

# UOW ENTERPRISES POLICY STANDARDS

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<b>Custodian:</b>	Executive Director Legal and Governance		
<b>Supporting Documents, Procedures &amp; Forms:</b>	<a href="#">Framework Policy for UOW Students Studying at UOW College</a> <a href="#">Framework Policy for UOWD Students Studying UOW Courses</a> Policy Documentation Dictionary		

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## 1 Purpose

- 1.1 This Standard establishes a consistent and enforceable system for the development, approval, implementation and review of policy documents.
- 1.2 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 Enterprises.

## 2 Scope

- 2.1 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 College;
  - b. UOW Enterprises; and
  - c. The University of Wollongong in Dubai.
- 2.2 The provisions of this Standard apply to all policy documents, including this Standard.

## 3 Definitions

Word/Term	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 UOWD Ltd Board under the terms of a delegation of authority. All lawful



	delegations of UOWD Ltd Board powers and functions are contained in the delegations of authority.
Guideline	An advisory document that provides guidance on how to implement policy documents or apply processes effectively.
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.
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.
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 Dictionary	A collection of words, terms and abbreviations, which are frequently used within policy documentation. The policy dictionary is a tool that aids policy custodians in applying consistent definitions.
Policy Directory	The central repository for all UOW Enterprises and UOW College policy documentation.
Policy Document	A UOW Enterprises or UOW College Standard, Policy, Procedure, Guideline, Manual or Reference Material.
Procedure	A documented instruction that gives directions to carry out specified actions. For the purposes of procedures that support policy, they are mandated directions.
Standards	Standards dictate the minimum requirements for the administration of UOW College, UOWD and UOWE activities.
Rescission	The retraction or deletion of a policy document deemed to be obsolete.

## 4 Principles

4.1 All policy documents must:

- a. Support and be consistent with UOW Enterprises' vision, mission and values;

- b. Assign responsibility and accountability to ensure due diligence in operations;
- c. Comply with the requirements set out in the Standard;
- d. Be consistent with all legislative and regulatory requirements
- e. Be relevant, transparent in their intention and meaning;
- f. Be developed in consultation with UOW Enterprises staff and other stakeholders;
- g. Be binding and applicable across the organisation; and
- h. Be regularly reviewed.

## **5 Hierarchy of Policy Documents**

- 5.1 All policy documents are part of the structured hierarchy of documents that govern operations.
- 5.2 The hierarchy of policy documents, descending from highest to lowest is as follows:
  - a. Rules and Standards;
  - b. Codes;
  - c. Policies;
  - d. Procedures;
  - e. Guidelines; then
  - f. Manuals and other reference materials.
- 5.3 In the event of an inconsistency between two policy documents, the provisions in the document that has a higher position in the hierarchy take precedence over the document that is lower in the hierarchy.

## **6 Interpretation of Policy Documents**

- 6.1 In interpreting policy documents, unless the contrary intention appears in the document, the following apply:

- a. A defined term shall have the meaning ascribed to it in the policy document;
- b. If a policy document defines a word or expression, other grammatical forms of the word or expression have corresponding meanings;
- c. A word or expression that indicates one particular gender shall be construed as every other gender;
- d. A reference to a word or expression in the plural form includes a reference to the singular form and vice versa;
- e. A schedule or appendix to a policy document constitutes part of the policy document;
- f. The word 'may' when used to bestow a duty or power indicates that the action or decision may be enacted or not, at discretion;
- g. The words 'shall', 'must' or 'will', if used to bestow a duty or power, indicate that the action or decision must be enacted;
- h. Headings are inserted for convenient reference only and have no effect in limiting or extending the language of provisions to which they refer;
- i. An uncertainty or ambiguity in the meaning of a provision will be interpreted reasonably and in consideration of the best interests of all parties;
- j. Reference to any statute or other legislation (whether primary or subordinate) is to the current statute or other legislation as amended;
- k. A reference to the word 'including' in any form is not to be construed or interpreted as a word of limitation;
- l. Any reading down or severance of a particular part of a UOW Enterprises' policy document does not affect the other parts of that policy document.

## 7 Requirements of Policy Documents

- 7.1 Policy documents shall identify all relevant legislation and shall be drafted so as to be consistent with operations.

- 7.2 The policy custodian or delegate shall develop all new policy documents.
- 7.3 A delegated authority must approve policy documents.
- 7.4 The policy custodian shall be responsible for consulting Legal and Governance who will assist with consultation and facilitate the approval of policy documents.
- 7.5 The policy custodian must use the Policy and/or Procedure Template from the policy toolkit:
  - a. 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 and Governance.
- 7.6 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.
- 7.7 Where appropriate and after completing relevant research, the policy custodian may seek legal advice on identified issues relating to the policy document's compliance with specific legislation.
- 7.8 The Policy Dictionary should be referred to and used when developing policies. Other policies may also be of use in defining terms.

## 8 Development of Policy Documents

- 8.1 The development of new policy documents may result from:
  - a. Change in corporate strategy or circumstances;
  - b. Newly identified business need(s);
  - c. Legislative or regulatory changes;
  - d. Identified problems associated with the implementation, interpretation or gap in the existing policy framework; or
  - e. An internal or external audit recommendation.
- 8.2 The proposed policy custodian will manage the development of policy documentation and should seek advice from Legal and Governance.

