.4. The Policy Custodian shall be responsible for ensuring appropriate consultation in accordance with Part 8 of these Standards.



5.5. Where appropriate and after completing relevant research, the Policy Custodian must seek legal advice from Legal on identified issues relating to the Policy Document's compliance with specific legislation and regulatory requirements. Legal will also facilitate the approval of Policy Documents.

5.6. A Delegated Authority must approve Policy Documents.

## 6. Development of Policy Documents

6.1. The development of new Policy Documents may result from:

- i. Change in corporate strategy or circumstances;
- ii. Newly identified business need(s);
- iii. Legislative or regulatory changes;
- iv. Identified problems associated with the implementation, interpretation or gap in the existing policy framework; or
- v. An internal or external audit recommendation.

6.2. The proposed Policy Custodian will manage the development of Policy Documentation and should seek advice from Legal.

6.3. Legal will manage the development of new Policy Documents on behalf of a Policy Custodian where there is an urgent business requirement or legislative change.

6.4. Where the need for the development of a policy arises, the following staged approach will be adopted:

- i. Stage 1: Research
- ii. Stage 2: Drafting

### **Stage 1: Research**

6.5. The Policy Custodian will analyse any relevant information that could inform the policy development. This may include data analysis, literature review and best practice.

6.6. Policy development should consider the impact on other policies, stakeholders, administration and systems development.

### **Stage 2: Drafting**

6.7. The Policy Custodian shall draft the new policy or amend the existing policy in consultation with stakeholders.

6.8. The Policy Custodian may determine that early consultation with critical stakeholders or a working party is preferable to inform the drafting stage of the policy.



## 7. Review of Policy Documents

- 7.1. Legal will maintain the Policy Review Schedule.
- 7.2. Approved Policy Documents will be reviewed every two to five years by the Policy Custodian in accordance with the Policy Review Schedule to ensure currency.
- 7.3. Legal will notify each of the Executive Directors responsible for Policy Documents related to their area every six months of the upcoming need to review the Policy Document. The respective Executive Directors will coordinate the review with the relevant Policy Custodian or an appropriate delegate. The review may also be initiated by the Policy Custodian.
- 7.4. The review is to comprise a thorough review of the policy and all supporting documentation (including Procedures, Guidelines, Forms, Templates and Reference Material) and consider whether:
- i. The document is still required;
  - ii. The purpose of the document is being achieved;
  - iii. The document is up to date and consistent with
    1. UOW Global Enterprises' Delegations;
    2. Strategic Plan;
    3. Relevant legislative and/or regulatory requirements; and
    4. Consistent with other UOW Global Enterprises Policy Documents.
- 7.5. The Policy Custodian is to take all actions needed to ensure the Policy Document is current. This should be done in consideration of the two-stage approach to policy development as outlined in Part 6 of these Standards.
- 7.6. Where a substantive change to a Policy Document is proposed, consultation will occur with all relevant stakeholders in accordance with Part 8 of these Standards.
- 7.7. When undertaking a review, approval from the Delegated Authority must be sought, even if it is determined that no amendment is required.
- 7.8. In some instances, Legal will manage the review of Policy Documents on behalf of the Policy Custodian. Examples include:
- i. High operational or compliance risk;
  - ii. Urgent business requirements; or
  - iii. Legislative change.





## **8. Consultation**

- 8.1. During the development/review process, the Policy Custodian is responsible for managing consultation with key stakeholders and inviting those stakeholders to comment on the draft Policy Document during the nominated consultation period.
- 8.2. Following consultation, the Policy Custodian is to review the Policy Document in light of feedback provided at this stage before requesting Legal to manage the approval of the document.

## **9. Approval of Policy Documents**

- 9.1. Approval of Policy Documents will be done in accordance with the General Delegations of Authority Policy Australia, and the Framework Policy for UOW Students Studying at UOW College.
- 9.2. The specific approval pathway will depend on the nature of the Policy Document.
- 9.3. Legal will coordinate and manage the approval pathway of all Policy Documents on behalf of the Policy Custodian.
- 9.4. For minor or administrative amendments, the Policy Custodian or Legal can approve changes.

