Policy Procedures and Guidelines

Purpose

The purpose of the Policy Procedures and Guidelines is to:

- Provide guidance and support to Unitec staff members and stakeholders engaged in the development and review of Unitec policies and procedures
- Ensure policies and procedures engage and support all members of the Unitec community in undertaking their responsibilities enabling Unitec to operate effectively and efficiently
- Promote equity and consistency so that policies and procedures establish a clear set of parameters that apply Unitec-wide, ensuring all activities are based on the same guiding principles.

Scope

The following documents are in scope:

Name	Definition
Statute	A governing text/document titled "statute" which has a specific approval pathway through Unitec Council or Academic Board
Policy	A governing text/document titled "policy" which has a specific approval pathway through Unitec Council or Executive Leadership Team
Procedure	A governing text/document titled "procedure" which has a specific approval pathway through the Executive Leadership Team, setting out operational rules to achieve Policy principles or specific institutional processes
Guidelines	Texts/Documents which provide guidance and instruction to give effect to Policy or Procedure or specific institutional processes

Procedure

All documents are developed using the approved templates (Appendix 3 and 4).

Policies and procedures are written as linked, but separate documents. Exceptions to this include:

- Where legislation and regulation require tightly controlled procedures
- Where both policy and procedure are short and concise
- Where one document is best to ensure effective information and communication

Policy documents are concise, clear, precise and unambiguous and written in an accessible style. They emphasise positive principles (as far as practicable) so that stakeholders understand the policy and know how it supports them and what it requires of them.

Procedures provide detail to ensure processes and actions can be easily followed and actioned.

Policy Cycle

The policy cycle outlines the steps for development and review of all Unitec policies and procedures as part of a continuous improvement cycle: Relook, Rethink, Redesign.   These steps are not always sequential and may overlap, occur in a different order, or be repeated.

From time to time amendments may be needed, for example, in response to new opportunities, issues, and legislative or regulatory changes, or organisational changes.

Major amendments which have an effect on the overall meaning or implementation of a policy will need formal approval by the Approval Authority for the policy or procedure.

Minor amendments that would in no way affect the overall meaning or implementation of the policy may be made at any time by the Policy Sponsor.

The following templates are provided to support the policy cycle:

Appendix 1:   New Policy Development Process
Appendix 2:   Policy Review Process
Appendix 3:   Policy Template
Appendix 4:   Procedure Template
Appendix 5:   Policy Development Brief
Appendix 6:   Guidelines for Policy Consultation Process
Appendix 7:   Feedback/Review Template
Appendix 8:   Guidelines for recording consultation activities
Appendix 9:   Guidelines for quality assurance
Appendix 10:   Memo Approval Template
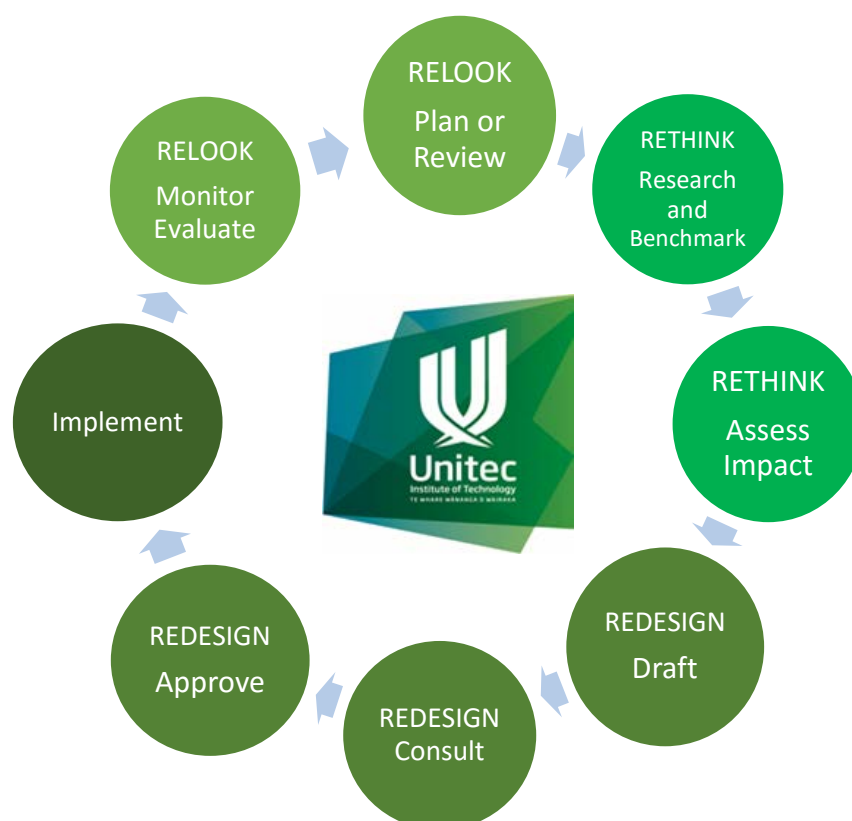
	Stage	Unitec Requirements for Policies and Procedures
RELOOK	Plan	• Planning for new development or review agreed by the policy sponsor
RETHINK	Research & Benchmark	• Policies and procedures are framed by Te Noho Kotahitanga and the Unitec Strategic Plan • Policies and procedures are consistent with relevant legislation
	Impact Assessment	• Benefits and costs of new policies or impacts of any significant amendments are considered
REDESIGN	Draft	• Policies and procedures are in the appropriate Policy templates • Documents are marked as draft until approved
	Consultation	• Stakeholders, including where applicable student representatives/ students, are consulted and responded to
	Approval	• The appropriate approval authority approves each policy and procedure
IMPLEMENT	Implementation	• New/updated policies or procedures are placed in the policy repository • Communication and/or training strategy is implemented
RELOOK	Monitoring & Evaluation	• Policies and procedures are actively monitored and regularly evaluated by the policy owner
	Review	• Policies and associated procedures are reviewed (as a formal check) at least every three years unless otherwise specified

