

# POLICY FRAMEWORK PROCEDURE

## SCOPE

This procedure applies to all Monash University policies, procedures and schedules.

University procedures and schedules are a subset of University policy and references to 'policy' and 'policies' in this document include procedures and schedules unless the context indicates otherwise.

## PROCEDURE STATEMENT

This procedure supports the [Policy Framework Policy](#) by setting detailed instructions for the development, approval, review, amendment, and rescission of all University policies.

### 1. Policy development and consultation

1.1 The triggers for a new policy may include:

- changes to the external operating environment;
- changes to government policy or legislation;
- review of the University's strategic directions;
- academic or operational initiatives;
- need for consistency across areas of service delivery; and/or
- gap or inconsistency in existing policies.

#### Approval to proceed

1.2 Before a new policy can be developed, the policy owner/delegate must seek approval from the University Policy Team.

1.3 The policy owner/delegate prepares a policy proposal stating:

- objectives of the new policy;
- justification for the new policy;
- an impact statement; and
- preliminary consultation and implementation plans.

1.4 The University Policy Team considers proposals for the development of a new policy and determines if the new policy is required, and will confirm the policy category.

1.4.1 The University Policy Team reserves the right to inform changes to a policy proposal, such as to the policy category or consultation plan.

1.5 If a proposal for a new policy is rejected, the policy owner/delegate may seek a review from the Vice-President, Strategy and Governance by a request in writing.

#### Template

1.6 Policies must use the appropriate [template](#) published on the Policy Bank and maintained by the University Policy Team.

#### Consultation

1.7 The policy owner/delegate must consult key stakeholders to inform development of a new or reviewed policy, and to plan its implementation. Consultation must include stakeholders at all relevant Monash operating locations in and outside of Australia, and the Risk and Compliance Unit.

1.8 When submitting a policy for approval, the policy owner/delegate must include information on consultation undertaken, including issues raised by stakeholders and how these issues were addressed.

## 2. Approval and endorsement

- 2.1 The policy category determines the approval authority, as set out in the [Policy Framework Policy](#).

## 3. Implementation and communication

- 3.1 Implementation of a new or revised policy must be considered during the development and review processes, and should include any impacts on existing University policy.
- 3.2 The University Policy Team will coordinate the implementation of a new policy, according to the communication and implementation plan provided in the policy proposal.
- 3.3 Following approval by the relevant authority, the University Policy Team must ensure that the approved policy version is published on the Policy Bank and that the new policy or policy amendment/s are promulgated as appropriate.
- 3.4 Policies come into effect on the working day following publication on the Policy Bank, unless specifically stated otherwise in the approval process.
- 3.5 The policy owner/delegate will maintain an issues register to record policy issues and to inform the measurement of policy effectiveness.

## 4. Review and amendment

### Review

- 4.1 Policies must be reviewed at least every three years, unless otherwise specified at the time of approval. Procedures and schedules must also be reviewed at the same time as the parent policy, but may be amended more frequently to allow for changes to operational practices and other factors.
- 4.2 Review dates must allow adequate time for review and approval processes and must take into account the review cycle of other policy to ensure adequate resources are available.
- 4.3 Reviews must address as a minimum:
- 4.3.1 changes to legislation and other relevant factors that may affect the policy;
  - 4.3.2 interrelationships with other policies;
  - 4.3.3 consultation with key stakeholders;
  - 4.3.4 the effectiveness of the policy in its implementation, as measured through an issue register and/or other evaluative activities such as surveys, committee feedback and data reports; and
  - 4.3.5 review of best practice and benchmarking in the sector.
- 4.4 The University Policy Team will coordinate the review process in collaboration with the policy owner/delegate.
- 4.5 The policy review date and version number will be reset following completion of a review or amendment.

### Major amendments

- 4.6 Major amendments are changes to the intent of the policy, or to the rules for decisions under it, or that require changes to other policy or procedure. These normally arise from a full review of the policy or procedure, but may occur due to legislative or regulatory changes, or where a need to improve current practice is identified.
- 4.7 Major amendments follow the same development and approval process as new policy.

