

Policy on the Formulation & Issuance of University Policies

Purpose

The purpose of this policy, also known as the 'Policy on Policies', is to define the process by which University policies are to be developed, approved and maintained. Through using a consistent policy development process and format it should be possible to assemble policies that are:

- appropriately developed and regularly updated;
- easy to find, read and understand;
- consistent with the University's mission;
- compliant with applicable laws;
- reduce risk; and
- promote best practices across the University community.

It is acknowledged that full compliance with this policy, of which it is the first of its type within the University, shall take a period of time following its approval and introduction. However, it is expected that as new policies are developed or existing policies are amended, that they shall adhere to the provisions set out in this policy.

Scope

This Policy applies to all units of the University, both academic and support and research centres. These are all hereinafter collectively referred to as the 'University'.

Policy Statement

University policies shall be:

- a) Developed according to the process set out in this policy;
- b) Presented in a standard and common format;
- c) Formally approved by an appropriate level of University management;
- d) Accessible to all parties with an interest in the policy's subject matter;
- e) Kept up to date and current within a framework of an organized system of change control;
- f) Clearly described as policies and kept separate from related documentation such as procedures, guides and other types of related documentation.

All individuals who are responsible for the drafting, updating, approval and distribution of University policies shall comply with this policy. Internal policies, where they exist and apply to the operations of University units, shall not be in conflict with this policy but they may be more restrictive.

The requirements for the formulation and issuance of University policies set out in this policy shall not apply to those University policies in existence before this policy was approved. However, where an existing policy is revised or replaced in future after the date of approval of this policy, the requirements set out in this policy shall be applied.

A) *Policy development*

The Policy Owner shall be responsible for the drafting of new or revised University policies, ensuring policies are up to date, consulting with interested parties and for steering the policy through the levels of University management required for approval. The Policy Owner shall also arrange for the policy's publication, when approved, on the University website in consultation with the University Risk and Compliance Officer.

B) *Policy format*

The drafting of University policies shall adhere to the format set out in the Policy Template referred to below in the section on related documentation. The format may be amended but only to the extent necessary to add clarity to a policy. Certain sections of the policy template are mandatory and shall be used when drafting a policy. Other sections of the policy template are optional and the Policy Owner is not required to apply them unless they add further clarity to the policy and they deem it appropriate to do so.

C) *Policy approval*

The process for reviewing & approving draft University policies may vary depending upon the nature of the policy. Policies that have a University wide scope shall be approved by the University Executive or a sub-group delegated by the Executive. Policies whose scope is limited to a single unit may be approved by the Head of Unit. In general, the responsibility for promoting compliance with a policy will rest with the Policy Owner unless as specified otherwise within the policy.

D) *Accessibility*

The majority of policies will be accessible and published on the University website and by any other means as deemed appropriate. Confidential policies, which are for staff use only, will also be published on the University website but controls will be implemented to the extent that only current members of staff will have access to that category of policies.

E) *Regular review*

The Policy Owner for each policy shall be responsible for keeping the policy up to date and for ensuring that only approved versions of the policy are accessible via the University website. The Policy Owner shall periodically review policies which fall under their remit. Each policy shall state the date on which it was approved by Executive. Except where a separate process or authority for making changes to a policy are included within the policy, the amendments to existing policies and the development of new policies shall follow the development and approval process as outlined in sections (a) and (c) above. The University Risk and Compliance Officer shall assist Policy Owners in implementing a process of regular review and shall provide guidance to Policy Owners in relation to complying with the requirements of this policy.

F) *Separation of policies from related guidance material*

Policies are to be clearly designated as a policy in their title. Other guidance material which assists in the understanding or implementation of a policy shall not be inserted as text within the policy. Such material shall be referred to in the "Related Documentation" section of the policy.

Definitions

University Policy

A policy is a statement of intent which can be used to guide decisions. A policy may stand on its own or can be implemented through procedures, protocols or one of the other document categories shown under 'Policies' in the University's document hierarchy.

A University policy has a broad application or impact throughout the University across both academic and / or support units. They can assist in promoting compliance with applicable laws or regulations, best practice, ethical

norms, pursuit of the University's mission or in the promotion of efficiencies. They can also assist in the reduction of risk.

University wide policies are approved by the University Executive whereas unit level documents are usually developed, approved and adopted at a unit level.

The Governing Authority of the University approves policies across a range of areas that are reserved functions for the Authority and these include policies incorporating the arrangements for the appointment and remuneration of staff and for disciplining, suspending or dismissing staff as proposed by the President. The Authority also approves policies on Risk, Health and Safety, Quality, Equality, and Respect and Dignity. New policies or amendments to existing policies outside of the reserved functions of the Governing Authority maybe brought to the Authority, at the discretion of the President.

Once approved compliance with a University policy is mandatory.

Procedure

A procedure is a guideline or series of interrelated steps which can assist in the implementation of a policy. Procedures establish who, what, where and when in relation to a given activity as well as establishing accountability in support of the implementation of a policy. University procedures shall:

- be written in a format that is easy to follow;
- be published separately from the policy to which they relate;
- be reviewed and updated on a regular basis to check for compatibility with the most recent versions of the related policy; and
- generally do not require formal approval by senior executive levels of the University.

Policy Owner

The Policy Owner is the appropriate academic or support unit of the University whose remit / responsibility covers the subject matter of the policy. The Policy Owner shall be responsible for the substance of policy documents and for promoting compliance with the policy unless as specified otherwise within the policy.

Related Documentation

1) Policy template

The policy template sets out the prescribed layout to be used when drafting University policies.

2) Document hierarchy

The document hierarchy sets out the various categories of documents which are generally in use within the University and their place within a structured document hierarchy. In addition, it also outlines definitions for the categories of documents referred to in the hierarchy.

3) Guidelines on Policy Development

The guidelines on policy development sets out the issues to consider when drafting University policies.

Contacts


If you have any further queries in relation to this policy please contact:

- 1) Chief Operations Officer;
or
- 2) Risk & Compliance Officer.

Policy Review

This policy will be reviewed every three years.

Version Control

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