Responsibilities

• **Sponsor:** The Executive Leadership Team member who initiates and advocates the development of the document, and who may approve minor amendments to an approved Policy or Procedure. The policy sponsor is responsible for:
  o Guiding the document development process
  o Ensuring the document is compatible with Te Noho Kotahitanga, NZ legislation and Unitec's governing body
  o Ensuring the document is set at the appropriate level for compliance
  o Ensuring that the document goes through the appropriate consultation process and is presented to the appropriate authority for approval
• **Owner**: The person who will ensure the document is developed and implemented, and that it is reviewed and remains relevant. The policy owner is responsible for:
  o Undertaking tasks delegated by the policy sponsor to support development, review, communication and implementation of policy
  o Managing policy documents so that they are consistent, current and supported by relevant additional materials such as guidelines/forms
  o Liaison with other policy owners as appropriate
  o Liaison with the office of the Chief Operating Officer to ensure the approved policy document is quality checked, entered into the document repository and posted on the policy website
  o Dealing with queries about the content, application and compliance with the polices
• **Approval Authority**: The body with the authority to approve the policy and make major changes after it has been approved. These include the Unitec Council or the Executive Leadership Team, and for some Academic policies, the Academic Board.

As well as those with specific policy responsibilities as outlined above staff members, students and other external partners or stakeholders should be kept informed throughout the development, evaluation and review policy cycle.

All staff members and students therefore have a role with regard to:

- **Consultation/Engagement**: Key stakeholders who will be impacted by the policy and its requirements. This involves providing feedback on policy development and review, and also proactively providing ongoing feedback on the implementation of the policy where there are areas for improvement or risks as well as where policies are working effectively.
- **Information:** all staff members are responsible for keeping themselves up to date with policies and procedures that affect them and their work and/or study. They must be informed by policy owners of new or amended policies.

Policies also need to be checked for compliance and legal implications so that a key element as part of the policy cycle is:

- **Legal and Governance advice:** a review of policy to ensure it meets legislative compliance requirements, is legally sound, appropriately approved, and protects Unitec against potential risk.

Policy development involves all of these roles and responsibilities as part of "socialising" the policy, to ensure it has been appropriately and fully initiated, drafted, consulted, reviewed, checked for legal and governance compliance, finalised, approved and communicated for information and implementation. This is summarised below.

