Policy Framework

1. Purpose

The purpose of this Framework is to ensure that the University's Policy Documents are:

(a)   user-friendly, fit-for-purpose, and up-to-date;

(b)   developed, implemented, and reviewed in an appropriate and consistent manner;

(c)   aligned with University strategies, objectives, priorities and requirements; and

(d)   easily available and understandable to members of the University community.

2. Application of Policy

This Framework applies to Staff Members of the University and, despite its name, has been approved as a Policy.

Policy Content

3. Principles

3.1   Policy Documents must:

(a)   be created only where there is a clear and justifiable need and with long-term application to the University;

(b)   align with University strategies, objectives and priorities;

(c)   be consistent with legal requirements and community expectations;

(d)   be relevant, reasonable and feasible to implement within University resources;

(e)   have a Sponsor and Policy Contact, use the appropriate template, and be approved by the relevant Approver in accordance with the procedure in Appendix 1;

(f)   be in plain English and easily understood by members of the University community;

(g)   be regularly reviewed by the Sponsor and, at a minimum, within the Review Period;

(h)   be developed in consultation with the University community and other key stakeholders;

(i)   encourage behaviour that reflects the University's values;

(j)   as far as possible, consolidate content into fewer rather than more documents based around a broad area of University operations;

(k)   as far as possible, set out principles that form the parameters within which decisions and actions are taken; and

(l)   be communicated to areas of the University community affected by the Policy Document.

3.2   The Sponsor of a Policy Document is responsible for ensuring that the Policy Document is developed, implemented and reviewed in accordance with this Framework.

3.3   Managers are responsible for promoting and ensuring compliance with Policy Documents within their team.

3.4   Staff Members must comply with Statutes, Policies, Regulations, Processes/Procedures. Compliance with Guidelines is recommended.

4.   Classification of Policy Documents

A Policy Document must be classified as a Statute, Policy, Regulation, Process/Procedure, Guideline or Operating Document unless the Vice-Chancellor approves otherwise. The hierarchy is as follows:
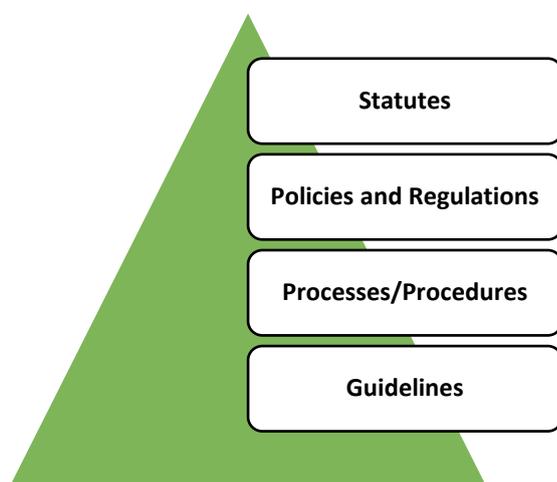
(a)   **Statutes** are approved by Council and concern the matters specified in section 194(1) of the Education Act 1989. Statutes are always University-wide in their application.

(b)   **Policies** set out principles which govern and guide staff and students on specified matters. Policies are always University wide in their application and must be high level and principles-based, expressing the objectives and intentions of the University.

(c)   **Regulations** set out rules that govern the design, delivery, and administration of programmes and courses.

(d)   **Processes/Procedures** describe processes and actions required to implement a Statute, Policy or Regulation or comply with a legal requirement. Processes/Procedures should be appended to the relevant Statute, Policy or Regulation.

(e)   **Guidelines** set out the University's view of appropriate or best practice on a particular matter. Guidelines are associated with, and give effect to, a Statute, Policy or Regulation.

(g)   A Policy Document must not be inconsistent with another Policy Document at the same level or higher in the hierarchy.

(h)   A Director of a Central Service Unit may develop and approve appropriate operating requirements for that Central Service Unit. Such operating requirements are not Policy Documents and are not published on the Policy Repository.

Note: Assistance with classifying a policy document may be sought from Legal Services by emailing policy-help@vuw.ac.nz

5.   Approval

5.1   Policy Document Approvers are as follows:

Classification	New or Major Amendments	Minor Amendments
Statutes	University Council	Vice-Chancellor
Regulations	Academic Board	Provost
Policies and Procedures relating to academic quality assurance matters	Academic Board	Provost
Policies and Procedures (other than those relating to academic quality assurance matters)	Vice-Chancellor	Sponsor General Counsel
Guidelines	Sponsor	Sponsor General Counsel

5.2   The Academic Board must be given an opportunity to review and provide advice on draft Statutes that relate to courses of study or training, awards, and other academic matters (or draft Major Amendments to such statutes) before that draft proceeds to the Approver.

5.3   New and amended Policy Documents take effect from the effective date specified in the Policy Document (unless, for exceptional circumstances, the Approver specifies otherwise).