## **10. Rescission of Policy Documents**

- 10.1. Where it is determined that a Policy Document is no longer needed, the Policy Custodian shall recommend that Legal rescind the Policy Document, specifically identifying:
  - i. The reason for rescission;
  - ii. Any consultation that has occurred prior to rescission; and
  - iii. Any other actions required (e.g. amendment of other Policy Documents).
- 10.2. Upon receipt of this recommendation, Legal will seek approval from the relevant approval person or body in accordance with Part 9 of these Standards to rescind the Policy Document.
- 10.3. Once rescission is approved, Legal will:
  - i. Notify relevant stakeholders; and



- ii. Remove the Policy Documentation from the Policy Directory, UOW Global Enterprises' intranet and, where applicable, the UOW College Australia website.

## **11. Policy Directory**

- 11.1. Current Policy Documents will be stored on the UOW Global Enterprises Policy Directory, accessible on the UOW Global Enterprises intranet.
- 11.2. The UOW Global Enterprises Policy Directory will be considered the authoritative source of current Policy Documents.

## **12. Responsibilities**

- 12.1. Policy Custodians are responsible for:
  - i. Developing, maintaining and implementing Policy Documents under their control, including the tasks specified in the Workflow at Appendix A;
  - ii. Consulting with Legal when the need for a new Policy Document or an amendment to a current Policy Document has been identified;
  - iii. Using templates provided by Legal;
  - iv. Developing, writing and reviewing the Policy Document in consultation with all relevant stakeholders;
  - v. Ensuring consistency between the Policy Document and any related policies, procedures and/or guidelines;
  - vi. Considering how the changes or responsibilities contained in new or amended Policy Documents shall be communicated to appropriate stakeholders;
  - vii. Developing a Policy Implementation and Communication Plan, which will accompany the Policy Document during the approval process; and
  - viii. Retaining full and accurate records of the Policy Document and consultation/approval process, and providing such records to Legal at the end of the development/review process. Such records may include earlier versions of the document with all mark-up and comments retained, and any applicable correspondence relating to major amendments/revisions, consultation, and approval.
- 12.2. Legal are responsible for:



- i. Providing appropriate support and advice throughout the policy development and review cycle, including the tasks specified in the Workflow at Appendix A;
- ii. Centrally managing consultation and policy approval pathways for new or amended Policy Documents;
- iii. Overseeing the style, format and quality assurance of all Policy Documents;
- iv. Ensuring correct document control and approval mechanisms are in place;
- v. Maintaining the Policy Directory and Policy Review Schedule; and
- vi. Reporting to:
  1. the Quality and Compliance Committee as required;
  2. the UOW Global Enterprises Executive Committee on a biannual basis; and
  3. the UOW College Australia Academic Board on an annual basis

12.3. The UOW Global Enterprises Executive Directors have ultimate oversight of the policies within their portfolio, as specified in the Policy Review Schedule. Each UOW Global Enterprises Executive Director is responsible for:

- i. Managing the overall process of development and review of Policy Documents within their portfolio; and
- ii. Ensuring that the Policy Custodian complete their policy development/review in a timely manner.

### 13. Change History

Version	Approved By	Date Effective	Amendment
1	Vanessa Bourne, Executive Director Legal & Governance	22 August 2017	New Standard as part of the Policy Toolkit Review.
2	Vanessa Bourne, Executive Director Legal & Governance	22 September 2017	Expanded scope to include UOWD.
3	Peter Janu, Executive Director Commercial and Legal		Migration to new template and update to branding and nomenclature. Substantive review to remove UOWD from scope,



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			review definitions of key terms, review and simplify the policy review process, and include key responsibilities for UOWGE Executive Directors.
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