S	O	C	I	A	L
The SPONSOR of the policy. This person initiates and delegates the policy development/ review and presents it to the Approving Body for approval	The OWNER of the policy. This is responsible for the development of the policy, consultation, implementation, and review	Stakeholders are CONSULTED about the development, review and amendment of the policy	Keeping and being INFORMED about policy and its IMPACT for effective IMPLEMENTATION	The APPROVING BODY. The Council or Executive Leadership Team or Academic Board has the authority to approve policy documents	LEGAL and governance advice to ensure that policy is aligned to legislation and regulation and is also legally sound

The table below outlines guidance for each stage of the policy cycle and links to the templates

Stage	Unitec Requirements
Plan	- Guidelines for <u>Policy Development Brief</u> is a guide for policy sponsors or owners considering the development of a new policy. - The Guidelines for <u>Policy Review Plan</u> provide steps to assist in the planning for the review of existing Policy/Procedure: Policy Review Plan
Research and Benchmark	- Guidance about Te Noho Kotahitanga can be found at: http://thenest.unitec.ac.nz/our-unitec/te-noho-kotahitanga/te-noho-kotahitanga.cfm - Links to information about Unitec Strategy can be found at http://thenest.unitec.ac.nz/our-unitec/unitec-strategy/unitec-strategy-home.cfm - You need to scan related Unitec policy documents which are on the Nest. - It is helpful to check on what other TEIs are doing in the policy space you are working in and useful available sites are: o CPIT: http://www.cpit.ac.nz/about-us/policies

	- o Lincoln University: http://registry.lincoln.ac.nz/?docid=lpp home page - o Massey University: http://www.massey.ac.nz/massey/staffroom/policy-guide/policy-guide_home.cfm - o Otago Polytechnic http://www.op.ac.nz/about-us/governance-and-management/policies/ - o University of Auckland: https://www.auckland.ac.nz/en/about/the-university/how-university-works/policy-and-administration.html - o University of Canterbury: http://www.canterbury.ac.nz/ucpolicy/ - o University of Otago: http://www.otago.ac.nz/administration/policies/index.html - o University of Waikato: http://www.waikato.ac.nz/official-info/index/policies - o Victoria University of Wellington: https://policy.vu.edu.au/ • Australian tertiary providers are also worth checking and some useful sites for this are: - o Deakin University; http://www.deakin.edu.au/about-deakin/leadership-and-governance/policy-framework-and-guide - o QUT: http://www.mopp.qut.edu.au/ - o RMIT: http://www1.rmit.edu.au/policies - o Swinburne University: http://www.swinburne.edu.au/policies-regulations/ - o University of Wollongong: http://www.uow.edu.au/about/policy/index.html - o Victoria University (Melbourne): http://www.uow.edu.au/about/policy/index.html • Relevant legislation, NZQA and TEC requirements: You can check these with Unitec's Legal Adviser and also with the Manager - Governance
Initial Consultation	• Consultation with key and expert stakeholders at an early stage has lots of benefits. As well as giving you access to good, up to date information the engagement of key people will mean that you are building up understanding and support for any policy or procedure you are considering. - o staff who are engaged in the area about which policy is being developed can provide insights into current policy and/or practice and advise on how this can be improved - o The Kahui is a good point of contact regarding Maori who are or may be affected by a policy - o Student Council is a good point of contact regarding students who are or may be affected by a policy - o Unitec's Legal Adviser can provide expertise about legislative and other legal frameworks that may apply to the policy. - o For advice about TEC and/or NZQA requirements you can approach the Academic Services Manager and/or *our Strategic, Business and Research Analysts*
Impact Assessment	For this you need to consider benefits and costs e.g. • Resource implications • Links with other policies and procedures • How it will improve the core business of Unitec – learning and teaching and outcomes for students • How it will aid compliance with/implementation of relevant legislation • Links/relevance to other Unitec policy documents • How the policy might be monitored and what happens if it is not followed
Draft	• Consult with the Chief Operating Officer/Adviser • Use the Policy Framework templates • Mark all copies as draft until approved and keep a careful track of versions as you go • Engage peer review prior to consultation • Get the approval to proceed from the Policy Sponsor before moving to wider consultation
Consultation	• All stakeholders affected including student representatives/students should be given an opportunity to make submissions where policy development is 'contestable' • Key stakeholders who will be implementing the policy should be consulted where policies are of a more transactional nature • Record this on the Consultation Record (see Appendix 7 and 8) and provide a response to Stakeholders outlining how their feedback has informed the final document
Approval	• New and reviewed polices must be approved by the appropriate approval authority

