POLICY

Creation of Codes, Policies, Procedures, Standards and Guidelines

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Policy Statement

Purpose
To set out the requirements for a consistent approach to the creation of Codes, Policies, Procedures, Standards and Guidelines at UNSW Australia.

Scope
This Policy applies to all University Codes, Policies, Procedures, Standards and Guidelines, and to all staff of the University who are engaged in the creation or review of such documents.

Are Local Documents on this subject permitted?
- □ Yes
- □ Yes, subject to any areas specifically restricted within this Document
- ✓ No

Policy Provisions

1. Overarching principles and context
   - UNSW Australia (the University) is committed to adopting a consistent and integrated approach to the creation of Codes of Conduct (Codes), Policies, Procedures, Standards and Guidelines.
   - The University’s Codes, Policies, Procedures, Standards and Guidelines operate within a framework created by the University’s obligations under legislation and delegated legislation, and the general law.
   - This framework is depicted in the University’s Policy Framework Hierarchy (Appendix A). No document lower in the Hierarchy can contradict or override a document higher in the Hierarchy.
   - The University’s Codes, Policies, Procedures, Standards and Guidelines must be consistent with legal requirements and community, discipline and professional expectations.
   - All staff and students are expected to comply with the University’s Codes, Policies Procedures and Standards. Failure to comply with the University’s Codes, Policies Procedures and Standards may give rise to a range of consequences, including disciplinary processes.
   - While compliance with the University’s Guidelines is not mandatory, staff and students are strongly encouraged to comply with Guidelines as doing so will ensure that staff are compliant with the University’s requirements and expectations.
   - The University’s Codes, Policies, Procedures, Standards and Guidelines must be properly authorised in accordance with this Policy, be written in clear and accessible language and be readily available to staff and students.

2. What do we mean by Codes, Policies, Procedures, Standards and Guidelines?
   - Codes are approved by Council and set out a framework for behaviour that is necessary to meet the core values and obligations of the University. Codes are always University-wide in their application. There are currently 3 Codes at the University; a Staff Code of Conduct, a Student Code of Conduct and a Research Code of Conduct.
Policies set out the principles and standards that govern and guide conduct and decision making in a particular context. Policies are always University-wide in their application and must be high level and principles-based, expressing the objectives and intentions of the University.

Procedures are operational documents that describe processes and actions required to enable the implementation of a Policy. A Procedure may also be written to ensure compliance with legislative requirements.

Standards are documents published under the authority of a recognised body setting out specifications and procedures designed to ensure products, services and systems are safe, reliable and consistently perform the way they were intended to. They establish a common language which defines quality and safety criteria. In the context of the University, Standards are mandatory operational documents reflecting recognised good practice and informed by legal requirements, scientific and industry experience. The University’s Standards are approved and issued by a university committee or group with relevant subject-matter expertise. They establish specifications as to what is to be conformed to and/or how to enable the implementation of a University-wide Policy or Procedure. A Standard may be supported by a Guideline which outlines how to comply with the Standard.

Guidelines provide detail and context for particular matters that are generally the subject of legislation, a Policy or Procedure. Guidelines provide a clear pathway for staff and students to follow in order to give effect to a legislative obligation of the University, or a Policy or Procedure. Following Guidelines will ensure compliance with the relevant University (or Local) obligation, Policy, Procedure or Standard.

Codes, Policies, Procedures, Standards and Guidelines should:

• Comply with, and drive, compliance with all applicable legislative and regulatory requirements;
• Support the strategic aspirations and goals of the University;
• Use common and consistent terminology;
• Be written in consultation with those who will be affected by them wherever practicable;
• Be in writing and expressed clearly, succinctly and in plain English;
• Explain relationships with other relevant Policies, Procedures, Standards and Guidelines and not create inconsistency with them;
• Clearly assign roles and responsibilities;
• Have a clear effective date and be reviewed regularly (every three years, unless a shorter timeframe is stated in the Document); and
• Be compliant with the University’s Register of Delegations.

3. Who approves Policies, Procedures, Standards and Guidelines?

University-wide Policies must be approved by the President and Vice-Chancellor.

All other University-wide Documents must be approved by a Vice-President, or his/her nominee with appropriate authorisation under the University’s Register of Delegations.

Local Documents must be approved by a Dean (for Faculties), a Director (for Divisions), or by the Head of School (for Schools).

4. When is a Code, Policy, Procedure, Standard or Guideline required?

Given the significance as a statement of the core values of the University, and the need for approval by Council, the need to create a new Code is likely to arise only in response to significant changes in the environment in which the University operates.

Typically, the need to create a Policy, Procedure, Standard or Guideline arises where there is a matter that needs to be regulated in order to ensure compliance with a legal obligation of the University, to ensure a safe workplace or otherwise to benefit and protect staff and students.

5. Development of Codes, Policy, Procedures, Standards and Guidelines

The development of University-wide Policies, Procedures, Standards and Guidelines must follow the cycle set out in Appendix B. This includes clearly establishing relevant roles and responsibilities and adhering to the approval pathway.

It is recommended that the development of Local Documents also follow this cycle, but this is not mandatory.
Appendix A: Policy Framework

This diagram depicts the University’s Policy Framework.

Each level of the framework is described below in its order of precedence:

1. Legislation/delegated legislation
2. University Codes
3. University Policy
4. University Procedure/Standard
5. University Guideline
6. Local (Faculty, School or Divisional) procedures and guidelines

- In the case of staff, compliance with applicable Codes, Policies, Procedures and Standards is a requirement of their contract of employment and of their continuing employment.
- In the case of students, compliance with applicable Codes, Policies, Procedures and Standards is a condition of admission and of their continuing enrolment.
Appendix B: Policy Creation Cycle

This cycle applies to the creation, review and retirement of Codes, Policy, Procedures, Standards and Guidelines.

1 Identify and Scope
2 Draft and Consult
3 Approve
4 Implement and Communicate
5 Review
6(a) Amend
6(b) No change
6(c) Retire

6(a) Amend
6(b) No change
6(c) Retire
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| Supporting Information        |                                |                                |                                |                                |
| Supporting Procedures         | Creating Codes, Policies, Procedures, Standards and Guidelines - Procedure |
| Related Documents             | • Template – Policy            |                                |                                |                                |
|                               | • Template – Procedure        |                                |                                |                                |
|                               | • Template – Standard         |                                |                                |                                |
|                               | • Template – Guideline        |                                |                                |                                |
|                               | • Flowchart                   |                                |                                |                                |
|                               | • Policy Framework one-pager  |                                |                                |                                |
| Superseded Documents          | Nil                            |                                |                                |                                |
| UNSW Statute and / or Regulation | • UNSW Act                    |                                |                                |                                |
|                               | • UNSW By-Law                 |                                |                                |                                |
|                               | • UNSW Rules                  |                                |                                |                                |
| Relevant State / Federal Legislation | Nil                          |                                |                                |                                |

| Accountabilities              |                                |                                |                                |                                |
| Responsible Officer           | Deputy Vice-Chancellor (Academic) and Vice-President and Chief of Staff |
| Contact Officer               | Head of Governance             |                                |                                |                                |

| Further Information          |                                |                                |                                |                                |
| Key words for search engine  | Policy; Creating; Codes; Procedures; Standards; Guidelines; Faculty; School; Divisional; Documents |

| Definitions and acronyms      |                                |                                |                                |                                |
| Insert Term                  | Nil                            |                                |                                |                                |