

## Policy Development Procedures

### 1. STRATEGIC OBJECTIVE AND COMPLIANCE OBLIGATION SUPPORTED

Supports: [Higher Education Standards Framework \(Threshold Standards\) 2015](#)  
[Curtin Corporate Governance Framework](#)  
[Compliance Policy](#)

Relates to: [Compliance Procedures](#)

Strategic Plan Theme: [People and Culture](#)

### 2. PROCEDURAL DETAILS

*Policy Development Procedures* include those for the design (section 2.1) and approval of creation and change (2.2) of policies and procedures.

#### 2.1. Design of policies and procedures

2.1.1. Policies and procedures will be concise, clear, consistent and compliant.

- (a) **Concise:** policies will state no more than is necessary to direct decision-making and clarify expected conduct.
- (b) **Clear:** policies and procedures will be written to avoid ambiguity and to be easily understood by the people affected.
- (c) **Consistent:** policies and procedures will encompass and be consistent with the University's strategic goals, values, risk appetite and template documents.
- (d) **Compliant:** policies and procedures will comply with all relevant compliance obligations and commitments and the University governance framework (see Curtin Corporate Governance Statement). Policies and procedures may refer to the Legislation, Statutes, Rules and By-laws but will not repeat them.

2.1.2. Unless specified otherwise, policies and procedures will apply across the University and apply to its operations globally.

#### 2.2. Approval of the creation, amendment or rescission of policies and procedures

##### 2.2.1. Development of new policies or procedures

The relevant Policy Manager must approve the development of a new policy or procedure covering new matters on the recommendation of the Director, Compliance Services in consultation with the developing area. The recommendation will reference the need for a new policy or procedure in line with the *Compliance Policy* and *Compliance Procedures* and seek confirmation that a policy or procedure is the appropriate instrument.

##### 2.2.2. Approval of policies

- (a) New and amended policies or the rescission of existing policies will be approved by the relevant committee according to the committee constitutions, delegations, and matters reserved for the Council.
- (b) Prior to extensive stakeholder engagement and seeking approval of the relevant committee or Policy Manager, new and changed policies will be reviewed by Compliance Services. Policies will be made available for comment by the University community on the Legislation, Policy and Procedures website for a minimum consultation period of two weeks.
- (c) Policies will be rescinded by the same authority as the relevant approving body as at the time of rescission.
- (d) The committee paper seeking approval of the new or changed policy will contain a recommendation by the Director, Compliance Services as to whether the new or changed policy fits within the existing compliance framework.

### **2.2.3. Approval of procedures**

- (a) New and amended:
  - a. procedures that support policies approved by the Planning and Management Committee will be approved by the relevant Policy Manager;
  - b. procedures that support matters within the power of the Academic Board will be approved by the relevant Policy Manager;
  - c. procedures that support policies approved by Council will be approved by the Council, except those delegated to:
    - i. the Vice-Chancellor
    - ii. the Finance Committee; and
    - iii. the Honorary Awards and Appointments Committee.
- (b) Except for administrative changes (see section 2.2.4), the creation and change of all other procedures will be approved by the same authority that has approved the supported policy.
- (c) Procedures will be rescinded by the same authority as the relevant approving body as at the time of rescission.
- (d) Prior to seeking or receiving approval, new and changed procedures will be reviewed by Compliance Services.
- (e) Prior to seeking or receiving approval, new and changed procedures may be made available for comment by the University community on the Policy webpage.
- (f) Director, Compliance Services may refer to the Planning and Management Committee or the Academic Board, as relevant, for approval of any procedures that support policies approved by that committee.

### **2.2.4. Administrative changes to policies and procedures**

Administrative changes to policies and procedures, made without consultation or committee approval, may be approved by Director, Compliance Services. Administrative changes are:

- (a) changes in references to the supporting procedures, legislation, Statute, Rules , By-laws and policy supported, and related documents/links/forms sections;
- (b) changes in the details of the Policy Contact or Policy Manager;
- (c) changes required by new or changed legislation or approved policy;
- (d) changes to give effect to resolutions of Council and its committees, the Planning and Management Committee and Vice-Chancellor to address any inconsistencies and conflicts within the relevant policy or procedure.
- (e) Typographic errors or where the wording is ambiguous and requires clarification and does not change the intent of the document

## **2.3. Policies and procedures development review cycle**

- 2.3.1. Each policy will have a default review period of five years from its creations or last approval.
- 2.3.2. Each procedure will have a default review date within three years from its creation or last approval.
- 2.3.3. A partial review of a policy or procedure which focusses on only specific sections of the document will not result in a new review date.

### 3. RESPONSIBILITIES

#### 3.1. Policy Manager

The Policy Manager for a policy or procedure is an Executive Manager who is largely responsible for the area of work covered by the policy or procedure.