	• To make sure you have been through a good process the Guidelines for Quality Assurance Checks are available (Appendix 6)
Implementation	• Ensure the new/updated Policy or Procedure is placed in the repository for staff reference • Review and amend position descriptions that have responsibilities to the new policy • Plan and implement a Communication and/or Training strategy for staff and students
Monitoring and Evaluation	• Agree measures for evaluation of impact • Engage with data sources/IMS
Review	• Policies and associated procedures must be reviewed (as a formal check) at least every three years unless otherwise specified • Where procedures are directly linked to a policy they must be reviewed as part of the policy review • The Approving Authority must be notified of the outcomes of any review including where no or minor changes are recommended.

Appendix 1: New Policy Development Process

New Policy Development Process

Policy Development initiated/approved by Sponsor for new policy development in response to legislation, recognised need or gap

↓

Policy Sponsor delegates responsibility for development to Policy Owner

↓

Policy owner consults with expert stakeholders and drafts new policy, benchmarking with other institutions as appropriate*, makes impact assessment, and uses Unitec Legal advice

↓

Draft Policy is sent to Sponsor and/or ELT for consideration and feedback

↓

Draft Policy is revised if necessary and sent for general consultation using agreed process

→ Feedback shows policy needs redrafting and requires a second consultation round

↓

Draft Policy is sent to appropriate approval authority for approval

Feedback shows no/minor amendment required

↓

Approved Policy (including any amendments made by approval authority) notified in Policy

↓

Communication/Training Plan tailored and implemented

↓

Policy is monitored, evaluated and reviewed at least every three years or as necessary

*Benchmarking Policy: "Other institutions will have similar policies… The practice of "borrowing" is generally accepted within the tertiary education sector" (ATEM, 2013) and this can be valuable as a quality control exercise. The caveat is – don't just cut and paste. Review the relevant policies and map the content, identify key points and build these into your policy as relevant to the Unitec context

Appendix 2: Policy Review Process

Policy Review Process

Policy due for review or requires significant amendment due to organisational or legislative change

↓

Policy Sponsor delegates review to Policy Owner

↓

Policy Review determines degree of policy amendment required

→ Minor → Amendment made and key stakeholders notified

→ Major

> **A minor amendment** is a change to a document <u>that would in no way affect</u> the overall meaning or implementation of any part of the document. This could include format, grammar or spelling, changes to a position title or department name <u>but only when</u> the same person or department will be carrying out the named task or responsibility.

Policy owner consults with key stakeholders benchmarks* (see above) as appropriate, and drafts amended policy

↓

Draft Amended Policy is sent to Sponsor and/or ELT for consideration and feedback

↓

Draft Amended Policy is revised if necessary and sent for general consultation using agreed process

> **A major amendment** is a change <u>that has an effect</u> on the overall meaning or implementation of any part of the document. Major amendments normally result from a formal review, changes in legislation or significant organisational change (more than name changes).

→ Feedback shows policy needs major amendment and redrafting

→ Feedback shows no/minor amendment required

Amended Policy is sent to appropriate approval authority for approval

↓

Approved Amended Policy (including any further amendments made by approval authority) notified in Policy Repository

→ Communication/Training Plan tailored and implemented if required

↓

Policy reviewed at least every three years or as necessary

Name of Policy

Blue text provides guidelines for completing your policy. Highlight and delete all blue text when you have completed your document

Purpose

- This policy supports (outline the Unitec context that the policy supports/enables/fits with)
- The policy ensures (note the legislative requirement, standard, opportunity or issue the policy relates to or addresses)
- Brief and bulleted

Scope

Enter the people and things this policy applies to and, if required does not apply to.

e.g. Staff, students, contractors (people) or units/committees (things).

Policy Statement(s)

Enter the requirements that must be followed or implemented

Policies will usually have more than one policy statement and where there is more than one, each statement should be denoted and numbered. If further points are made, use bullet points.

