

# University of South Australia Policy Framework

## 1. Purpose

- 1.1 The purpose of this policy is to set out the principles and the governance framework for describing, ordering, developing, approving, reviewing and maintaining the University of South Australia (UniSA) policy documents, and to ensure consistency in the development, presentation and dissemination of these documents.

## 2. Principle

- 2.1 At the University of South Australia a Policy is a higher order statement which establishes the principles and requirements for conduct and practice.
- 2.2 Policy is informed by a range of factors including regulation, community expectation, and the vision of the University. It strengthens and enables a range of functions within the University, by:
  - a) guiding decision-making and service delivery;
  - b) ensuring governing principles are well understood and implemented;
  - c) enabling shared communication via a common language and understanding;
  - d) creating an operating framework;
  - e) ensuring consistency of approach;
  - f) addressing legislative requirements; and
  - g) mitigating risk
- 2.3 A policy should be adopted for any area of the University's operation where direction or intent needs to be set in order to conduct University business. A policy is not required for every University operation.

## 3. Scope

- 3.1 All members of the University community, including staff, students and contractors, must comply with University Policy at all times when carrying out University activities.
- 3.2 Policy application must be fair, consistent and in accordance with all laws and regulations of the jurisdictions within which the University operates.
- 3.3 All other policies, procedures and guidelines of the University are subject to the requirements of this policy.

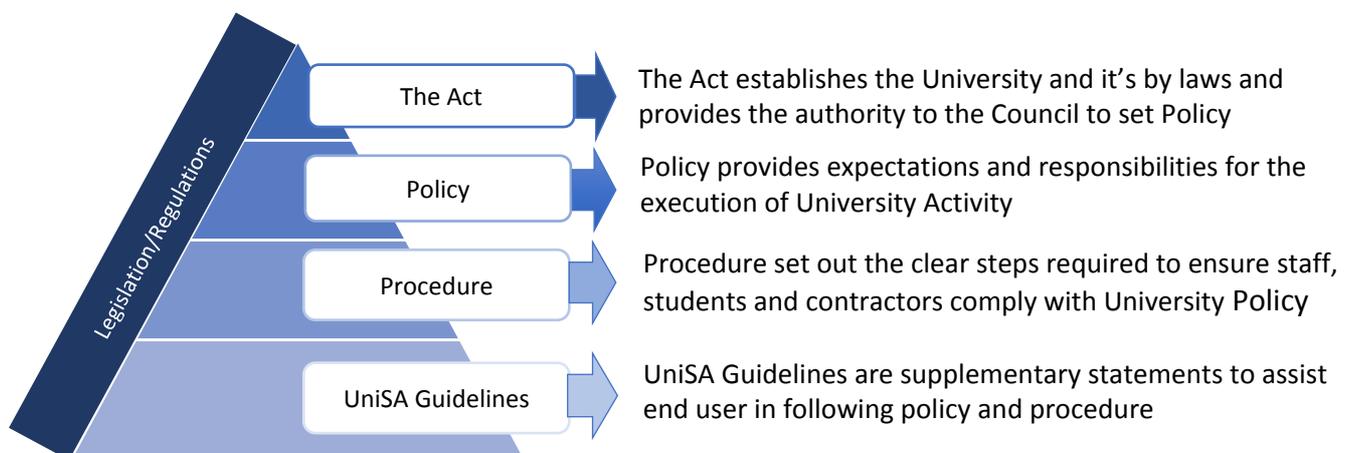
## 4. Definitions

- 4.1 **Academic** means all matters pertaining to teaching and learning, programs and courses, student administration and support, research and research training.
- 4.2 **Act** means the University of South Australia Act 1990
- 4.3 **Amendment** refers to all amendments made to a policy document other than a minor amendment.
- 4.4 **Governance** means all matters of which the Council (and Committees of Council) has primary responsibility as the governing authority (which have not otherwise been delegated) including all matters of which the Council cannot delegate its power under the Act. This covers the governing arrangements, structures, systems, controls and assurance process that enable the Council to exercise its oversight and control function over the University.
- 4.5 **Guidelines** mean advisory and explanatory statements offering any or all of detail, context or recommendations for good practice, which support policies, procedures or standards, and must be complied with unless there is a justifiable reason not to do so.

