POLICY FRAMEWORK PROCEDURE

SCOPE

This procedure applies to all staff and to all policies, procedures and schedules developed for and on behalf of Monash University.

For the purpose of this procedure, references to 'the University' includes activity at Monash University Australia, Monash University Malaysia, Monash University Indonesia, Monash Suzhou and the Monash University Prato Centre, unless indicated otherwise.

University procedures and schedules are a subset of University policy and references to 'policy' in this document include procedures and schedules unless indicated otherwise.

PROCEDURE STATEMENT

This procedure supports the Policy Framework Policy by setting detailed instructions for the development, approval, implementation, review, amendment, and rescission of all University policy.

1. Policy development

1.1   Policy will be developed or reviewed in response to the following:

- changes to the external operating environment;
- changes to legislation;
- changes to the University's strategic directions;
- governance, academic or operational initiatives;
- need for consistency across areas of service delivery;
- gap or inconsistency in existing policy; and/or
- in accordance with the prescribed review cycle date.

1.2   Before a new policy is developed or policy review is undertaken, the policy owner or nominee must seek approval from the University Policy Team.

1.3   The policy owner or nominee must submit a policy proposal, providing:

- the objectives of the new policy or review of a policy;
- rationale for the new policy or review of a policy; and
- preliminary consultation and implementation plans, including key stakeholders identified for consultation.

1.4   The University Policy Team considers proposals for the development of a new policy or the review of a policy and will advise:

1.4.1   if the new policy is required, and will confirm the policy category; or
1.4.2   if the policy review should be undertaken and the approach to undertaking the review.

1.5   If a proposal for a new policy or policy review is not approved, the policy owner or nominee may seek a review from the Chief of Staff and Executive Director, Office of the President & Vice-Chancellor by a request in writing.

Policy templates

1.6   Policy must be drafted on the appropriate template. These templates are published on the Policy Bank and are maintained by the University Policy Team.

Consultation

1.7   The policy owner or nominee must consult key stakeholders to inform development of a new or reviewed policy, and to plan its implementation. Consultation must include all relevant stakeholders at all locations.

1.7.1   For example, the Pro Vice-Chancellor and other relevant staff of an international location must be included in consultation, unless the policy scope is restricted to Monash University Australia.

1.7.2   Where the policy owner or nominee leads consultation, the University Policy Team must be included in consultation.

1.8   When submitting a policy for approval by the prescribed approval body, the policy owner or nominee 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 Table 2 of the Policy Framework Policy.

2.2   The University Policy Team must be engaged prior to the policy owner or nominee submitting a policy for endorsement and/or approval.

3.   Implementation and communication

3.1   Implementation of a new policy or review of existing policy must be considered by the policy owner or nominee during the development and review processes. The Implementation Plan Template may be used during the planning process.

3.2   Policy communication must be coordinated to reach staff and/or students at all relevant locations and should include detail on any changes to existing University policy, and where advice on the policy may be sought.

3.3   The policy author, policy owner or nominee will coordinate the implementation of a new policy, according to the communication and implementation plan. The University Policy Team is available to provide support for implementation, if required.

3.4   Following approval by the relevant authority, the University Policy Team will publish the approved policy version on the Policy Bank.

3.5   Policies come into effect on the working day following publication on the Policy Bank, unless stated otherwise in the policy approval documentation. The effective date must allow for any necessary transitional arrangements, including communications and training required to implement the new policy.

Policy Framework Glossary

3.6   The University Policy Team will maintain a glossary of terms and standard definitions for use in the development and interpretation of policy. Common terms and definitions will apply unless separately defined in the policy or required by the policy context.

Issues register

3.7   The policy owner or nominee will maintain an issues register and/or evaluative instrument to record policy issues and to inform the measurement of policy effectiveness and continuous improvement activity.

3.8   Staff and students may contribute to the register by contacting the policy owner via details listed in the Governance section of the policy, or the University Policy Team via policybank@monash.edu.

4.   Review and amendment

Review

4.1   Policies must be reviewed at least every three years, unless otherwise specified at the time of approval and/or as required to respond to circumstances outlined at 1.1. Procedures and schedules must be reviewed at the same time as the parent policy, however may be amended more frequently to allow for changes to operational practices and other factors.

4.2   The University Policy Team will coordinate the review process in collaboration with the policy owner or nominee and will advise on the amendment type as set out at 4.6 - 4.11.

4.3   Review activity must allow adequate time for review and approval processes to be appropriately undertaken, and must take into account the review cycle of other policies to ensure their currency and consistency.

