COUNCIL STATUTE ON POLICY DEVELOPMENT AND REVIEW

Section	University Management
Contact	Risk and Assurance
Last Review	October 2016
Next Review	October 2021
Approval	A&R16/46
Effective Date	1 December 2016

Purpose:

The purpose of this Statute is to ensure that University policies are developed and maintained in an appropriate and consistent manner.

Policy:

All policies at Massey University are to be established and reviewed in accordance with this Statute.

A Policy is a written statement, which articulates the principles, values, statements of intent and compliance requirements of the University

A policy is not a Council statute, procedure, guideline, framework or a regulation which are defined in Appendix 6.

Policy Development

While any member of the University community may consider there is a need for the creation of a new University policy, any development must be undertaken with the express authorisation of the intended policy owner.

In considering the development of a new policy, the policy owner will assess the need, and may consider whether or not the intended policy will: address an existing risk, shortfall or gap in current operations; will describe a new process which must be complied with; will provide clarity of process and ensure consistent application of the required principles; be sufficiently different in content and purpose to an existing policy which could otherwise be amended.

Due consideration must also be applied to the cost and resourcing implications of implementing and ensuring compliance to the policy.

Policies must

- Comply with relevant legislation and University regulations.
- Be consistent with University delegations.
- Consider strategic implications as well as risk.
- Consider the effect on staff.
- Consider the effect on students.
- Be feasible to implement.
- Align with the University's Strategy and Investment Plan.

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All policies must be set out as directed in the policy template provided – Refer to the Policy Template – Appendix One.

The policy owner must specify a review period of either 3 or 5 years as the policy is developed or reviewed. If the content of the policy is static in nature and not likely to change significantly in the short to medium term, then a review period of 5 years may be appropriate. A review period of 3 years should be specified where changes in process, legislation or operational practice are likely to occur within that time.

Regardless of the date specified for the next review, the policy owner may choose to review the policy at any time, and should do so where substantive revisions are required to align with internal processes or changes to legislation.

Wording of policy documents is critical and needs to clarify the "must" inherent to the policy. It is the "must" that will constitute the obligations that are central to the policy

Where policies have an impact on the terms and conditions of employment of staff, the designated policy owner will be required to consult appropriately, and as outlined in the relevant employment agreements, with all SLT members, staff, and staff representative groups through the People and Organisational Development section, before seeking Vice-Chancellor approval. Similarly where policies impact on other key stakeholders (e.g. students/Iwi) the designated policy owner will be expected to consult with such stakeholders before seeking Council, Vice-Chancellor and/or Academic Board approval.

Other considerations are:

- Who will be responsible for implementation, day-to-day operation of the policy and monitoring for compliance?
- Proximity – is the policy responsibility related to accountability of function?
- Indicators – what are the mechanisms that indicate the policy is effective?
- Feedback – what are the processes for reviewing and updating the policy?
- Externality – does this policy represent 'best practice'?
- Clarity and Transparency – Is the policy easily understood and clear in intent?
- Access – e.g. via the web for staff and students
- Consistency – with other University policies
- Review period – is the policy content static or does it require updating more frequently?

Refer Appendix Two for the Policy Development Process Flow Chart

Policy Approval

Under the Education Act 1989 (Section 180 (1) (c) (d)), the University Council has legislated delegations to:

1. Determine policies to implement Massey University's funding t plan; and

2. Determine (subject to the State Sector Act), the policies of Massey University in relation to the management of its affairs.

As permitted, the University Council has discretion to delegate all or part of these authorities, to the Vice-Chancellor, Academic Board or the Audit and Risk Committee (as specified in Schedule B of the Massey University Council Delegations Statute). Council Secretary maintains a schedule of all policies that require University Council approval.

For all other policies:

- Approval of academic policies is delegated by the University Council to the Academic Board.