- 4.6 **Legislation** includes all legislation of the jurisdictions within which the university operates, and the University of South Australia Act 1990, including all statutes, rules and orders made under the Act.
- 4.7 **Policy** is a higher order statement which establishes the principles and requirements for conduct and practice.
- 4.8 **Policy framework** means the collective noun for all policies, procedures, standards and guidelines of the University.
- 4.9 **Policy Library** means the repository for all current and expired policy documents of the University.
- 4.10 **Procedure** means statements of the University's mandatory prescribed processes, practice and/or actions, which give effect to a policy.
- 4.11 **Responsible Officer** means a senior officer with relevant portfolio responsibility for a particular policy document.
- 4.12 **Standard** means statements of the University's mandatory prescribed specifications as to the qualities of a product, service, system, infrastructure or other resource, which give effect to a policy.

## 5. Policy Framework

- 5.1 This Framework governs the development, accountability and responsibility for the approval, transmission, and review of the UniSA policies.
- 5.2 All University policies are subject to a formal approval process and are stored in a centrally maintained Policy Library administered by Chancellery and Council Services.
- 5.3 **Policy Hierarchy.** The following policy hierarchy applies for the University of South Australia:



- 5.4 **The Act.** The *University of South Australia Act 1990* and its associated statutes and bylaws established UniSA. It provides the Council with the Authority to establish Policy to ensure that the University is governed in accordance with legislation to achieve its strategic objectives, manage key risks and ensure the efficient and effective delivery of University Operations.
- 5.5 **Policy.** There are three types of policies at the University of South Australia:
- a) **Academic** – Set specific direction with regards to Academic activities of the University. Academic Policy are broken down into two sub categories being:
    - (i) Teaching and Learning
    - (ii) Research
  - b) **Corporate** – relate primarily to administrative and operational functions which support University activities. These include, but are not limited to:
    - (i) Finance

- (ii) Human Resources
  - (iii) Information Technology
  - (iv) Communications and Marketing
  - (v) Legal
- c) Council –underpin the University’s governance behaviour apply to all areas of the university. These include but are not limited to:
- (i) Risk Management
  - (ii) Nominations and Remunerations
  - (iii) Fraud and Corruption
  - (iv) Code of Conduct
  - (v) Sexual Harrassment
- 5.6 **Procedure.** Procedures are statements setting out prescribed courses of action that must be followed in order to implement policy and/or ensure the efficient management of University activities.
- 5.7 **Guidelines.** Educational in nature, guidelines are statements that assist both decision makers and others to understand the factors that are relevant to making particular types of decisions and their respective weightings. They are supplementary to the application of specific powers and responsibilities that have been given to persons or bodies under the Rules, a Policy, Vice Chancellor’s Authorisations or a delegation from Council. They may include elements such as flowcharts, business processes or graphics as support.

## 6. Establishing a Policy

- 6.1 In order for a policy to be established it must meet one or more of the following the following criteria:
- a) It supports and embodies the University’s mission, values and strategic objectives in accordance with the University of South Australia Act 1990;
  - b) It is required by legislation and/or regulation in order to meet the University’s compliance obligations;
  - c) Its establishment empowers decision makers and contributes to the delivery of the core business of the University;
  - d) It is required in order to express or reflect the University’s position in relation to a particular matter or subject; or
  - e) It ensures adequate mitigation of risks identified in the achievement of the University’s strategic objectives.

## 7. Amending a Policy

- 7.1 There are two types of amendments that can be made to Policy; Major and Minor Amendments.
- 7.2 **Major Amendments.** These amendments significantly change the content of the policy. This includes the policy principles, scope, application, and responsibilities allocated under the policy.
- 7.3 **Minor Amendments.** These amendments made to a policy document to: correct or update a title, name, numbering, web link, metadata or a reference (to law, another policy document, a delegation, or other relevant document); correct document formatting, spelling, grammar, or clarity of language, which does not otherwise affect the document intent or content; reflect changes in the technical or process configurations of an associated enterprise system; or otherwise modify it in a way that does not significantly change the intent or content of the existing version of the policy document.

