



Policy and Governance Unit, Academic Registrar's Division

STANDARD ON UOW POLICY

Date approved	6 March 2007	Date Policy will take effect	On approval	Date of Next Review	2011
Approved by	Administrative Committee				
Custodian title & e-mail address	Senior Manager, Policy and Governance Unit governance@uow.edu.au				
Responsible Division	Policy and Governance Unit, Academic Registrar's Division				
Supporting documents, procedures & forms of this Standard	Procedure for the Development and Management of UOW Policy UOW Policy Template UOW Procedure Template Policy Implementation and Communication Plan New Policy Proposal Form Web Content Check-in Form				
References & Legislation	University of Wollongong Act, 1989 State Records Act 1998 Records Management Policy UOW Strategic Plan 2008 - 2010 UOW Style Guide Delegation of Authority Policy Non-Discriminatory Language Practice and Presentation Policy and Guidelines				
Audience	Public – accessible to anyone				
Expiry Date	April 2011				

Contents

1 Purpose	3
2 Definitions	3
3 Application & Scope - Exclusions or Special Conditions (if any)	5
4 Principles	5
5 Requirements of UOW Policies	5
6 Stages of UOW Policy Development	6
7 Review of UOW Policies	6
8 Minor Amendment to Policy	6
9 Major Amendment to Policy	7
10 Approval Pathway	7

[11 Records Management.....7](#)
[12 Responsibilities of the Units, Divisions, Faculties and Committees.....7](#)
[13 Version Control and Change History.....8](#)

1 Purpose

1. The purpose of this Standard is to establish a defined, clear, identifiable, consistent and enforceable system for the development, approval, implementation and review of policies at the University of Wollongong (UOW). It will provide a mechanism to ensure that policies are compliant with the strategic direction of the University and with relevant legislation.

2 Definitions

Word/ Term	Definition (with examples if required)
Administrative Committee	A formally constituted committee of the University Council that acts under delegated authority. It is the executive committee of the University Council with particular responsibility for monitoring policies and performance.
Academic Policy	A policy with a university-wide affect on teaching, learning, research and internationalisation. They comply with all relevant legislation and rules and they have an approval pathway that would normally include the Administrative Committee and/ or the University Council . An authorised delegate of the University Council can also approve policies subject to delegation of authority being included in the resolution of University Council.
Approval Pathway	The pathway through which a policy must move in order to be approved. Approval pathways depend on the nature of the policy, whether the policy is new and for amended policies, the extent of the change to the policy.
Checklist or Flowchart	A list of actions or a diagram in simple language showing the step-by-step operation of a system. They contain statements dictating how to accomplish a task.
Code of Practice or Conduct	A statement of rules and expectations which have been approved in some formal way but without the legal force of legislation or regulations. They focus on duties and responsibilities for particular circumstances, often outlining the required standard of behaviour.
Delegation	To commit powers or functions to others. Under the University of Wollongong Act, 1989 , the University Council may delegate any or all of its functions (except the power of delegation itself) to any member or committee of Council, to any authority or officer of the University or to any other person or body prescribed by the University of Wollongong By-Law 2005 . Council delegations are set out in the UOW Delegations of Authority Policy .
Operational Policy	A policy with a university-wide effect in respect to the administrative and operational functions of the University. They comply with all relevant legislation and rules and they have an approval pathway that would normally include Administrative Committee and/or the University Council . An authorised delegate of the University Council can also approve policies subject to delegation of authority being included in the resolution of University Council.
Policy	A statement that outlines non-discretionary governing principles and intentions in order to guide University practice. Policies apply to the University as a whole. They comply with all relevant legislation and rules and shall be approved by the highest

