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## Policy Development and Approval Procedure

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<b>Policy/Document Approval Body:</b>	Governance Board
<b>Date Created:</b>	17 <sup>th</sup> January 2011
<b>Policy Custodian:</b>	Dean of Engineering
<b>Policy Contact:</b>	Accreditation Manager
<b>File Location:</b>	W:\Data - ALL.Standard\Policies and Procedures\EIT Policies and Procedures
<b>Location on EIT website:</b>	<a href="http://www.eit.edu.au/organisation-policies">http://www.eit.edu.au/organisation-policies</a>
<b>Definitions (if required):</b>	<p><b>Policy:</b> A concise formal statement of principles and intentions that dictates how the EIT will act in a particular area of its operation. They are required to comply with all relevant legislation and rules and shall be approved by the highest delegated authority being either EIT's Governance Board or Academic Board.</p> <p><b>Policy approval authority:</b> The Governance Board or the Academic Board with authority or delegated authority to approve policy or procedure.</p> <p><b>Policy contact:</b> The person who has line-management responsibility for the policy area and will guide the development, implementation and review of the policy to ensure the content of the policy is accurate and reflects current needs and practice.</p> <p><b>Policy custodian:</b> The executive who has overarching responsibility for identifying and setting the strategic direction of the proposed policy and determining the overall context in which a policy might be developed or revised. Their responsibility extends to how it is implemented and how it is monitored and reported.</p> <p><b>Procedure:</b> A formal statement that specifies the actions or steps to be taken or conditions to be observed in implementing a policy or an aspect of a policy.</p>
<b>Review Period:</b>	Three years
<b>Revision No:</b>	4
<b>Date of Revision:</b>	29 August 2013
<b>Purpose:</b>	This procedure provides instruction to EIT staff on the process to be used to develop and manage EIT policies. It supports the EIT's Policy Development and Review Process, the Flowchart and Guidelines.



<b>Scope:</b>	This procedure applies to all EIT staff who are responsible for the development and management of EIT policy.
<b>Overview:</b>	Procedures are key elements in implementing EIT policies and are constantly evolving and improving. Some procedures are discarded if they cease to become relevant and there is a need to identify new procedures which may be applicable.
<b>Essential Supporting Documents:</b>	- Policy Development and Review Process Flow Chart - Policy Development and Review Process Guideline - Policy Template Instruction
<b>Related Documents:</b>	- Procedure for Dissemination and Promotion of Policies and Procedures

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The Policy Contact shall follow the procedures set out in this document with regard to the development of policy. They will normally follow the staged approach as defined in the EIT's Policy Development Flowchart.

The style of EIT policies shall be consistent with those maintained in other formal documents developed by the EIT.

### **1. Needs Analysis**

The issues that could trigger a policy review or new policy development need to be identified as a basis for a proposal. A member of staff or a committee with a particular interest in or responsibility for a policy issue may instigate the development of a new or revised policy /procedure /guideline document. Triggers to initiate a new policy or review an existing policy can include:

- The review date for an existing policy;
- Policy gaps which may come to light through a committee process, consultation with students or other stakeholders, or through changes in the environment within or external to the EIT, including legislative change.

The relevant person or committee will approach the policy contact with a proposal to develop or revise a particular policy document and to establish that an appropriate policy document does not already exist.

The policy contact will:

- liaise with the policy custodian to discuss any strategic implications; and
- identify whether there is a need for a policy development team that can support the policy development.



In identifying policy issues the policy custodian must make a decision with regard to the degree of urgency in relation to specific policy issues and whether they need:

- an immediate review or new policy development
- a later review or development
- a mechanism other than the policy process.

In the case of new policy development, a policy proposal shall be completed and submitted to the Accreditation Manager who will seek approval from the Dean. If there is sufficient support for the development or review of a policy, a policy development team can be assembled. The team may include:

- the policy custodian
- staff who have expertise with regard to the subject matter
- students, if this is appropriate
- Governance and Academic Board representative/s
- in some instances consultation with external organisations, experts in a specific field and/or critical stakeholders may be necessary at this stage to obtain information that helps to identify policy gaps.

If appropriate, the policy development team can provide advice in relation to policy development, related policies, policies that may be superseded by the new policy and legislation and approval pathways. This information will assist in determining the scope and impact of the policy and the timeframe for completion.

## **2. Research**

The policy custodian will analyse any relevant information that could inform the policy development and review team as to whether a rule, policy, procedure and/or guideline is required and the degree to which the same will accord with EIT's strategic plan. Research may focus on but not be limited to data analysis, literature reviews and best practice.

This analysis will help to identify whether legislative or other external regulations will impact on the policy proposal.

