



A Framework for the Development of Policy, Procedures, Guidelines & Statutes

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1. INTRODUCTION

In December 2009 the Leadership Team approved a Policy Framework for Unitec. This Framework provides the rules and tools by which policy documents are developed, documented, approved, implemented, promulgated and reviewed. It also defines for Unitec the type of document that Unitec considers a Statute or Policy versus a document that should instead be a Procedure or Guideline. The Framework also provides pre-determined templates to use for creating these document types.

For further information on these templates and how to access them refer to the section within this document associated with the document type (policy, statute, procedure or guideline) you want to create.

The five main objectives of the Policy Framework are to:

- 1) Provide writers of policy clearer guidance as to what is policy versus procedure / what is a policy versus a statute / what is policy versus a guideline;
- 2) Provide user friendly templates to assist in the writing of policies, statutes, procedures and guidelines which are clear, concise and written with the intended audience in mind;
- 3) Identify the most appropriate person/body to approve any policy, statute, procedure or guideline following its first creation or a formal periodic review/update;
- 4) Ensure appropriate consultation is undertaken when creating or reviewing a document thus making it much easier for the approving person/body to approve it and understand the implications of the document's implementation; and
- 5) Give the document created some recognised authority through the identification of an executive level Sponsor(advocate) of the document and an Owner who will be responsible for the document's implementation across Unitec and its regular review.

2. DOCUMENTS COVERED BY UNITEC'S POLICY FRAMEWORK

2.1. In Scope Documents

The Unitec Policy Framework governs the following document types:

- a) Statutes
- b) Policy
- c) Procedure
- d) Guideline

For further information about each of these different document types, including definitions of each type and how to access the templates that have been developed to assist you create each of these different documents, refer to the associated section within this document.

2.2. Out of Scope Documents

Formal reports, strategic plans, manuals on how Unitec's various business systems or tools work (e.g. the Student Management System, the Learning Management System, the Intranet, Document Templates) are not covered by this Framework, however the

elements and principles of this Framework could equally be applied to the development and management of these document types and it would be best practice to do this.

3. STATUTES

At Unitec statutes are not very common and mostly will be written by the Chief Executive's Office / Unitec's Lawyer. Most statutes (but not exclusively) are written in response to Unitec's legal obligations as prescribed under the Education Act 1989 and the State Sector Act 1988.

3.1. What to include in a Statute

To assist writers of a statute understand what type of content to include and the format a statute should be written in, refer to [Unitec's Statute Template](#) available from the staff intranet .

4. POLICY

At Unitec a policy is a written document which prescribes a mandatory outcome or outcomes to be achieved, along with the actions to be taken to achieve this/these outcome(s). All policies at Unitec must have clear policy statements outlining what a person / position / body must ensure occurs / is followed e.g. "No staff member must approve the purchase of anything using Unitec funds unless their position has been formally granted a financial delegation."

The reason for a policy's existence will be to:

- 1) Aid Unitec (and its staff and/or students) adhere to any requirements prescribed within a New Zealand law and/or a mandatory New Zealand standard to which Unitec and/or its staff / students must adhere;
- 2) Protect Unitec (and its staff and/or students) from exposure to risk; and/or
- 3) Make clear Unitec's stance on a particular matter and how Unitec staff and/or students are expected to respond to this matter.

4.1. What to include in a Policy

To assist writers of a policy understand what type of content to include and the format a policy should be written in, refer to [Unitec's Policy Template](#) available from the staff intranet .

5. PROCEDURES

At Unitec a procedure outlines the steps that must be followed to ensure the activity the procedure is about gets completed and in the right way e.g. If the procedure is about "Obtaining a Financial Delegation" the procedure will need to outline all of the steps that have to occur for a financial delegation to be assigned to a staff member's position and clearly indicate who is responsible for the completion of each of these steps. Where a step has to be completed within a certain time or by a certain date, then this information should also be included.

Note: Any procedure you write must not contradict or conflict with any Unitec policy or other procedure.

5.1. What to include in a Procedure

To assist writers of a procedure understand what type of content to include and the format a procedure should be written in, refer to [Unitec's Procedure Template](#) available from the staff intranet .