Word/ Term	Definition (with examples if required)
	delegated authority being the University Council and/or Administrative Committee.
Policy Custodian	The officer that has overarching responsibility for the policy and for ensuring it is implemented, progress is monitored and reported against the policy and that it is reviewed.
Policy Framework	<p>An overarching set of related policies, supporting procedures and guidelines around a central theme. For example the UOW Intellectual Property (IP) Policy Framework includes:</p> <ul style="list-style-type: none"> • The IP Intellectual Property Policy • The IP Student Assignment of IP Policy • The IP Commercialisation Revenue Policy • Associated procedures, guidelines and forms.
Policy Toolkit	A toolkit includes practical information and advice on the development and management of policies.
Procedure	A documented instruction that gives directions to carry out specified actions. For the purposes of procedures that support policy, they are mandated directions.
Protocols	In the Australian Higher Education Sector, Protocols are Commonwealth Government instruments that set out how institutions within the sector should operate.
Rule	An authoritative, prescribed direction for conduct. At UOW, Rules are made in accordance with the University of Wollongong Act and are approved by the University Council. They have the same force and effect as By-Laws. Examples of Rules are General Course Rules, Campus Access & Order Rules, Student Conduct Rules
Standard	Standards dictate an action in particular circumstance or the state of affairs on a particular issue. They establish a precept from a recognised authority with no deviation. Standards may be established internally, but also externally and be adopted by the University. Standards which have University wide effect have the same status and requirements as Policy.
UOW Policy Dictionary	A collection of words, terms and abbreviations which are frequently used within the University and require a standard definition. The dictionary is a tool that aids authors in applying consistent definitions.
UOW Policy Directory	The University's central web based repository for all UOW Policies.
University Council	The governing authority of the University. The University Council acts for and on behalf of the University and controls and manages the University's affairs and concerns.

3 Application & Scope - Exclusions or Special Conditions (if any)

1. This Standard shall apply to any person, unit, division, faculty or committee responsible for the development, maintenance and communication of policy within the University of Wollongong.
2. This Standard's framework consists of [UOW Policy Template](#), [Procedure for the Development and Management of UOW Policy](#), [Procedure Template](#), related forms, the [Policy Toolkit](#) and material related to training.

4 Principles

1. All UOW Policies shall:
 - a. Support and embody UOW vision, mission and values
 - b. Assign responsibility and accountability to ensure due diligence
 - c. Comply with the requirements set out in this Standard
 - d. Be relevant, transparent in their intention and meaning and developed in consultation with the University community and other key stakeholders

5 Requirements of UOW Policies

1. UOW policies shall identify all relevant legislation and comply with the legislative framework that the University operates within.
2. All new UOW policies shall be approved by the University Council and/or Administrative Committee. An authorised delegate of the University Council can also approve policies subject to delegation of authority being included in the resolution of the University Council.
3. All policies shall be sponsored by a member of the Senior Executive of the University.
4. All new UOW policies shall be developed by the Policy Custodian or delegate. As stipulated in section 12 of this Standard, the Policy and Governance Unit (Policy and Governance Unit) will support the Policy Custodian through the provision of advice and expertise in the policy development process and will oversee, on behalf of the University, the policy style and format and recommend the most appropriate approval pathway.
5. Policy Custodian shall be responsible for ensuring that stakeholders are consulted during the development and implementation process. Policy Custodians should refer to the Procedure for the Development and Management of UOW Policy for assistance with this.
6. A Policy Implementation and Communication Plan and the Web Content Check-in form shall be required to accompany the policy through its approval process. The Policy Implementation and Communication form is intended to ensure that the implementation and communication of new policy or major amendments to policy are fully considered. The Web Content Check-in form is required due to the Web Content Management System, in order to be able to post the final approved policy on the Policy Directory.
7. Policy Custodians should use the UOW Policy Template and Procedure Template to ensure consistency in documentation. In some cases modifications to the template may be required in order to meet requirements of the specific policy document. This should only in exceptional circumstances.
8. Consistent with the [Non-Discriminatory Language Practice and Presentation Policy and Guidelines](#), UOW policies shall contain language that is in plain English and audience appropriate. They will not assume a prior knowledge of the subject area by the reader.
9. Where appropriate, external legal advice shall be sought in order to ensure legislative compliance.
10. The UOW Policy Dictionary should be referred to and used when developing policies. Other UOW policies may also be of use in defining terms.

6 Stages of UOW Policy Development

1. Policy development at UOW shall follow a staged approach as set out below and provided in detail in the Procedure for the Development and Management of UOW Policy. The stages should include:

Stage One: Need for policy review or development

2. The Policy Custodian or delegate shall identify the need for new policy or policy revision. If a new policy is proposed then the New Policy Proposal Form shall be completed and forwarded to the Policy and Governance Unit.

Stage Two: Research

3. The Policy Custodian or delegate shall conduct relevant background research into good practice and shall identify implications for stakeholders and other Units/Faculties.

Stage Three: Drafting

4. The Policy Custodian or delegate shall draft the policy, taking into consideration information gathered at Stage two.

Stage Four: Consultation

5. The Policy Custodian or delegate shall ensure that relevant critical stakeholders impacted by the policy have been consulted.