1. (**First policy statement** –can be a bold subheading if there are details required under this statement, otherwise as the first point in a numbered list):
   o further detail regarding policy statement
   o xxx
2. (Second policy statement…)
   o further detail regarding policy statement
   o xxx

Associated Procedures

Enter the required steps to ensure compliance with the Policy Statements

If there are tightly controlled or very few procedural steps you might include these in your policy document. HOWEVER, in most cases these should be written as a separate procedure document(s) using the Unitec Procedure Template. Include a hyperlink to this separate procedure document(s) under the 'Procedure' heading.

Responsibilities

If required for readers of the policy to easily and quickly see what things they and/or others must do

Role	Responsibilities
Enter role	• Enter responsibilities
	•

Definitions

- *Unless otherwise specified the definitions in the Policy Framework Glossary (to be completed) apply.*
- *If a term is defined in this document, start it with a capital letter, e.g. "Electronic Device".*
- *If a term is not in the Policy Framework Glossary and is specific to this policy add it to the table below.*
- *If a term is not in the Policy Framework Glossary and you think it should be ask the office of the Chief Operating Officer to consider adding it.*

Term	Means

Reference Documents

- Enter legislation, NZQA / TEC documents, Unitec Policies
- *Hyperlink to the documents referred to.*

Appendices

Only if required, otherwise delete this heading.

Approval Details

Version number (this version)	Insert Version Number	Issue Date (this version)	Insert Date of Issue
Version History (Amendments made to this version)	Date of amendment/s: • Insert Amendment Date	Amendment/s: • Insert reason for amendment	
Approval authority:		Date of Approval	Insert Date of Approval
Policy Sponsor (May have authority to approve minor amendments)	Insert position title	Policy Owner:	Insert position title
Contact Person	Insert position title	Date of Next Review	Insert date of next review

Name of Procedure

Blue text provides guidelines for completing your procedure. Highlight and delete all blue text when you have completed your document

Purpose

The purpose of these procedures is to:

- This procedure supports (outline the Unitec policy and context that the procedure supports/enables/fits with)
- The procedure outlines (briefly note what the procedure is about)
- Brief and bulleted

Scope

Enter the people and things these procedures apply to and, if required does not apply to.

e.g. Staff, students, contractors (people) or units/committees (things).

Procedure

Procedures will usually have a range of components or steps and each of these should have a subheading and/or numbers. If further points are made, use bullet points

Name of first procedure

Enter the requirements of the procedure

Include the steps or actions that must be followed or taken to ensure the activity is completed in the correct way and within timeframes. If there is a series of points under the heading use numbers for each main point, and bullets for any further points

1. The step/action required …
   - further detail on each step/action
2. The next step/action...

Name of second procedure

3. The step/action required …
   - further detail on each step/action
   -

Responsibilities

Use if this information makes it easier for readers of the procedure to quickly see what they and/or others must do

Role	Responsibilities
Enter role	• Enter responsibilities

Definitions

- Unless otherwise specified the definitions in the Policy Framework Glossary (to be completed) apply.
- If a term is defined in this document, start it with a capital letter, e.g. "Electronic Device".
- If a term is not in the Policy Framework Glossary and is specific to this policy add it to the table below.
- If a term is not in the Policy Framework Glossary and you think it should be ask the office of the Chief Operating Officer to consider adding it.

Term	Means

Reference Documents

- Enter legislation, NZQA / TEC documents, Unitec Policies and Procedures, Unitec Manuals
- Hyperlink to the documents referred to.

Appendices

Only if required. If not required, delete this heading. You may wish to include any templates and / or a process flowchart or diagram to explain the procedures in more detail

Approval Details

Version number (this version)	Insert Version Number	Issue Date (this version)	Insert Date of Issue
Version History (Amendments made to this version)	Date of amendment/s: • Insert Amendment Date	Amendment/s: • Insert reason for amendment	
Approval authority:		Date of Approval	Insert Date of Approval
Policy Sponsor (Has authority to approve minor amendments and may make major changes aligned to policy)	Insert position title	Policy Owner:	Insert position title
Contact Person	Insert position title	Date of Next Review	Insert date of next review

Appendix 5: Guidelines for Policy Development Brief

Policy Development Brief

Purpose

The purpose of this policy brief is to plan for the development of (name the policy/procedure to be developed)