6. GUIDELINES

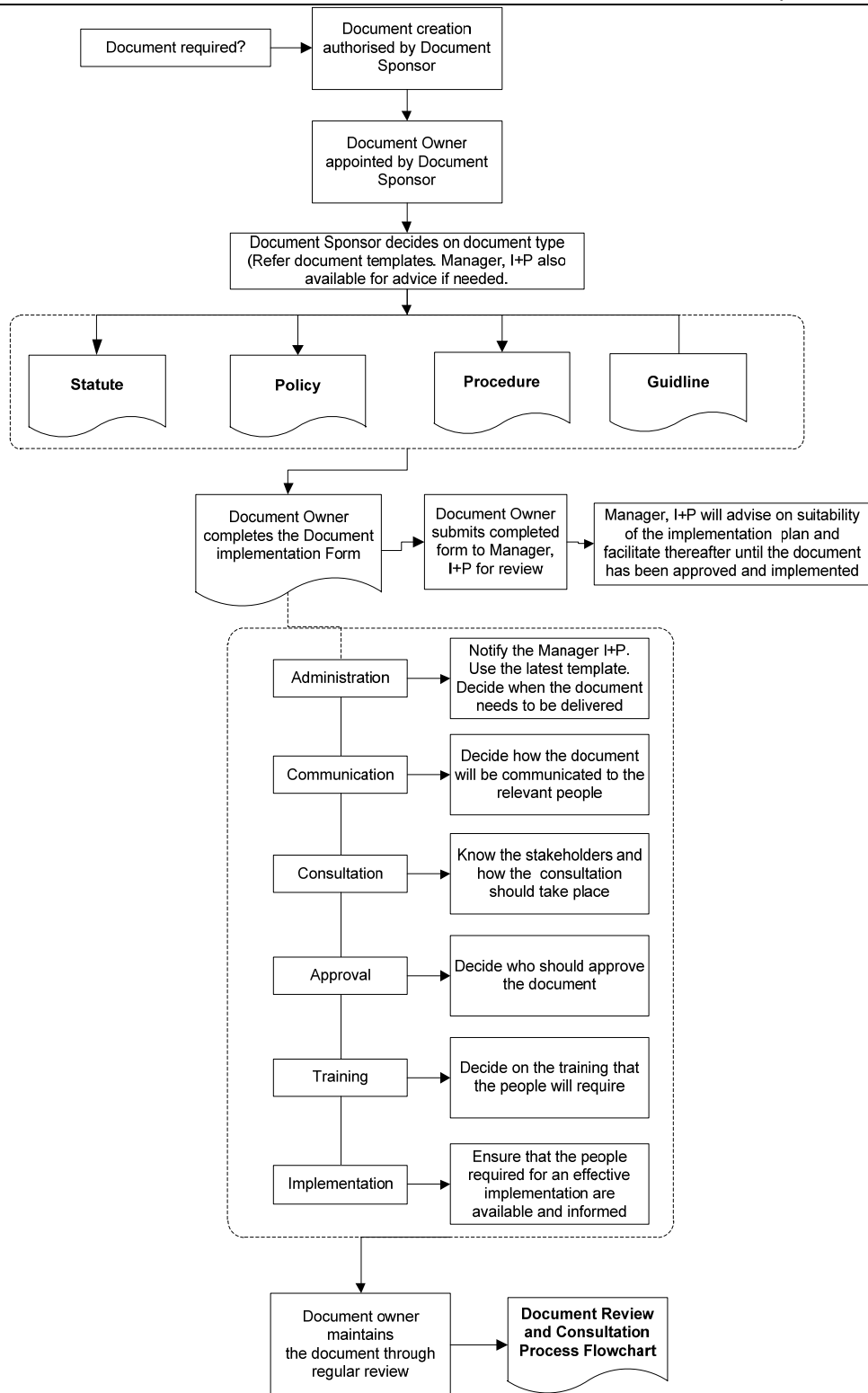
At Unitec a guideline (unlike a policy and/or procedure) is not mandatory for people to follow. A guideline is more a document written to give people ideas about how to do something. It doesn't prescribe exactly what people must do/the steps they must follow. If you want to write a document which outlines mandatory steps that a certain person(s) must follow, this is not a guideline

6.1. What to include in a Guideline

To assist writers of a guideline understand what type of content to include and the format a guideline should be written in, refer to [Unitec's Guideline Template](#) available from the staff intranet .

7. THE DOCUMENT LIFECYCLE – THE CREATION, IMPLEMENTATION AND ONGOING REVIEW OF DOCUMENTS

To develop a document that is robust and will achieve the purpose for which it was written, the need for its creation and the content it should cover needs to be clearly identified before writing begins. An executive level advocate (a Sponsor) of the document and the person who will implement the document and ensure it remains relevant (an Owner) also needs to be identified from the outset. These steps plus others are all covered by what is known as the lifecycle of a document.



7.1. Document Sponsors and Document Owners

Every policy, statute, procedure and guideline document created at Unitec must have a named Sponsor and Owner. These roles should be expressed on the document by position title or committee name e.g. Executive Dean, Academic Development or Council, not by a person's name e.g. Joe Bloggs.