The Policy Manager is responsible for:

- (a) Ensuring the review, maintenance and seeking approval for new and changed policies and procedures;
- (b) ensuring the monitoring and reporting breaches of compliance with policies and procedures. (see *Compliance Procedures*)

#### 3.2. Policy Compliance Officer

The Policy Compliance Officer is the staff member who is responsible for:

- (a) clarifying compliance with the policy or procedure, including the relevant decision-making principles and expected conduct; and
- (b) working with Compliance Services to ensure the draft policy or procedure and accompanying document that outlines the drivers for change, proposed changes and implementation issues are reviewed by Compliance Services before significant stakeholder engagement and submission to committees.

#### 3.3 Policy/Procedure Developer

The policy/procedure developer is the staff member who is responsible for the development of the policy/procedure document and may or may not be the Policy Compliance Officer.

They are responsible for:

- (a) the development and drafting of the policy/procedure document in accordance with the Curtin Governance Framework and the *Compliance Policy*; and
- (b) liaising with the Policy Compliance Officer to ensure the policy/procedure can be appropriately implemented, monitored and improved in accordance with the approved policy and procedures.

#### 3.4 Director, Compliance Services

Director, Compliance Services is responsible for:

- (a) maintenance of the Policy Website, which is the sole repository for all University policies and procedures;
- (b) recommending to committees that a new or changed policy fits within the compliance framework;
- (c) referring matters to the Academic Board, Planning and Management Committee or Council as required.
- (d) authorising administrative changes to policies and procedures;
- (e) approving standard definitions which will apply to policies and procedures; and
- (f) making amendments to the policy and procedure templates.

### 4. SCOPE OF PROCEDURES

These procedures apply to all staff employed by the University.

### 5. DEFINITIONS

These definitions are part of Curtin's compliance framework and apply to all Curtin policies and procedures.

#### Guidelines

Guidelines set out advice based on good practice. Guidelines should be followed unless there are justifiable alternative methods.

### Local Area Instruction

A Local Area instruction is a lawful and reasonable line management direction to support the implementation of applicable legislation, Statutes, Rules, Policies and Procedures (the Curtin Compliance Obligations). Where a partner entity is required to comply with the Curtin Compliance Obligation it may develop its own Local Area instructions to implement the obligation and Curtin may monitor the effectiveness of those Local Area instructions pursuant to the terms and conditions of any agreement with the partner entity. Any Local Area instruction will be consistent with the Curtin Compliance Obligations.

### Policy

A policy establishes the key principles that direct conduct and decision making.

### Procedures

Procedures are approved methods to be employed in implementing legislation, Statutes, Rules or policy.

## 6. SCHEDULES

[Schedule A](#): Policies and procedures approved by Vice Chancellor and Council Committees

## 7. RELATED DOCUMENTS/LINKS

[Policy Development Quickstart guide](#)

Guidelines on Academic Policy Development (attached)

[ISO19600:2014 Compliance Management Systems Guidelines](#)

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<b>Policy Manager</b>	Chief Operating Officer
<b>Approval Authority</b>	Council
<b>Review Date</b>	1 <sup>st</sup> April 2020

## REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
New	Approved	14/03/2012	Council	C 30/12	Attachment 2 to Confidential Document No 00265/12 (this replaces the Policy and Procedures Development Framework Policy and Procedures)
	Amended	13/02/2013	Council	C 03/13	Attachment 4 to Confidential Document No 00089/13, effective 27 February 2013
	Amended	11/12/2013	Council	C 211/13	Attachment 1 to Document No 01360/13
	Administratively Updated	13/06/2014	Director, Legal and Compliance Services		Updated links
	Administratively Updated	25/11/2014	Director, Legal and Compliance Services		Updated section 2.2.2
	Administratively Updated	06/10/2015	Director, Legal and Compliance Services	EC 76/15	Executive Manager Title Changes
	Approved	07/12/2016	Council	C 189/16	Including name change from Policy Framework Procedures.
	Administratively Updated	02/02/2017	Director, Legal and Compliance Services		To give effect to C 188/16: approval of procedures by Honorary Awards and Appointments Committee
	Administratively Updated	02/11/2017	Director, Legal and Compliance Services		Amendment to Schedule A, ii

## Schedule A

### **Policies and procedures approved by Vice Chancellor and Council Committees**

- i. the Vice-Chancellor: Compliance Procedures, Risk Management Procedures and Establishment and Change of Organisational Units Procedures;
- ii. the Finance Committee: Investment and Treasury Management Procedures;
- iii. the Council Remuneration Committee: Remuneration for Members of Council Policy and Procedures; and
- iv. the Honorary Awards and Appointments Committee: Alumni Achievement Awards Procedures, Appointment of Patrons Procedures, Curtin University Fellow Procedures, Honorary Doctorate Procedures, John Curtin Medal Procedures, Titles of Emeritus Professor and John Curtin Distinguished Emeritus Professor Procedures, Titles of John Curtin Distinguished Professor and John Curtin Distinguished Visiting Professor Procedures

## ***Guidance notes on Academic Policy Development***

### **1. PREAMBLE**

These notes provide guidance to policy developers on the interpretation of the University's *Policy Development Procedures* as they apply to policies and procedures approved by Academic Board.