Rationale

Outline the reasons the policy/procedure is required: e.g. new opportunity for Unitec; new/amended legislation/regulations; organisational change; issue/risk; identified gap or need

- Indicate why a new policy is required rather than an amendment or addition to a current policy (check that you have done a scan of all current policies and procedures)
- Clarify the outcomes to be achieved
- Note any risk of not having a policy document and how a policy will mitigate any risk
- Indicate how the success of the policy will be measured
- Note any specific requirements the policy must include/address
- Explain why the policy document will be a statute/policy/procedure or guideline
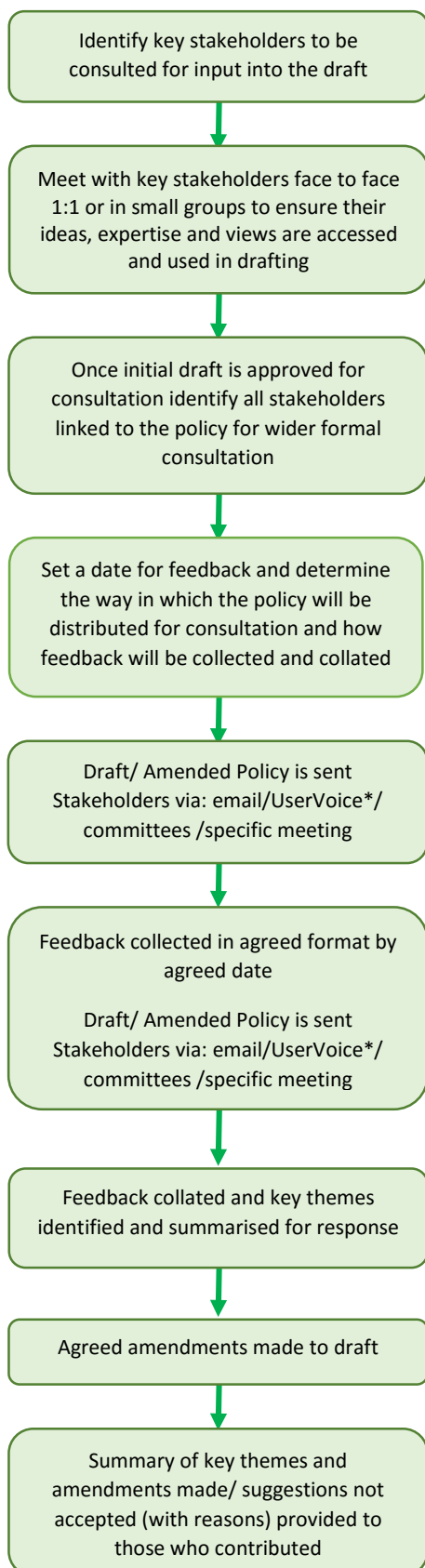
Plan for Policy development

- Note the position/unit responsible for the development of the policy
- Outline any resources required, including appropriate person/agency to write it
- Who will be in any Advisory/Governance/Reference Group (if required)?
- Who are the key stakeholders/experts /interested parties to be engaged and consulted (including students where relevant)?
- Who is the key intended audience?
- What are the IT considerations?
- Outline the Benchmarking Process to be followed
- Outline the Consultation process to be undertaken
- What Communication and Implementation/Training Requirements are likely to be required?
- Provide a timeframe for development, consultation and approval

Responsibilities for Policy Development

Role	Details
Sponsor	• Position and Name
Owner	• Position and Name

Consult-Stakeholders	• List stakeholders:
	    o Key stakeholders (internal and external) who will be consulted initially to help shape the policy
	    o Stakeholders/affected staff and students who will be consulted for feedback on the draft prior to approval

Inform	• Staff and students (individuals and groups)who will need to be
	    o informed about the new policy
	    o trained in its implementation, monitoring and evaluation

Approving Authority	• List the approving authority : Council, ELT or (for Guidelines) other body/position
Legal Advice	• Position and Name to provide legal advice on the policy

Appendix 6: Guidelines for Policy Consultation

Policy Consultation Process

Identify key stakeholders to be consulted for input into the draft

↓

Meet with key stakeholders face to face 1:1 or in small groups to ensure their ideas, expertise and views are accessed and used in drafting

