

POLICIES DEVELOPMENT AND REVIEW PROCEDURES 2012

Issued by: **General Counsel**

Date: **18 September 2014**

Amended: **19 January 2017 (administrative amendments only)**

Signature:

Name: **Richard Fisher**

1 Purpose and application

- (1) These procedures are to give effect to the University of Sydney (Policies Development and Review) Rule 2011 (“the **Rule**”).
- (2) These procedures apply to:
 - (a) all staff and affiliates; and
 - (b) all documents which form part of the University's policy framework.

2 Commencement

These procedures commence on 1 October 2014.

3 Interpretation

- (1) Words and phrases used in these procedures and not otherwise defined in this document have the meanings they have in the Rule.

Note: See clause 4 of the Rule.

- (2) In these procedures:

document means any of a policy, procedures, local provisions or guidelines

| | |
|-------------------------------|---|
| draft policy | means a proposed new policy or a proposed amended policy |
| Policy Management Unit | means the unit within the Office of General Counsel that is responsible for administration of the University's policy framework |
| UE | means the University Executive |

4 Policy proposals

- (1) Policy proposals constitute the first stage in the policy process and must be submitted in the form specified in Schedule 1.
- (2) If the General Counsel considers a proposed policy to be necessary, he or she will complete and sign the certificate on the proposal form and return it to the relevant administrator.
- (3) If the General Counsel declines to certify that a proposed policy is necessary, he or she will provide reasons for this decision.

5 Policy development

- (1) The administrator, or proposed administrator, of a policy is responsible for the policy development process. This is the second stage in the policy process and can commence after certification of the relevant policy proposal.
- (2) The relevant administrator must ensure that appropriate stakeholders are adequately consulted during the development process.
- (3) Before a draft policy is submitted to the relevant determining authority, endorsement should be obtained from each of the following:
 - (a) the Policy Management Unit;
 - (b) any relevant UE Committee;
 - (c) if the policy deals with academic issues, the Academic Board; and
 - (d) UE.

6 Policy approval

- (1) Draft policies must be submitted to the relevant determining authority accompanied by the form specified in Schedule 2.
- (2) After determining a policy, the determining authority will sign the policy document and return it and the submission form to the relevant administrator.

7 Development of procedures, local provisions and guidelines

- (1) The relevant administrator is responsible for the development of procedures and guidelines.
- (2) The relevant dean or chief officer is responsible for the development of local provisions.
- (3) The relevant administrator, dean or chief officer must inform the Policy Management Unit as soon as practicable after commencing development of any procedures, local provisions or guidelines.
- (4) Before procedures, local provisions or guidelines are determined:

- (a) relevant stakeholders should be adequately consulted; and
- (b) the endorsement of the Policy Management Unit must be obtained.

8 Document review

- (1) In addition to the reviews required by clause 14 of the Rule, an administrator, dean or the chief officer of an administrative unit (as appropriate) may commence a review of any document at any time.

Note: Clause 9 of the Rule permits deans and the chief officers of administrative units to determine local provisions.

- (2) The administrator, dean or chief officer will ensure that the following are notified as soon as practicable after commencing such a review:
- (a) the relevant determining authority;
 - (b) the Policy Management Unit; and
 - (c) if the document deals with academic issues, the Academic Board.
- (3) The following matters must be considered when a document is reviewed:
- (a) any concerns which have arisen during its operation;
 - (b) the level of compliance;
 - (c) whether it is having the intended effect;
 - (d) consistency with legislative requirements; and
 - (e) what, if any, consequential amendments may be required to any other document.
- (4) If no changes are proposed to a document after review, the relevant administrator, dean or chief officer will ensure that the Policy Management Unit is informed that the review has been completed.
- (5) The Policy Management Unit will record the completion of the review in the policy register.

9 Registration

- (1) As soon as practicable after a document is determined or amended, the relevant administrator, dean or chief officer must provide to the Policy Management Unit:
- (a) a copy of the document in Microsoft Word format, in the case of a policy, procedures or local provisions; or
 - (b) the URL of the document, in the case of guidelines.
- (2) As soon as practicable after a document is rescinded, the relevant administrator, dean or chief officer must inform the Policy Management Unit of its rescission.
- (3) Documents or URLs for addition to the register must be submitted using the electronic form available on the Policy Register website, at <http://sydney.edu.au/policies/>
- (4) The Policy Management Unit will notify the relevant administrator, dean or chief officer when a document has been registered, or when a document's rescission has been recorded.

10 Policy Register a single source of information

- (1) Documents registered after the date of commencement of these procedures may only be displayed on a University website by linking to the Policy Register in a manner which ensures that changes to the Register are automatically reflected in the linked website.
- (2) Documents registered after the date of commencement of these procedures must not be:
 - (a) displayed on any University website in a static state (that is, a state which does not automatically update to reflect changes to the original document); or
 - (b) wholly or partly copied and pasted into any University website.
- (3) Any departure from the requirements of this clause must be:
 - (a) approved by the Policy Management Unit and
 - (b) accompanied by the following statement:

The University amends its policies and procedures from time to time. The version contained here was accurate at [date]. The only authoritative version of the document is the version published in the University's Policy Register at: <http://sydney.edu.au/policies/>.

11 Document templates

- (1) Documents must conform to any templates which may be published by the Policy Management Unit from time to time.