A Document Sponsor is: The position, body or committee that has authorised the creation of the document.

A Document Owner is: The position that is responsible for implementing the policy, undertaking its formal review and making updates as required. This is the position to whom all queries about the document and its content should be directed.

7.2. Obtaining Formal Approval For Documents And Authorising Changes To Approved Documents

The person or body who has the authority to approve a document when first created, or make changes to a document after it has been approved, depends on the document type and whether or not the changes that have been made to it are major or minor changes.

The Approval Authority Matrix below shows who has the authority to approve a newly created document or make changes to a document once it has been approved:

Document Type	Document Sponsor	Document Owner	Initial Approval and Major Changes	Minor Changes
Statute	Council	Exec Dean / Exec Director / Exec Officer / Deans	Council**	Document Owner
Policy	Council / Exec Dean / Exec Director / Academic Board*	Council / Exec Dean / Exec Director / HOD / Director / Manager / Deans	Council / Leadership Team / Academic Board***	Document Owner
Procedure	Exec Dean / Exec Director / Academic Board* HOD / Director / Manager	Exec Dean / Exec Director / HOD / Director / Manager / Deans	Document Sponsor	Document Owner
Guideline	Exec Dean / Exec Director / HOD / Director / Manager	Exec Dean / Exec Director / HOD / Manager / Director / Deans	Document Sponsor	Document Owner

* A Policy or Procedure with Academic implications may be sponsored by Academic Board.

**Statutes with Academic implications must go to the Academic Board prior to approval by Council.

***Policies with Academic implications must go to the Academic Board for approval.

7.2.1. Major Changes

A major amendment is a change to a document that has an affect on the overall meaning or implementation of any part of the document. Major amendments normally result from a formal review of the record e.g. a formal review of a Unitec policy.

Examples of major amendments include changes required to a document due to a change in legislation, significant changes made as a result of a formal review of the document, changes to the person or department responsible for carrying out any assigned responsibilities or tasks that may be mentioned within the document (Note: this does not include when the change is just a change to the person's position title or the renaming of a department. These 'renaming' changes are considered minor amendments).

7.2.2. Minor Changes

A minor amendment is a change to a document that would in no way affect the overall meaning or implementation of any part of the document.

Examples of minor amendments include correction of misspelt words or incorrect grammar, changes to a person's position title or department name but only when the same person or department will be carrying out the named task or responsibility. The identification of a different person or department to carry out a named responsibility or task would constitute a major amendment as this change would affect the implementation of the document.