↓

Once initial draft is approved for consultation identify all stakeholders linked to the policy for wider formal consultation

↓

Set a date for feedback and determine the way in which the policy will be distributed for consultation and how feedback will be collected and collated

↓

Draft/ Amended Policy is sent Stakeholders via: email/UserVoice*/ committees /specific meeting

↓

Feedback collected in agreed format by agreed date

Draft/ Amended Policy is sent Stakeholders via: email/UserVoice*/ committees /specific meeting

↓

Feedback collated and key themes identified and summarised for response

↓

Agreed amendments made to draft

↓

Summary of key themes and amendments made/ suggestions not accepted (with reasons) provided to those who contributed

---

Key stakeholders:

Staff members/students *who are significantly impacted by the policy;* ***staff members/students (could include groups or committees)*** *who may have expressed ideas or views about the policy,* ***staff members*** *who are frequently tasked with implementing the policy.*

The ***Rūnanga*** *and* ***Fono*** *should be consulted where policies have significant impact for Maori and Pacific Staff, Students and Communities*

For some policies (particularly HR) it is expected that ***TEU, TIASA*** *will be consulted.*

Consultation Questions

What are the outcomes you would look for from this policy?
What is already working well/effectively?
What issues are there that need focus/attention?
How can we improve/what needs to be included in the policy?
If we make these changes who will be affected? How?
What are the risks if we do/don't make or amend the policy?
How will we know if this policy is successful?

Consultation process and period

Outline how the draft policy will be made available to all/selected staff and students for consultation

---

Positive Consultation Outcomes:

- Policy content experts con=tribute technical expertise
- Staff/students affected are aware of the policy in advance
- Approval is more likely if thorough consultation is demonstrated
- Implementation will be smoother as operational matters are taken into account
- Engagement with and respect for policy at Unitec is increased

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*UserVoice is currently available through the Academic Management Office.

Other web-based tools will be developed as part of the EDRMS application

Appendix 7: Guidelines for Consultation Feedback Collection

Feedback on Policy/Procedure Development/Review
Feedback is due by (Date)

*Once you have completed your feedback send this and any attachments to
the Policy owner who has requested the feedback.*

Policy/Procedure Title:		Date:
Policy Owner:		**Policy Sponsor:**

Your Name and Position

Contact details : Email Extn Mobile

Summary of New Policy/Procedure or Changes Proposed *(completed by Policy Owner):*

Your General Feedback: *Include here what you see as strengths and/or limitations of the policy/procedure overall and any general recommendations*

Specific Feedback
(Attach any relevant information you might wish to include to this sheet)

Section/Page	Comment	Suggested rewording/amendment

Appendix 8: Guidelines for Consultation Record

Unitec Institute of Technology TE WHARE WĀNANGA O WAIRAKA	**(Name of Document) Consultation and Feedback Record** For information about this record's purpose – READ UNITEC'S POLICY FRAMEWORK POLICY AND PROCEDURES AND OTHER ASSOCIATED DOCUMENTS *Once completed send this record, and the final draft version of the document to the Policy Sponsor with the memo required to seek approval from ELT/Council.*

Document Title:		**Draft No:**	**Date:**
Document Owner:		**Document Sponsor:**	

Summary of New Document/Changes Proposed:

Groups / Positions Potentially Affected by Proposed New Document/Changes: *(these should be the persons from whom feedback on changes are sought)*

Record of Consultation
(attach any relevant correspondence)

Position Title (or group)	**Feedback Received?**	**Summary of Feedback Received and How Used to Shape Policy**

Appendix 9: Guidelines for Quality Assurance

Approval Process: Use this checklist prior to seeking approval of your new or revised policy.