4.4   Reviews must address as a minimum:

4.4.1   changes to legislation;
4.4.2   interrelationships with other policy;
4.4.3   consultation with key stakeholders;
4.4.4   the effectiveness of the policy in its implementation, as measured through an issues register and/or other evaluative activities such as surveys, committee feedback and data reports; and
4.4.5   review of best practice and benchmarking in the relevant sector or area of operation.

4.5   The outcome of a policy review may require a major, minor or administrative amendment to be made or for the policy to be rescinded.

Major amendments

4.6   Major amendments may occur due to material legislative change, significant changes to operational practice, or where a need to improve current practice is identified and includes changes that will affect:

- the intent or objectives of the policy;
- the rules for decision makers and/or the rights or responsibilities of any person under the policy; or
- require changes to other policy(ies).

4.7   Major amendments follow the same approval pathway as new policy, as set out in Table 2 of the Policy Framework Policy.

Minor amendments

4.8   Minor amendments are changes to reflect legislative change or operational practice that don't meet the criteria for major amendments, and may include:

- a change to, or the introduction of, a specific operational requirement or process;
- clarification of existing policy detail; or
- extending the scope of a policy to a new University location.

4.9   Minor amendments have a different approval pathway to major amendments and are to be endorsed by the policy owner and approved by the policy endorser, as set out in the Governance table of that policy.

    4.9.1   Where the policy owner and policy endorser are the same body or position, minor amendments must be approved by the policy approver.

Administrative amendments

4.10   Administrative amendments are superficial or typographical in nature, and reflect limited change to the policy. These can include changes in nomenclature, editorial corrections, updates to names of committees or position titles, updates to references and changes to information in the Governance table.

4.11   The policy owner or nominee should notify the Director, Office of Quality and Policy of required administrative amendments via email to policybank@monash.edu. Administrative amendments will be actioned by the University Policy Team and published on the Policy Bank.

    4.11.1   Updates to hyperlinks, position titles, or minor typographical corrections do not need to be notified to the Director, Office of Quality and Policy. These updates must be submitted to the University Policy Team via policybank@monash.edu with supporting evidence for any change(s) to a position title. Such updates do not require a change to the version number (refer clause 6.1).

Exemptions

4.12   In exceptional circumstances a policy exemption may be required. All exemptions must follow the approval pathway as set out in Table 2 of the Policy Framework Policy. Approval documentation must include:

    4.12.1   the reason for the exemption;
    4.12.2   the specific clause(s) to which the exemption applies; and
    4.12.3   the time period for which the exemption applies.

4.13   Exemptions are documented supplementary to the policy and do not require formal amendments in order to expedite a return to normal operations when the exemption is no longer applicable.

4.14   Information on policy exemptions will be communicated to relevant stakeholders, as required.

5. Rescission

5.1   The policy owner or nominee must seek advice from the University Policy Team before seeking to rescind a policy so that any consequential impact on associated policy can be identified.

5.2   The rescission of policy may be approved where:

- a new policy is introduced; or
- the existing policy is no longer required or appropriate.

5.3   The same authority that approved a policy is responsible for its rescission.

5.4   The rescission comes into effect on the working day following its removal from the Policy Bank, unless specifically stated otherwise in the rescission process.

6. Records management

6.1   Version numbering for all policy on the Policy Bank is as follows:

    6.1.1   New, approved documents start at 1.0.

    6.1.2   An increment of the digit to the left of full stop, e.g. 1.0 to 2.0, indicates a review or major amendment approved by the approval authority.

    6.1.3   An increment of the digit to the right of the full stop, e.g. 1.0 to 1.1, indicates a minor or administrative amendment.

    6.1.4   Where a minor or administrative amendment is made, this must be stated in italics, below the version number as follows: *'Minor/Administrative amendments effective on X date'*.

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.
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.
Nominee	A body or position nominated by a delegate to act in its capacity.
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 author	Appropriate subject matter expert nominated by the policy owner to develop and/or review policy.
Policy Bank	Monash University's online repository of all policy and associated resources.
Policy category	The policy category identifies the approval pathway and the policy owner.
Policy	A policy, procedure or schedule.
Policy owner	The body or position with the responsibility to oversee the development, implementation and review of a policy.
Policy proposal	Document prepared by the policy owner or nominee 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	Policy Framework Policy
Supporting schedules	N/A
Associated procedures	N/A
Related legislation	*Monash University Act 2009* (Vic) *Higher Education Standards Framework (Threshold Standards) 2015* (Cth)
Category	Governance
Approval	Audit and Risk Committee 26 July 2021	Vice-Chancellor's Executive Committee 20 July 2021
Endorsement	President & Vice-Chancellor 6 July 2021
Procedure owner	Chief of Staff and Executive Director, Office of the President & Vice-Chancellor
Date effective	1 September 2021
Review date	1 September 2024
Version	2.0
Content enquiries	policybank@monash.edu