- Approval for policies related to the management of the Universities affairs is delegated by the University Council to the Vice-Chancellor who, after endorsement by the Senior Leadership Team (SLT) or other

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bodies/positions so delegated, will approve those management policies (includes: Finance, Human Resources, Research Management, Academic Management and Asset related policies).

Responsibility

The policy owner is responsible for carrying out the development and review process, and for obtaining policy approval when required, in accordance with this Statute. The policy owner has responsibility for communication and implementation of the Policy.

Research and Academic Policies
The Assistant Vice-Chancellor Research, Academic and Enterprise is policy owner for the University's research and academic policies and is responsible for oversight of the comprehensive approval processes for such policies and associated procedures, through consideration by relevant committees including College Boards, Academic Committee, Teaching and Learning Committee, Academic Board and Council (where appropriate).

Finance Policies; Information Technology Policies
The Assistant Vice-Chancellor Strategy, Finance, IT and Commercial Operations is the policy owner for a number of administrative policies including asset-related, finance, and IT policies.

Campus Management and International
The Assistant Vice-Chancellor Operations, International and University Registrar is the policy owner for a number of administrative policies including those relating to campus management, facilities, and international.

People and Organisational Development Policies, and Health and Safety Policies
The Assistant Vice-Chancellor People and Organisational Development is policy owner for Human Resource and Health and Safety related policies.

University Management Policies
Owners of each University Management policy will be the Assistant Vice-Chancellors who have functional responsibility for implementation and accountability in the area covered by the policy.

Governance Policies
The Chair of Council is the Policy Owner of all Governance related policies.

Approval pathways for all policy types are included as appendices to this Statute.

Review and Revision

The policy owner has responsibility for reviewing and/or updating those University policies within their area of responsibility.

A review of the policy must be undertaken every 3 or 5 years, dependant on the nature of the policy, to ensure that the content remains current and appropriate within the operating context.

Major or substantive revisions to an existing policy must be treated the same as a new policy, and undergo the development and approval process described in Appendix Two.

If no changes are required when a policy is reviewed, the policy owner should notify the Risk Management Office and specify the next review date.

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The policy owner can make minor revisions that do not change the substance of a policy without completing the formal approval process described in Appendix Two.

Procedures should be reviewed by the relevant section alongside the revision of any overarching Policy, or at intervals of no greater than 5 years,

For purposes of clarity it should be noted that policies published in the Policy Library remain valid and in force, irrespective of whether the review date has passed.

Policy Library

The Massey University Policy Library is the authorised and definitive catalogue of approved policies within Massey University. Policies will be added or updated on the Policy Library once formally approved, and upon the instructions of the policy owner. All policies will include confirmation of approval (i.e. the relevant meeting minute reference number).

The Policy Library is maintained by the Risk Management Office. Policies are deemed Vital Records and will be managed in accordance with the Records Management Policy.

Policies are public documents. Procedures and related documents may be restricted to Massey University staff only, if specified by the policy owner.

Audience:

All staff, students and external stakeholders.

Relevant legislation:

University Regulations (as contained in the Massey University Calendar)
New Zealand Law (www.legislation.govt.nz)

Legal compliance:

Policies must comply with University Regulations and New Zealand law.

Related procedures / documents:

Records Management Policy

Document Management Control:

Prepared by: Director Risk and Assurance
Authorised by: AVC Operations, International and University Registrar
Approved by: Council TBC
Date issued: 1 December 2004
Last review: October 2016
Next review: October 2021
Effective Date: 1 December 2016

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APPENDIX ONE – POLICY TEMPLATE

Section	Choose appropriate policy section
Contact	Dept to be contacted with any queries
Last Review	Month and year
Next Review	Month and year (3 or 5 years from last review)
Approval	E.g.: SLT Minute reference
Effective Date	Date upon which the policy commences

Purpose:

A statement indicating the reason for the document's existence and importance. It should be brief and one sentence only.

Policy:

Statement of specific policy

- Use one-sentence statements only.
- Always word the statements concisely and avoid ambiguity.
- There may be more than one policy statement in a policy document. If so list them down the page.