The policy custodian will analyse the implications of the policy development and review and consider how the proposed policy will impact on other existing policies, stakeholders, administrative procedures and systems development. This analysis will help to identify:

- stakeholders and mechanisms for consulting with stakeholders in later stages. In some instances it may be useful to consult with experts in the field and/or critical stakeholders at this stage when their input would be of assistance in drafting policy.
- the scope of the implementation needs, the resources required for policy implementation and the potential impact of the policy on other policies and procedures.
- best practice guides and standards in industry and government as well as within the field of higher education.
- the appropriateness of preparing a discussion paper rather than immediately drafting a policy document.



### 3. Drafting

In consultation with stakeholders, the policy custodian shall draft the new policy or amend the existing policy following the appropriate procedures and policy templates.

The policy custodian will ensure that policy principles are set out in a clear, unambiguous and self-explanatory way using plain English which is both inclusive and non-discriminatory.

The policy custodian will identify the responsibilities and expectations of stakeholders. Early consultation with critical stakeholders could be useful to inform the drafting stage of the policy. The policy custodian will identify any associated EIT policies that may need to be modified or superseded.

The policy custodian will ensure that changes in subsequent versions of draft documents are recorded in the policy framework spread sheet.

The policy custodian will ensure that documents are formatted according to the templates that are approved by and used by the EIT. The Governance and Academic Boards should be consulted to provide ongoing assistance with regard to content and style.

Documents will be set out so that:

- The title of all policies and procedures identify the specific nature of the subject.
- The following information must follow:
  - ✓ Approved By: (*the relevant group or individual*)
  - ✓ Date of Creation: (Original Approval Date)
  - ✓ Policy Custodian:
  - ✓ Policy Contact:
  - ✓ Location Saved:
  - ✓ Publicly displayed on the EIT website:
  - ✓ Definitions:
  - ✓ Review Period:
  - ✓ Revision Number:
  - ✓ Date of Revision:
  - ✓ Purpose:
  - ✓ Scope:
  - ✓ Overview:
  - ✓ Scope:
  - ✓ Essential Supporting Documents:
  - ✓ Related Documents

#### **4. Consultation**

The policy custodian will develop and implement a consultation plan. From the earlier procedural stages the plan will identify:

- The target groups and individual stakeholders to be consulted
- The goal of the consultation process with each stakeholder group or individual
- The timeframe of the consultation process and deadlines set for the receipt of feedback

The policy custodian will consider a range of consultation techniques and tools to distribute the draft policy document and consult with stakeholders. For instance, the draft policy document can be posted on the EIT's website. Depending on the constraints operating on the policy, it may not always be possible to consult with all stakeholder groups and, when this arises, these constraints should be made clear.

#### **5. Approval**

The final draft of the policy shall proceed through the approval pathway. It should be submitted to the policy custodian for finalisation and then submitted for final approval to the highest delegated authority.

Any draft policy and related procedures, guidelines and other documentation that support the policy to do with teaching and learning or research that relates to assuring the quality of those activities will require approval by the Academic Board.

Any draft policy and related procedures, guidelines and other documentation that support the policy to do with non-academic policy may be finalised by the senior manager in the relevant area but ultimately it will require approval by the Governance Board.

The final draft policy document shall include the communication and implementation plan. Policies or aspects of a policy that are superseded also need to be identified and included in the communication and implementation plan.

Once a draft policy is approved by either the Governance Board or the Academic Board it should be registered as 'Approved'.

The policy document and the cover sheet specifying information, such as the origin of the document, the implementation date, the key issues, the breadth of consultation and the date of approval, will be retained and archived in the policy directory.

#### **6. Communication and Implementation**

The policy custodian in consultation with the appropriate policy contact, will initiate communication strategies to:

- ensure that EIT staff are advised of the policy approval and the degree to which it will have an impact on the administrative framework and procedural guidelines of the EIT.



- ensure that stakeholders are notified that the policy has been approved by the highest delegated authority. The strategies will include:
  - the posting of the policy document on the EIT website
  - an email attaching relevant documentation sent to a wide range of stakeholders

The policy contact will also begin to implement the approved policy in accordance with the communication and implementation plan. Implementation strategies may include education and training workshops for EIT staff to show how the policy could change the way specific aspects of their work will be carried out. There is a detailed procedure on Dissemination of Procedures and Policies to ensure this is undertaken appropriately.

The policy custodian will be responsible for the way a record of progress is maintained against the plan.

## **7. Maintenance and Review**

The policy custodian, in consultation with the policy contact, will maintain the policy throughout the period when the policy is being implemented and monitor its uptake and record feedback that will inform further reviews of the policy.

Unless otherwise arranged, such as is the case with regard to the EIT Strategic Plan, which is reviewed annually, policies will be reviewed by the Governance Board and the Academic Board every three years.

The policy contact will monitor whether the policy is being followed appropriately, or whether an audit is required in relation to compliance. The feedback from this monitoring process will be conveyed to the policy custodian and to the Academic and Governance Boards.

The policy custodian will ensure that the outcomes and effectiveness of the policy are measured and that feedback informs the further development of the policy.