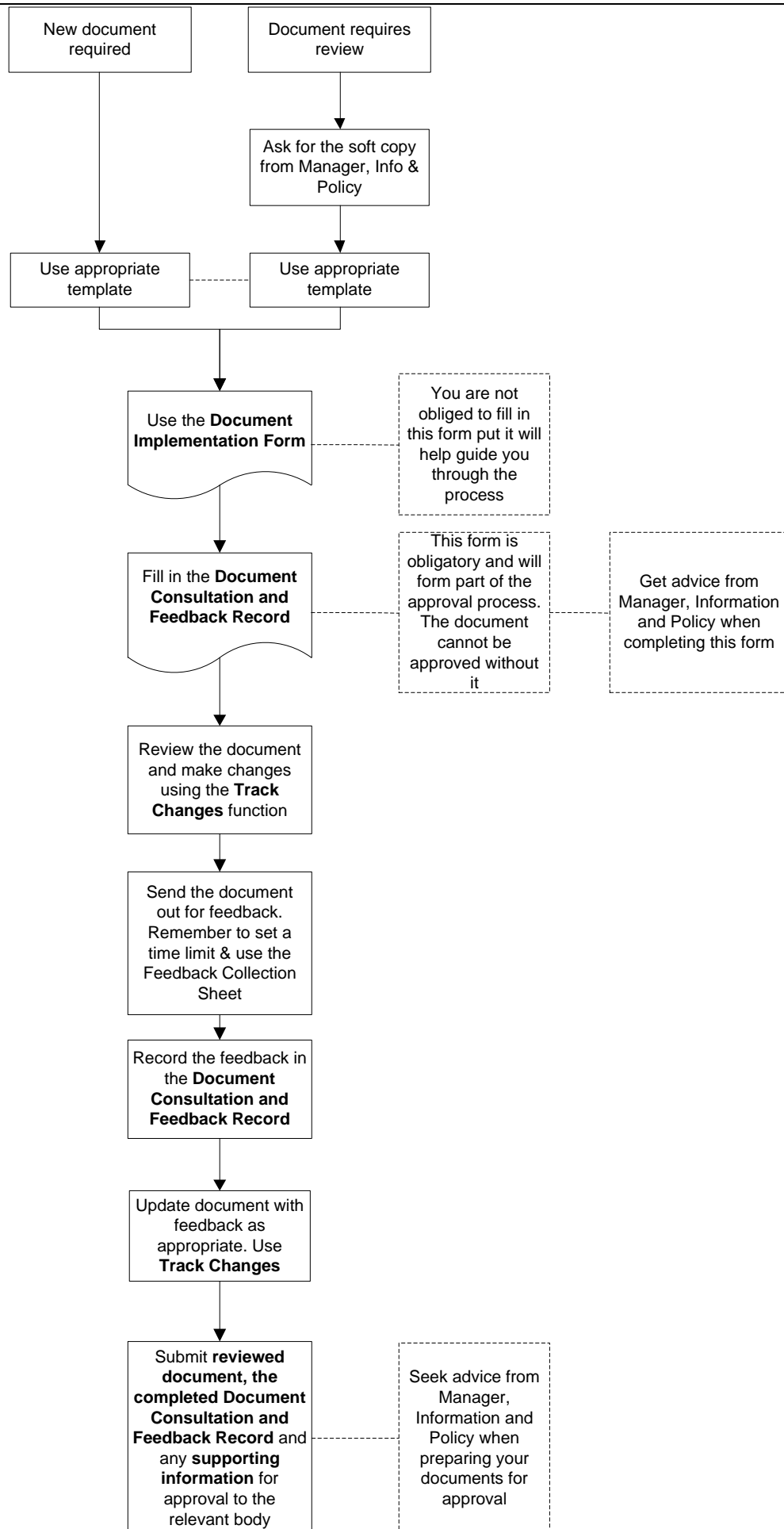
7.3. Document Review and Consultation

All documents covered by Unitec's Policy Framework are subject to a process of regular review. Reviews are a formal 'check and balance' system to ensure that the document's content is still reflective of Unitec's current practices any relevant NZ legislation including amendments, and Unitec's governing documents e.g. Strategic Plans

Documents should normally be reviewed 2-3 yearly and are carried out by the Document Owner (or his or her delegate).

Remember that conducting a review of a document does not necessarily mean changes will be made to the document. It may be that after sending the document out for review the feedback received through consultation validates that the document's current content is still relevant and up to date, therefore no changes are required. The important thing is that a review was conducted and the key stakeholders to the document were provided the opportunity to provide this validation so that Unitec and the Document Owner knows the document is still up to date and serving the purpose for which it was created.

The Document Review and Consultation Flowchart below outlines the steps to be followed for conducting a document review and seeking feedback:



REFERENCE DOCUMENTS

- [1] [Document Implementation Form](#)
- [2] [Document Consultation and Feedback Record](#)
- [3] [Document Feedback Collection Sheet](#)
- [4] [Creation and Maintenance of Electronic Records Procedure](#)

Templates

- [5] [Unitec Statute Template](#)
- [6] [Unitec Policy Template](#)
- [7] [Unitec Procedure Template](#)
- [8] [Unitec Guideline Template](#)

DOCUMENT DETAILS

Version:	1.3	Issue Date this Version:	15/04/2013
This Version Approved by:	Manager, Information & Policy	Date of Approval:	15/04/2013
Document Owner:	Manager, Information & Policy	Document Sponsor:	Executive Director, Organisational Development
Date of Next Review:	December 2014		
Date first version issued:	07 /12 /2009	Original Approval Body:	Leadership Team

AMENDMENT HISTORY

Version	Issue Date	Reason for Revision	Approved by
1	07/12/2009	New document to reflect Policy Framework approved by LShip Team	Leadership Team
1.1	24/07/2012	Minor change – addition to Section 4. Reference made to “How To’s for Writing a Unitec Policy.” A document recently created to provide further assistance to policy writers.	Manager, Information & Policy
1.2	10/01/2013	Minor change – addition of form to References section “Document Feedback Collection Sheet.” A useful tool to be used to collect feedback from relevant stakeholders on the document being created / reviewed	Manager, Information & Policy
1.3	15/04/2013	Document templates that were accessible as true templates from within the Microsoft Word	Manager, Information & Policy

		<p>application revoked due to lack of staff IT knowledge to use them correctly. Hyperlinks to the new templates now accessible from staff intranet added. Review of document also carried out. Minor changes identified only as not enough documents have been reviewed under the Policy Framework to truly assess its effectiveness. "Next Review" date changed to Dec 2014.</p>	