



- 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
  - are approved by the Vice-Chancellor, and
  - may contain:
    - standards that state required behaviour, levels of quality or an operating standard for a product, service or system, to achieve the principles of the policy
    - procedures that state the University





## 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

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

## 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 Inside UNSW and myUNSW
  - to Faculty Executive Directors and Divisional Directors of Operations and the Compliance Manager.
- 8.2. The policy lead will review and carry out the implementation and communication plan established in section 2.6. Where the responsible officer considers that the actions and communication in the implementation and communication plan require coordination to ensure that they are carried out, they or the policy lead will convene a working party of the staff with actions in the plan to coordinate implementation.

## 9. Effectiveness monitoring and review

- 9.1. When a new code or policy is approved, or changes to requirements in a standard or procedure are approved, the policy lead will hold a post-implementation review meeting with the key stakeholders within one year after the new/changed policy document took effect. The purpose of this meeting is to review implementation of new/changed requirements and consider whether any changes to the policy document are needed.
- 9.2. The policy lead will keep a record of issues raised by their team, key stakeholders and/or other users of the policy document.
- 9.3. Every two years the policy lead for a code or policy must consult key stakeholders to determine whether the code or policy and any procedures and standards that support it are up to date and fit for purpose and if not propose changes (refer to section 10).
- 9.4. Codes and policies will be due for full review five years after their effective date. A review will occur earlier than five years if a policy specifies an earlier review date or if legal or other changes require the policy to be updated to remain fit for purpose. The five-yearly review will include a review of any standards, procedures and instructions that support the code or policy.
- 9.5. Governance will annually inform responsible officers and policy leads of which codes or policies for which are due for review in the following year.
- 9.6. Governance will provide the University Leadership Team with an annual report of all codes and policies due for review in the current year or following year, or overdue for review, or of which the review has been completed in the current year. Governance will provide a similar annual report to Academic Board comprising only academic policies.
- 9.7. In preparation for review, the policy lead will consult the key stakeholders on their views as to whether the code or policy is effective in its current form or whether it and/or its supporting standards or procedures need to be changed.
- 9.8. Informed by that consultation, the responsible officer for a policy document will determine which of the following five-year review outcomes applies:
- a) No change
- If a policy document does not need changes, the responsible officer or authorised staff member must advise Governance so

d) Retire

A policy document may be retired if it is no longer needed, for example, because of legislative, strategic or compliance changes. To retire a document, the policy lead must follow the steps in the retirement checklist.

## 10. Changes to policy documents

10.1. A policy document may be changed as an outcome of a five-year review, or before.

10.2. Minor changes are changes, other than an administrative change (refer to section 10.9), that do not significantly change the meaning or effect of the policy document. These changes may be endorsed by the policy lead and approved by the responsible officer for a policy or code, without going through the policy development/review process stated in section 2. Where a position has delegated authority to develop, review and approve a standard, procedure or instruction, they may approve a minor change to it without going through the policy development/review process.

10.3. A major change to a policy document is one that:

- is contentious or complex
- significantly changes the meaning or application of the policy document
- will require a substantial change to current practice, or
- will significantly change roles and responsibilities.

10.4. To make a major change, you must follow the policy development cycle from section 2 above onwards, unless a fast-track process is approved in accordance with section