## 8. Disestablishing a Policy

- 8.1 The criteria for consideration for a policy to be disestablished are:
- a) The policy is no longer required by legislation and/or regulation in order for the University to meet compliance obligations;
  - b) It no longer meets an essential requirement in the performance of the operations of the University;
  - c) It no longer reflects the objectives and purposes of the University; or
  - d) Risks identified no longer apply in regards to the University's strategic objectives or within the operating environment.

## 9. Roles and responsibilities

- 9.1 The **Policy Custodian** has overarching responsibility for developing a policy, obtaining the required approvals, and ensuring that the policy is implemented and reviewed. The policy custodian can delegate this responsibility under the conditions listed below:
- a) Academic Policy - the Provost (or delegated to an appropriate member of the Senior Management Group)
  - b) Corporate Policy - the Vice Chancellor (or delegated to an appropriate member of the Senior Management Group)
  - c) Council Policy - the Director: Chancellery and Council Services (or delegated to an appropriate individual or Committee by Council)
- 9.2 A **Responsible Officer** is specified in each policy and is the main point of contact for:
- a) Reviewing the particular policy and any associated procedures and guidelines developed in accordance with the UniSA Policy Framework;
  - b) Overseeing the development of the policy ensuring that it complies with the definitions and intent outlined above;
  - c) Developing an implementation plan for the policy or procedure; and
  - d) Ensuring that the policy is implemented and its effectiveness monitored.
- 9.3 The **Director: Chancellery and Council Services** is operationally responsible for maintaining and monitoring compliance with the Policy Framework, the Policy Library, and the transmission of policy.
- 9.4 All **Staff** are responsible for ensuring they are executing their duties within the requirements of all policies developed under this framework. Non-compliance with any policy will be addressed under the University's disciplinary procedures.
- 9.5 **Vice Chancellor's Authorisations (VCAs)** sit outside the Policy Framework, they are the responsibility of the Vice Chancellor. The custodian for the VCAs is the Director: Assurance Services.

## 10. Operational Elements

- 10.1 All policies will include:
- a) The name of the policy
  - b) The Policy Number
  - c) Council policies are numbered CL##
  - d) Academic Policies are numbered AC##
  - e) Corporate Policies are numbered CR##
  - f) Policy Overview – summary of the policy
  - g) Scope of policy – clear statement on when and to who the policy applies
  - h) Responsibilities – clearly define any decision making authority required under the policy. Ensure all responsibilities are specified.
    - i) Administrative information:
      - (i) Commencement date - the date they take effect
      - (ii) Review date – as defined by section 11 below.

- (iii) Versions. **Major versions** – relate to major amendments and are denoted as 1.0, 2.0, 3.0, etc. **Minor versions** – related to minor amendments and are denoted as 1.1, 1.2, 1.3, etc.
  - (iv) Relevant references and documentation - i.e. Legislation, other policies, procedures, etc
  - (v) Policy Custodian
  - (vi) Responsible officer
- 10.2 All procedures will include:
- a) The name of the Procedure
  - b) The Procedure number
  - c) Council Procedures are numbered PRO CL##
  - d) Academic Procedures are numbered PRO AC##
  - e) Corporate Procedures are numbered PRO CR##
  - f) The purpose of the procedure
  - g) The responsibilities under the procedure
  - h) The process steps to execute the procedure
  - i) Administrative information:
    - (i) Commencement date - the date they take effect
    - (ii) Review date – as defined by section 11 below.
    - (iii) Versions **Major versions** – relate to major amendments and are denoted as 1.0, 2.0, 3.0, etc. **Minor versions** – related to minor amendments and are denoted as 1.1, 1.2, 1.3, etc.
    - (iv) Relevant references and documentation - i.e. Legislation, other policies, procedures, etc.
    - (v) Procedure Custodian
    - (vi) Responsible officer

## 11. Review of Policies

- 11.1 A Policy Review Schedule will be determined and implemented. The Director: Chancellery and Council Services will coordinate the policy review schedule in consultation with the appropriate Policy Custodian and Responsible Officer.
- 11.2 A policy may be reviewed outside of the Review Schedule if a need is identified or as required by significant Legislative change, new strategy or objectives or significant risk.
- 11.3 A policy under review will not lapse until the revised policy has been approved.

## 12. Assistance

- 12.1 For further information or assistance on the policy development and review process, contact the Director, Chancellery and Council Services.