Note: Templates are published, and available for download, from the Policy website, at <http://sydney.edu.au/legal/policy/templates/index.shtml>
- (2) The University Policy Manager may approve departures from the published templates in appropriate circumstances.

12 Flow Chart

A flow chart summarising the development and review process is Schedule 3 to these procedures.

NOTES

Policies Development and Review Procedures 2012

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|------------------|--|
| Date adopted: | 18 September 2014 |
| Date registered: | 22 September 2014 |
| Date commenced: | 1 October 2014 |
| Date amended: | 12 January 2017 (administrative amendments) 19 January 2017 (administrative amendments) |
| Administrator: | University Policy Manager |
| Review date: | 15 February 2017 |

Related documents: University of Sydney (Policies Development and Review) Rule 2011

AMENDMENT HISTORY

| Provision | Amendment | Commencing |
|---|---|-------------------|
| 12 | Correction of numbering | 1 October 2014 |
| Schedule 1 | Updated form | 1 October 2014 |
| Schedule 1 | Updated form (administrative amendments) | 23 May 2016 |
| 7(3) | Administrative amendment | 12 January 2017 |
| 3; 5(3)(a); 5(3)(d); Schedule 1; Schedule 2 | References to Senior Executive Group (SEG) changed to University Executive (UE) | 12 January 2017 |
| Schedule 1 | Updated form (administrative amendment) | 12 January 2017 |
| Schedule 1 | Updated form (administrative amendment) | 19 January 2017 |

SCHEDULE 1

OFFICE OF GENERAL COUNSEL
POLICY MANAGEMENT UNIT

PROPOSAL FOR NEW OR AMENDED POLICY

Submit to: policy.register@sydney.edu.au

This form allows you to seek approval for development of a new or amended policy, as required by the *University of Sydney (Policies Development and Review) Rule 2011*. This form is also required to seek approval to consider a document on the Policy Register for rescission (deletion).

The form will be returned to you with the certificate completed if the proposal is approved.

| | |
|---|--|
| REASON FOR AND AIMS OF THE PROPOSED POLICY / AMENDMENT: | |
| | |
| WHY THE POLICY / AMENDMENT IS REQUIRED: | |
| List the existing policies, procedures and/or local provisions which presently address the relevant subject matter. <i>(These documents can be found in the University's Policy Register).</i> | |
| What alternatives exist for achieving the desired aims? <i>(For example: education campaigns, amending procedures)</i> | |
| Why is a new / amended policy the preferable solution? | |
| THE UNIVERSITY'S STATUTORY OBJECT: | |
| The object of the University is the promotion, within the limits of the University's resources, of scholarship, research, free inquiry, the interaction of research and teaching, and academic excellence. <i>University of Sydney Act 1989 (as amended), s.6(1).</i> | |

Describe how the proposed policy / amendment aligns with this object.

PROPOSED CONSULTATIONS:

Describe the consultations proposed to be undertaken in development of the proposed policy / amendment. Include details of the stakeholders to be consulted, method(s) of consultation and timetable.

It is mandatory to consult with the Disability Action Plan Project Implementation Officer to ensure that the rights and opportunities of people with disabilities are incorporated in policies where relevant, in accordance with The University of Sydney [Disability Action Plan 2013 - 18 \(DAP\)](#).

It is also mandatory to consult with the Safety Health and Wellbeing Unit so that any applicable work health and safety considerations that may be relevant to the policy being proposed are incorporated.

Disability Action Plan Project Implementation Officer
(terri.mears@sydney.edu.au)

[Safety Health and Wellbeing Unit](#)

CERTIFICATE (OGC USE ONLY):

I certify that the proposed policy / amendment is necessary, and may be developed.

Signature: _____

Date: __ / __ / ____

Richard Fisher, General Counsel

SCHEDULE 2

**OFFICE OF GENERAL COUNSEL
POLICY MANAGEMENT UNIT**

POLICY APPROVAL REQUEST

This form accompanies the final draft of a policy or amended policy that is being submitted to a determining authority for approval and signing.

| | | | |
|---|---------------------------------|---|-----------------------------|
| Date: | | To: (<i>determining authority</i>) | |
| Request for approval of : | | <input type="checkbox"/> New Policy <input type="checkbox"/> Amendment to existing policy | |
| Policy title: | | | |
| Administrator: (<i>Name and signature</i>) | | | |
| Contact officer details: (<i>Name, telephone and email</i>) | | | |
| NECESSITY FOR POLICY / AMENDMENT AND CONSISTENCY WITH UNIVERSITY OBJECT: | | | |
| Please attach a copy of the completed policy proposal as certified by General Counsel | | | |
| CONSULTATION: | | | |
| Was consultation undertaken in the manner set out in the proposal? | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| If no, please provide details of, and reasons for, departures from the proposal. | | | |
| ENDORSEMENT: | | | |
| Which of the following have endorsed the policy / amendment? | | | |
| | Policy Management Unit | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| | UE Committee(s) (specify if so) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| _____ | | | |
| | Academic Board | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| | UE | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| COMMENTS: | | | |
| <i>Use this space to explain variations from the usual endorsements or to draw attention to particular provisions or issues:</i> | | | |
| CONSEQUENTIAL AMENDMENTS: | | | |
| What amendments to other documents in the University policy framework will be required if the proposed policy / amendment is approved? Please list the relevant documents and the changes required. Attach marked up copies if necessary. | | | |

SCHEDULE 3

FLOW CHART