Relevant documents:

- Academic Board Constitution
- Curtin Corporate Governance Statement
- *Compliance Policy*
- *Policy Development Procedures*
- *Policy Developers Quickstart guide*
- *Curtin common definitions*

### **2. ACADEMIC POLICIES**

2.1 Academic policies are policies relating to academic matters that are approved by Academic Board. They include documents formally identified as policies made under the University's Compliance Policy, and other prescriptions which have the authority of a resolution of Academic Board as delegated by Council.

2.2 Academic Policies include policies relating to a range of academic matters, specifically, in relation to:

Courses;

- Learning and teaching;
- Research and research training;
- Academic services;
- International activities; and
- Quality and standards of the University's academic activities.

2.3 Academic policies are a means of ensuring that the University meets the requirements of the *Higher Education Standards Framework (Threshold Standards) 2015*.

2.4 Academic policies support the realisation of the University's vision and strategic objectives.

### **3. DEVELOPMENT OF NEW AND APPROVAL AND CHANGE OF EXISTING ACADEMIC POLICIES AND PROCEDURES**

#### **3.1 Academic Policies**

3.1.1 The relevant Executive Manager must approve the development of a new policy covering new matters on the recommendation of the Director, Compliance Services in consultation with the developing area. The recommendation will reference the need for a new policy or procedure in line with the *Compliance Policy* and *Compliance Procedures* and seek confirmation that a new policy is required and a policy document is the appropriate instrument.

3.1.2 The Academic Board will approve academic policies, and any subsequent changes to those policies.

3.1.3 Stakeholders impacted by the academic policy are to be identified and consulted with as part of the policy development process.

3.1.4 Before seeking Academic Board approval, academic policies will be reviewed by Compliance Services to ensure fit within the existing policy framework.

3.1.5 Before seeking Academic Board approval, and following a review by Compliance Services, academic policies will be made available for comment by the University community on the Draft Policy and Academic Board websites for a minimum consultation period of two weeks. This can be done through contacting Compliance Services (Draft Policy) and the Secretariat (Academic Board).

3.1.6 New academic policies or major amendments must be submitted using an approved University template. The template will detail:

- Policy objectives
- Scope of the policy including any exclusions, having regard to :
  - Curtin's global operations
  - undergraduate and postgraduate students
  - online units
  - equity, diversity, and access inclusion requirements
- The policy approver, policy owner and policy issuer
- Compliance with relevant legislation, statutes, rules that the policy addresses
- Alignment with University's values and strategic objectives
- Consultation processes undertaken including with key stakeholders and process owners
- Implementation and communication plans
- Any rescission of existing policy

### **3.2 Academic Policy Procedures**

3.2.1 Except for administrative changes, the creation and change of procedures related to academic policy are approved by the relevant Executive Manager following consultation with the relevant Academic Board standing committee.

3.2.2 Prior to seeking or receiving approval from the relevant Executive Manager of new or changed procedures related to academic policy, review will be required by Compliance Services and may be made available for consultation by the University community.

### **3.3 Administrative changes to academic policies and procedures**

3.3.1 Administrative changes to academic policies, made without Academic Board approval may be approved by the Director, Compliance Services, following consultation with the Chair of the Academic Board.

3.3.2 Administrative changes to academic procedures, may be approved by the Director, Compliance Services, following consultation with the relevant Executive Manager.

### **3.4 Management of academic policies and procedures**

3.4.1 Breaches of compliance with academic policies and procedures will be monitored by Policy Compliance Officer and reported to both Compliance Services and the Chair of the Academic Board.

## **4. RESPONSIBILITIES**

### **4.1 Policy Manager**

4.1.1 The Policy Manager for an academic policy or procedure is the Executive Manager who is largely responsible for the area of work covered by the policy or procedure

4.1.2 Policy Manager is responsible for:

- (a) ensuring the timely review, maintenance and seeking approval for new and changed academic policies and procedures;

## Attachment

- (b) monitoring and reporting breaches of compliance with policies and procedures.

<b>Approver</b>	Provost
<b>Contacts</b>	Academic Registrar Telephone 9266 1735  Policy framework generally; Director, Compliance Services Tel: 9266 2881
<b>Review Date</b>	