Definitions:

(Optional) Some policies may require a definition section. The purpose of this section is to define areas that may need clarification.

Audience:

Each policy should identify who the audience is in terms of staff, students and external bodies within the university community.

Relevant legislation:

State the relevant legislation this policy must comply with or is referenced to.

Legal compliance:

If this policy has obligations for legal compliance these should be explained briefly.

Related policies and procedures:

If any policy has a number of procedures and/or documents associated with it, these should be listed in this section of the policy statement. Links to external references, forms or websites should not be listed here.

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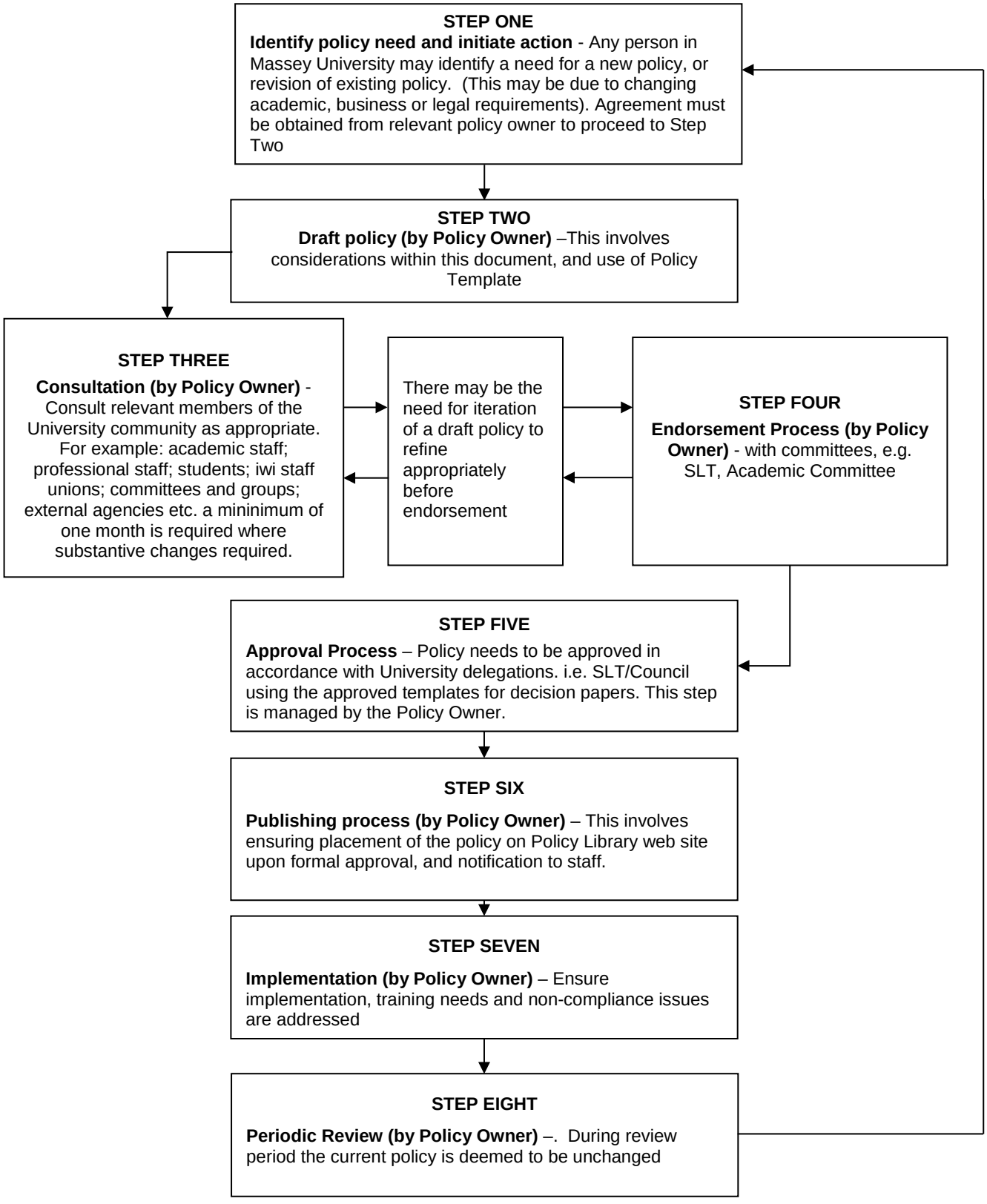
APPENDIX TWO: POLICY DEVELOPMENT PROCESS