### Minor amendments

- 4.8 Minor amendments are changes to reflect legislative, regulatory or systems changes that don't meet the criteria for major amendments. Minor amendments can be endorsed by the policy owner and approved by the category endorser of policy or procedure.

### Administrative amendments

- 4.9 Administrative amendments are superficial or administrative in nature, and do not substantially change the policy. These can include changes in nomenclature, editorial corrections, updates to names of committees or position titles, updates to references or hyperlinks made in text, and changes to information in the Governance section.
- 4.10 Administrative amendments can be requested by the policy owner/delegate and approved and actioned by the Senior Manager, University Policy.

## 5. Rescission

- 5.1 The policy owner/delegate must seek advice from the University Policy Team before seeking to rescind a policy to ensure no impact is made on associated policies.
- 5.2 The same authority that approved a policy is responsible for its rescission.
- 5.3 The rescission comes into effect on the working day following its removal from the Policy Bank, unless specifically stated otherwise in the rescission process.
- 5.4 If the position and/or deliberative body that originally approved a policy has changed, the nearest appropriate equivalent body or position in the current organisational structure can approve its rescission.

## 6. Records management

- 6.1 Version number for all policy on the Policy Bank is as follows:
  - 6.1.1 New, approved documents start at 1.0.
  - 6.1.2 Increment of digit to the left of full stop, e.g. 1.0 to 2.0, indicates a major amendment approved by the approval authority.
  - 6.1.3 Increment of digit to the right of the full stop, e.g. 1.0 to 1.1, indicates a minor or administrative amendment, correction of error or similar.
  - 6.1.4 Where a minor or administrative amendment is made, this must be stated in italics, below the version number as follows:  
*minor amendments effective on X date.*
- 6.2 The policy owner/delegate will maintain appropriate records associated with the development, consultation, approval and review of a policy document, and for maintaining records of issues that arise during those processes, in line with the University's [Recordkeeping Policy](#).

## DEFINITIONS

Approval authority	The body or position authorised to approve a policy, procedure or schedule.
Approval process	The process for the approval of a policy as outlined in the Policy Framework Procedure.
Category endorser	The body or position authorised to endorse a policy, procedure or schedule.
Consultation plan	Outlines the stakeholders to be consulted on a new or reviewed policy, and the process for consultation.
Impact statement	Outlines any impact on existing University policies, and any other impacts.
Implementation plan	Outlines how a new or reviewed policy will be implemented for use across the University.
Issues register	A register of any issues, queries, feedback and other matters concerning the implementation and function of a policy.
Parent policy	The policy listed in the Governance information section for any procedure or schedule.
Policy amendment	A major, minor or administrative amendment as outlined in the Policy Framework Procedure.
Policy Bank	Monash University's online repository of all policies and associated procedures.
Policy category	The policy category identifies the approval process and the policy owner.
Policy delegate	A staff member delegated responsibility for the maintenance of a function related to a policy.
Policy document	A policy, procedure or schedule.
Policy owner	The body or position with the responsibility or delegated responsibility to oversee the development, implementation and review of a policy.

Policy proposal	Document prepared by the policy owner/delegate when seeking to establish a new policy.
University Policy Team	The operational unit with responsibility for maintaining the Monash Policy Framework and associated policy development, implementation and review.

## GOVERNANCE

Parent policy	<a href="#">Policy Framework Policy</a>
Supporting schedules	N/A
Associated procedures	N/A
Legislation mandating compliance	<a href="#">Monash University Act 2009 (Vic)</a> <a href="#">Higher Education Standards Framework (Threshold Standards) 2015 (Cth)</a>
Category	Governance
Approval	Audit and Risk Committee 30 November 2018 MEETING NUMBER 4 / AGENDA ITEM 11a  Vice-Chancellor's Executive Committee 31 October 2018 MEETING NUMBER 10 / AGENDA ITEM 10
Endorsement	Vice-President, Strategy & Governance 26 October 2018
Procedure owner	Vice-President, Strategy & Governance
Date effective	1 January 2019
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Version	1.2 <i>Administrative amendments effective 27 March 2020</i>
Content enquiries	<a href="mailto:adm-policybank@monash.edu">adm-policybank@monash.edu</a>