8.3 Legal and Governance will manage the development of new policy documents on behalf of a policy custodian where there is an urgent business requirement or legislative change.

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

Stage 1: Research

Stage 2: Drafting

#### **Research:**

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

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

#### **Drafting:**

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

8.8 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.

## **9 Review of Policy Documents**

9.1 Legal and Governance will maintain a Policy Review Schedule that lists all current UOW Enterprises Policies, their respective custodian, the most recent approval date and the scheduled review date.

9.2 Approved policy documents will be reviewed every two to five years by the Custodian in accordance with the Policy Review Schedule to ensure currency.

9.3 Legal and Governance will ensure that all Policy Custodians are notified at least one month prior to the scheduled review date of the need to review the policy document. The review may also be initiated by the Policy Custodian.

9.4 The review is to comprise a thorough review of the policy and any supporting documentation and consider whether:



- a. The document is still required;
  - b. The purpose is being achieved;
  - c. The document is up to date and consistent with
    - i. UOW Enterprises' Delegations;
    - ii. Strategic Plan;
    - iii. Relevant legislative or regulatory requirements; and
    - iv. Consistent with other UOW Enterprise Policy Documents.
- 9.5 The Policy Custodian is to take all actions needed to ensure the policy is current. This should be done in consideration of the two-stage approach to Policy Development as outlined in Part 8 of these Standards.
- 9.6 Where there has been a substantive change to a policy document, consultation will occur with all relevant stakeholders.
- 9.7 When undertaking a review, approval from the delegated authority must be sought even if it is determined that no amendment is required.
- 9.8 In some instances, Legal and Governance will manage the review of policy documentation on behalf of the Policy Custodian. Examples include:
- a. High operational or compliance risk;
  - b. Urgent business requirements; or
  - c. Legislative change.

## 10 Consultation

- 10.1 Where a policy has been developed or reviewed, the Policy Custodian is to forward the document to Legal and Governance who will identify key stakeholders.
- 10.2 In consultation with the Policy Custodian, a consultation period will be identified and stakeholders invited to comment on the draft policy.
- 10.3 Following consultation, the Policy Custodian is to review the document in light of feedback provided at this stage before requesting Legal and Governance to manage the approval of the document.

## 11 Approval of Policy Documents

- 11.1 Approval of Policy Documents will be done in accordance with the Delegations of Authority, the Framework Policy for UOW Students Studying at UOW College and the Framework Policy for UOWD Students Studying UOW Courses.
- 11.2 The specific approval pathway will depend on the nature of the policy document.
- 11.3 Legal and Governance will coordinate and manage the approval pathway of all Policy on behalf of the custodian.
- 11.4 For minor or administrative amendments, the Policy Custodian or Legal and Governance can approve changes.

## 12 Rescission of Policy Documents

- 12.1 Where it is determined that a policy document is no longer needed, the Policy Custodian shall recommend that Legal and Governance rescind the policy document, specifically identifying:
- a. The reason for rescission;
  - b. Any consultation that has occurred prior to rescission; and
  - c. Any other actions required (e.g. amendment of other policy documentation).
- 12.2 Upon receipt of this recommendation, Legal and Governance will seek approval from the relevant approval body to rescind the policy document.
- 12.3 Once rescission is approved, Legal and Governance will:
- a. Notify relevant stakeholders; and
  - b. Remove the policy documentation from the Policy Directory, UOW Enterprises' Intranet and, where applicable, the UOW College website.

## 13 Document Library

- 13.1 Current policy documents will be stored on the UOW Enterprises Document Library, accessible on the staff intranet.

13.2 The UOW Enterprises Document Library will be considered the authoritative source of current policy.

## 14 Responsibilities

14.1 Policy Custodians are responsible for:

- a. Developing, maintaining and implementing policies under their control;
- b. Consulting with Legal and Governance when the need for a new policy or an amendment to a current policy document has been identified;
- c. Using templates provided in the policy toolkit;
- d. Developing, writing and reviewing the policy document in consultation with all relevant stakeholders;
- e. Ensuring consistency between the policy document and any related policies, procedures or guidelines;
- f. Considering how the changes or responsibilities contained in new or amended policy documents shall be communicated to appropriate stakeholders;
- g. Developing a Policy Implementation and Communication Plan; and
- h. Developing and maintaining full and accurate records of the policy document.

14.2 UOW Enterprises Legal and Governance are responsible for:

- a. Providing appropriate support and advice throughout the policy development and review cycle;
- b. Centrally managing consultation and policy approval pathways for new or amended policy documentation;
- c. Overseeing the style, format and quality assurance of all policy documents;
- d. Ensuring correct document control and approval mechanisms are in place;

- e. Maintaining the Document Library (Policy Directory) and Policy Review Schedule; and
- f. Ensuring a policy review takes place in a timely manner in consultation with the policy custodian.

## 15 Version Control and Change History

Version Control	Date Approved	Approved By	Amendment
1	22 August 2017	Vanessa Bourne, Executive Director Legal & Governance	New Standard as part of the Policy Toolkit Review.
2	22 September 2017	Vanessa Bourne, Executive Director Legal & Governance	Expanded scope to include UOWD.