6.   Policy Repository

6.1   All Policy Documents will be stored in a central electronic repository on the University website which contains the current official version of any Policy Document. Previous versions of Policy Documents will be held by the Policy Office.

6.2   Policy Documents available on the University's central electronic repository remain valid and in force, regardless of whether the review deadline has passed. However, the Vice-Chancellor may authorise a Policy Document (other than a Statute) to be removed if it has not been reviewed for 5 years.

7.   Definitions

In this Framework, unless the context otherwise requires:

Approver:	The body or role within the University authorised to approve a new or amended policy document.
Major Amendment	An amendment which alters the substance of the Policy Document.
Minor Amendment:	An amendment which does not alter the substance of a Policy Document (e.g. formatting changes, changes to role titles or contact information, correction of minor errors or cross-references).
Policy Contact	The role with day-to-day responsibility for the Policy Document.

Policy Document:	A Statute, Policy, Regulation, Process/Procedure, or Guideline. See paragraph 4 for further detail.
Policy Office	The Academic Office for all academic Policy Documents. Legal Services for all other Policy Documents.
Review Period:	The period within which a Sponsor must review a policy document (normally every 3 years).
Sponsor:	The role with overall responsibility for a Policy Document and for ensuring that it is approved, implemented and reviewed in accordance with this Policy. A Sponsor should usually be a member of the Senior Leadership Team (SLT).

Related Documents and Information

8.   **Related Documents**

Education Act 1989

9.   **Document Management and Control**

Approver	Vice-Chancellor
Approval Date	25 July 2017
Effective Date	25 July 2017
Last Modified	N/A
Review Date	25 July 2020
Sponsor	Chief Operating Officer
Contact Person	Director, Academic Office General Counsel

Appendix 1: Policy Development and Review Processes

POLICY DEVELOPMENT AND REVIEW PROCESSES

This applies to all new and major amendments to Policy Documents (other than Operating Documents)

1 Identification of the need for a new or amended Policy Document
— *Sponsor to gather information, identify requirements, and review existing Policy Documents, confirm whether an amendment to an existing Policy Document or new Policy Document is required; identify key stakeholders*

2 Develop draft Policy Document
— *Policy Office (working with the Policy Sponsor) drafts the new or amended Policy Document*
Sponsor consults with key stakeholders on draft Policy Document
Sponsor approves draft Policy Document

3 Draft Policy Document goes to VC for approval in principle
— *Sponsor brings draft Policy Document to VC (using approved cover sheet) for approval in principle prior to University-wide consultation*
(This step is not required for Regulations or Guidelines.)

4 Consult and Revise
— *Policy Office circulates draft Policy Document for consultation and gathers feedback*
Following consultation, Sponsor considers feedback and determines amendments as required
Policy Office carries out final Quality Check

5 Approval
— *Sponsor brings draft Policy Document to VC for approval (using approved cover sheet). This is not required for Guidelines – these are approved by the Sponsor – or Regulations.*
Following approval, Sponsor takes draft Policy Document to final Approver (if required) using approved cover sheet.

6 Communication and Implementation
— *Sponsor submits final approved document to Policy Office for publication on the Policy Repository where required and updating of Delegations schedule.*
Sponsor (in consultation with the Policy Office and Communications and Marketing) communicates approved document
Sponsor implements approved Policy Document

7 Regular Review
— *Policy Office contacts Sponsor when Review Date is approaching*
Sponsor reviews Policy

No change
Amend
Repeal
— *No Change – Sponsor informs Policy Office has been reviewed and no changes are required. Policy Office reports this to SLT and a new Review Date is applied*
Amend – Approval Process recommences
Repeal – Sponsor recommends the Policy Document is repealed. Policy Office reviews and key stakeholders consulted. Sponsor brings recommendation to SLT for approval. Following SLT approval, Sponsor brings recommendation to repeal to Approver (if required)

This applies to Minor Amendments

1 Identification of the need for a minor amendment to an existing Policy Document

Sponsor to identify requirements for a minor amendment to an existing Policy Document and identifies key stakeholders

2 Develop draft Policy Document

Sponsor (working with the Policy Office where appropriate) drafts the minor amendment

3 Consult and Revise

Policy Sponsor circulates draft for consultation and gathers feedback

Following consultation, Sponsor considers feedback and determines amendments as required

Policy Sponsor (working with the Policy Office where appropriate) carries out final Quality Check

4 Approval

Sponsor brings draft to relevant Approver for approval

5 Communication and Implementation

Sponsor submits final approved Policy Document to Policy Office for publication on the Policy Repository and updating of Delegations schedule

Sponsor (in consultation with the Policy Office and Communications and Marketing) communicates approved Policy Document

Sponsor implements approved Policy Document

6 Regular Review

Sponsor reviews document