Quality and Compliance Check	Y/N	Notes/Date/Documentation
Policy Brief/Review Plan Completed and approved		
Existing Unitec Policy reviewed for overlaps/linkages		
Policy is framed to enact Te Noho Kotahitanga		
Policy is framed in the context of Unitec Strategic Goals and Plans		
Research and benchmarking against other institution's policies undertaken		
Key stakeholders consulted during initial drafting phase		
Impact Assessment Considered		
Policy Framework Template/s used for Policy/Procedure		
Consultation with relevant and appropriate stakeholders undertaken, recorded and responded to		
Unitec Legal Advisor's advice sought and responded to		
Communications/Training Plan Developed		
Measures for evaluation identified		

Post-Approval Actions: Use this checklist to ensure once approved your policy is positioned well for implementation

Quality Check	Y/N	Notes/Date/Documentation
Policy information updated and current version uploaded on the Nest		
Any hyperlinks within the policy or links from other policies are updated		
Information on Unitec intranet and other internet sites updated		
Key stakeholders advised that new/revised policy has taken effect		
Communications Plan implemented		
Training Plan implemented		
Feedback and Issues Log established (to inform minor amendments)		
Policy Monitoring and Evaluation Plan established and in process		

Monitoring and Evaluation Planning

Good policy management requires monitoring and evaluation, and this should be planned from the outset. Identify "success indicators" that will be evidence that the policy is working, and for each of these identify the qualitative and quantitative data available or required to measure these. Where possible use data already available rather than adding new processes.

 Monitoring and evaluation could include:

- Feedback from key stakeholders/committees/networks
- Numbers of cases/transactions supported/resolved and/ or exceptions/breaches
- Feedback about the policy area available in current reports– e.g. Student Complaints Resolution Administration, from reports made to HoPPs/Deans/GMs/Directors or a Policy Owner's Issues Log

Name of Policy

Success Indicators	Data Sources	How this will be collated/reported

Appendix 10: Guidelines for Approval Memo Template

U Unitec

For Approval

To	[Committee]	From
Title		Date

Purpose

This memo recommends that (Approval Authority) approves the (Name of New or Reviewed Policy) for implementation from (note date of implementation).

Recommendation

It is recommended that (Approval Authority)
1. approves the (Name of New or Reviewed Policy) for implementation from (note date of implementation
2. any other relevant recommendation

Background

- *Note reasons for the new policy or requirement for review and the context for the policy or amendments*

Development/Review Process

- *Briefly outline **development/review process** undertaken including: consultation; any significant feedback/response from key stakeholders and alignment with Unitec Policy Framework*

Key features/changes in new/revised Policy

- *Note **key features of the policy** or the **key changes arising from the review** (attach policy as Appendix)*
- *If applicable note relationship to other Unitec policies or strategies*

Next steps

- *Outline **implementation planning** including communications/training*
- *Outline policy **monitoring and evaluation***
- *Note any **issues/risks and mitigation** of these*
- *Note next review date for policy*

Attachments

Attach any information that is required to support the recommendation. Ensure it is essential to supporting Council's consideration.

Implications section

You MUST complete the following table. Where any of these areas are covered in the body of the report, please cross reference to that section in the report below.

Student Outcomes	Are there any positive or negative implications for our students?
Annual Plan and budget implications	Confirm that the request is in alignment with the *approved strategy and plan* and if not explain why it is being requested not and what impact it will have on the approved budget/plan.
Expenditure commitments	Make a clear statement that "all internal financial approvals required have been obtained prior to presenting this request." and that e.g. the required number of quotes have been obtained under the Procurement Policy. Consider any one-off and ongoing operating cost implications and comment regarding inclusion in budget. Make clear whether the project is to maintain current business (e.g. replacement capex) or to grow current business (strategic plan initiatives).
Legal and Policy Implications	Consider and state if there are any legal requirements and whether or not the item complies with current Unitec policies.
Te Noho Kotahitanga	Include any considerations to be made regarding *Te Noho Kotahitanga*, Unitec's partnership document expressing Unitec's commitment to the Treaty of Waitangi.
Staffing implications	Include *staffing implications* if any.
Health and Safety and general Risk considerations	*Ie* "There will be no change to Unitec's risk profile and no additional risk exposure if this project is approved and undertaken" or include a "Risk Assessment" heading and describe the new H&S or general risks that Unitec will be exposed to.
Environmental considerations	State how this recommendation aligns with Unitec's One Planet Strategy and any impact on the environment.
Diversity and equity considerations	Discuss any *diversity and equity considerations*; positive or negative implications to equality for students and staff at Unitec in regards to gender, disability, ethnicity, race, or sexuality.
Comms, consultation and engagement considerations	Discuss any communications plan required for this work. Include details of consultation or engagement required.