



Purpose

This p

- 1.2. Legislation includes Commonwealth, NSW and ACT laws with which UNSW must comply, including regulations and by-laws made under the *University of New South Wales Act 1989* (NSW).
- 1.3. Codes state the behaviour necessary to meet the core values and obligations of the University. Codes are approved by Council and are university-wide documents. A code may:
 - state principles (objectives that govern and guide conduct and decision-making) and responsibilities for the UNSW Community
 - state university-wide requirements, and
 - contain standards that state required behaviour to achieve the principles of the code.
- 1.4. Policies are documents that:
 - state principles (objectives that govern and guide conduct and decision-making)
 - state university-wide requirements
 - authorise positions to make decisions to implement the policy on behalf of the University
 - may authorise a position to approve changes to a standard or procedure section of the policy

2. Policy Framework

2.1. This policy is part of the UNSW Policy Framework which also includes:

The University's policy document management software platform and its policy project workflows for development, consideration by relevant committees, consultation, approval, publication and reporting.

An online policy library managed by Governance that is the source of truth for university-wide policy documents. This library will include policy documents on the University's activities. All areas of the University must link to the university-wide policy documents published by Governance.

Policy delegations which authorise specific committees or positions to establish, implement and maintain policy documents. Policies may also contain, or be linked to, standards, procedures or instructions that are developed by staff with authority to do this stated in the policy or in the [Register of Delegations](#).

Policy document resources, including templates and forms, that support a standard approach to the development of policy documents and equip staff to develop and review these documents.

Training and policy implementation to support staff and students to find, understand and apply university-wide policy documents.

3. Policy documents support compliance with legal obligations

3.1. Policy documents must be written so they are consistent with the University's legislative obligations to enable a culture of integrity and compliance.

3.2. University-wide policy documents whose requirements ensure compliance with relevant legislation are included in the UNSW Legislation Register managed by the Head, Compliance and Controlled Entities Law.

3.3. The UNSW Community are expected to familiarise themselves with policy documents that apply to their work, studies and interactions and will comply with requirements of those policy documents.

4. Policy documents reflect our values and trust in our people

4.1. Policy documents should reflect our values and trust in our staff and students within a system of accountability and transparency.

4.2. Subject to the risks involved, staff should be able to fulfil their responsibilities and make decisions without policy documents being overly directive or prescriptive.

5. Policy review and development

5.1. The Policy Framework Procedure below states the steps required when reviewing or developing a university-wide policy document.

5.2. The Deputy Vice-Chancellor Transformation, Planning and Assurance may approve changes to the procedure.

5.3. The Director of Governance and University Secretary maintains templates, guides and resources associated with this policy.

Policy Framework Procedure

The policy review and development cycle identifies the steps you must take when reviewing or developing a university-wide policy document. The Deputy Vice-Chancellor Transformation, Planning and Assurance, or their nominee to make such decisions, may exempt codes and policies from steps in this procedure. The policy review and development cycle applies to instructions, however, the instruction developer may adapt each step as appropriate to the instruction.

Figure 1, policy review and development cycle

1. Identify and scope: what kind of document is needed?
 - 1.1. This section applies to the proposed development of a new code or policy.
 - 1.2. The Policy Framework Policy states that the University will have the minimum number of policy documents necessary to govern its activities. A new policy document should only be developed where there is no alternative.
 - 1.3. Check the UNSW policy library and consider whether an existing policy document can be changed to meet the need you have identified. Refer to Section 10 for the process to change policy documents.
 - 1.4. If you consider that a new policy document is essential, you will need to make a case for this and gather evidence which may include:
 - changes in legislative requirements
 - a new or revised higher education standard or government policy
 - an audit or risk assessment finding that has identified a policy gap at UNSW
 - a new strategic direction for UNSW.
 - 1.5. Contact the Governance team for their advice on completing a [Phase One Policy Proposal](#) for the Deputy Vice-Chancellor Transformation, Planning and Assurance to consider. The Deputy Vice-Chancellor will decide whether a new policy document is needed and, if so, what type.
 - 1.6. The pathway for consideration by relevant committees and boards, consultation, endorsement and approval will be negotiated with policy lead/s and responsible officer in consultation with the Director of

2. Consult and research

- 2.1. The Governance team maintains a list of key stakeholders for each code and policy.
- 2.2. If you are reviewing or considering a change to a code or policy, meet with Governance to gain a current list of key stakeholders and work with the Governance team to update the list.
- 2.3. Invite key stakeholders to identify issues they would like to see resolved in the policy document and propose solutions. Stimulate their thinking by providing a list of issues that are known to the responsible officer, policy lead and their teams.
- 2.4. In preparation for consultation workshops and in response to issues raised by key stakeholders, the policy developer should carry out:
 - external benchmarking research to ascertain how other universities and organisations handle similar policies and address the issues in their policy documents
 - internal research to gain a thorough understanding of the issue.
- 2.5. Gather the key stakeholders in consultation workshops to work out solutions to the issues gathered, and to develop the implementation and communication plan.
- 2.6. The implementation and communication plan should list:
 - all actions and communications that are needed to implement new requirements and changes to

in the [Register of Delegations](#) and other UNSW policies.

3.5. Ensure the principles are consistent with the goals expressed in the current UNSW Strategy.

4. Consideration by relevant committees and boards

- 4.1. Depending on the complexity of a policy document, consideration by relevant committees or boards may be required prior to posting a policy document for comment.
- 4.2. Seek advice from policy lead/s, Director of Governance and University Secretary or the responsible officer to determine the pathway required in step 1 for new policy documents or step 2 for review of existing policy documents.
- 4.3. If consideration by relevant committees and boards is required, this may occur prior to posting a policy document for comment.

5. Post for comment

- 5.1. A new policy document, or a policy document with major changes, must be posted on the Governance website for comment from any member of the University for at least two weeks. The document will be posted long enough to allow commenters a reasonable length of time to enable effective review. The Director of Governance will decide the length of posting. A long document or one that introduces a large number of new/changed requirements may be posted for up to six weeks.
- 5.2. Governance will communicate the posting of drafts for comment via Inside UNSW, myUNSW and the policy distribution list. You will be responsible for informing key stakeholders of the posting.
- 5.3. Collate the comments on the drafts and respond to each, in consultation with the policy lead and, as necessary, the responsible officer.
- 5.4. At the time when the responsible officer submits the drafts for endorsement and approval, circulate the table of comments and responses to those who commented, so they can see how their comments were handled.

6.1. Governance will retain the records of consultation and comments for reference by committee members, Council members or the Vice-Chancellor as part of consideration, endorsement and approval.

- 6.1. Governance will retain the records of consultation and comments for reference by committee members, Council members or the Vice-Chancellor as part of consideration, endorsement and approval.
- 6.2. The responsible officer will submit the policy document to relevant committees or boards determined in steps 1 and 2 for review and endorsement prior to approval.

7. Approval

- 7.1. At this stage you will prepare a policy approval form to describe the background, consultation process followed, summarise changes and the reasons for the changes. A policy officer in Governance will

8. Implementation and communication

8.1. Once a policy document has been approved, Governance will publish it in the online policy library and communicate the published version:

to the policy developer and policy lead listed on the approved policy document
via

Effective: 1 January 2024

Responsible officer: Deputy Vice-Chancellor Transformation, Planning and Assurance

Policy lead: Director of Governance and University Secretary

Contact: [Senior Policy Officer, Governance](#)