Stage Five: Policy approval

6. Approval shall follow the appropriate approval pathway. The Policy Custodian or delegate, in consultation with the Policy and Governance Unit as appropriate, shall complete the Policy Implementation and Communication Plan which shall be required in order for the policy to be approved.

Stage Six: Communication and implementation

7. The Policy Custodian or delegate shall ensure that the Policy Implementation and Communication Plan is implemented.

Stage Seven: Policy maintenance and review

8. The Policy Custodian or delegate shall ensure any issues arising from policy implementation and over the life of a policy, are addressed at the time of the next review of the policy or, should the issues be critical they may trigger further policy refinement.

7 Review of UOW Policies

1. Approved UOW policies shall be reviewed every three to five years by the Policy Custodian. In some circumstances, such as a legislative change, policies will need to be reviewed prior to the review date.
2. Review of UOW policies should follow the [Procedure for the Development and Management of UOW Policy](#) and may result in minor or major amendments to the policy.

8 Minor Amendment to Policy

1. A minor amendment to a policy is a change to a current policy that is of an insubstantial nature, not affecting the meaning or intent of the policy. Minor amendments to policy require approval from the appropriate member of the Senior Executive.
2. Minor amendments to policies can occur outside of the policy review cycle. All minor amendments shall be documented in the Review and Change History of the Policy.

3. The latest approved version of the Policy shall be forwarded electronically, accompanied by the [Web Content Check-in Form](#) to the Policy and Governance Unit so that it can be placed in the Policy Directory.

9 Major Amendment to Policy

1. A major amendment to a policy is a change to a current policy that is likely to impact upon the intent of the policy and/or on other related policies, stakeholders, aligned procedures, systems, UOW Rules or Codes of Practice or Conduct.
2. Major amendments shall follow the approval pathway for academic and operational policies as defined in Section 2 of this Standard.
3. The latest approved version of the policy shall be forwarded electronically, accompanied by the [Web Content Check-in Form](#) to the Policy and Governance Unit so that it can be placed in the Policy Directory.

10 Approval Pathway

1. The approval pathway shall be determined by the Policy Custodian in consultation with the Policy and Governance Unit.

11 Records Management

1. UOW policies shall be stored in a centrally controlled Policy Directory, which will be accessible through the UOW Website. Policies on the Directory shall be considered the authoritative source. Individual faculties/units shall always link to this source.
2. As stipulated in the [UOW Records Management Policy](#), a full and accurate record of all business activities related to each policy shall be developed and maintained by the Policy Custodian or delegate.
3. Policy Custodians shall maintain a record of outcomes of the [Policy Implementation and Communication Plan](#).

12 Responsibilities of the Units, Divisions, Faculties and Committees

1. It is the responsibility of Units, Divisions, Faculties and Committees to identify those issues that require a policy.
2. It is the responsibility of the Policy Custodian to:
 - a. Complete a [New Policy Proposal Form](#) for new policies and forward to the Policy and Governance Unit
 - b. Use the templates provided in the [Policy Toolkit](#)
 - c. Develop, write and review the policy
 - d. Consult with stakeholders
 - e. Review and up-date policy to comply with relevant legislation.
 - f. Consult with Policy and Governance Unit in respect to development and approval processes
 - g. Ensure consistency between the policy and any related policies, procedures, systems, Codes of Practice or Conduct, Guidelines, Rules.
 - h. Develop and maintain a full and accurate record of the policy.
3. It is the responsibility of the Policy and Governance Unit to:
 - a. Provide appropriate support for the proposal, development and management of policy within the University. The Policy and Governance Unit will support the Policy Custodian through the provision of advice and expertise in the policy

development process and will oversee, on behalf of the University, the policy style and format and recommend the most appropriate approval pathway.

- b. Review New Policy Proposal Forms in order to ensure consistency between the policy and any related policies, procedures, systems, Codes of Practice or Conduct, Guidelines, Rules, relevant legislation and approval pathways.
- c. Ensure the correct document control and approval mechanisms are in place
- d. Maintain the UOW [Policy Directory](#)
- e. Ensure a policy review takes place in a timely manner in consultation with the Policy Custodian
- f. Ensure that a full and accurate record of the policy is developed and maintained.

13 Version Control and Change History

Version Control	Date Released	Approved by	Amendment
1	6 March 2007	Administrative Committee Resolution Number: 2007/10	New Standard
2	20 March 2007	Vice Principal (Administration)	Minor amendment: Addition of definition for standard
3	5 February 2009	Deputy Vice-Chancellor (Academic)	Migrated to UOW Procedure Template as per Policy Directory Refresh