A process flowchart for policy development, approval and implementation



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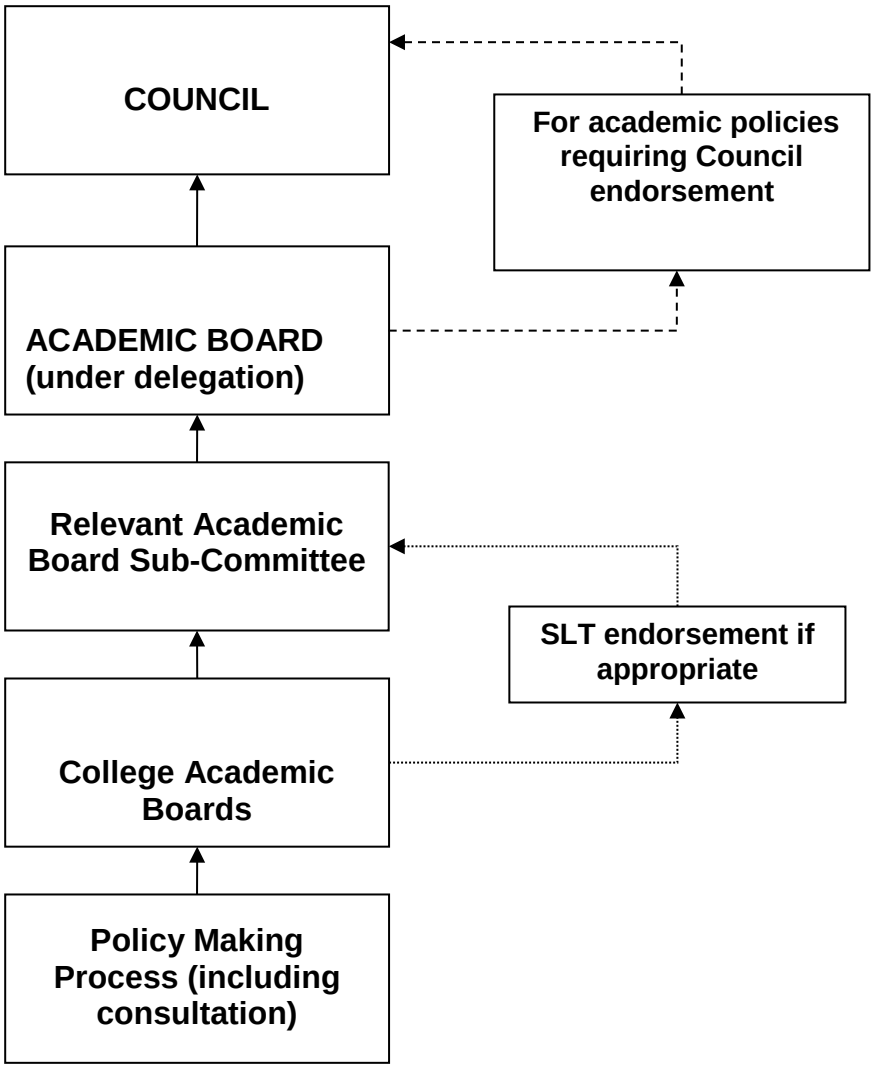
APPENDIX THREE: ACADEMIC POLICY APPROVAL



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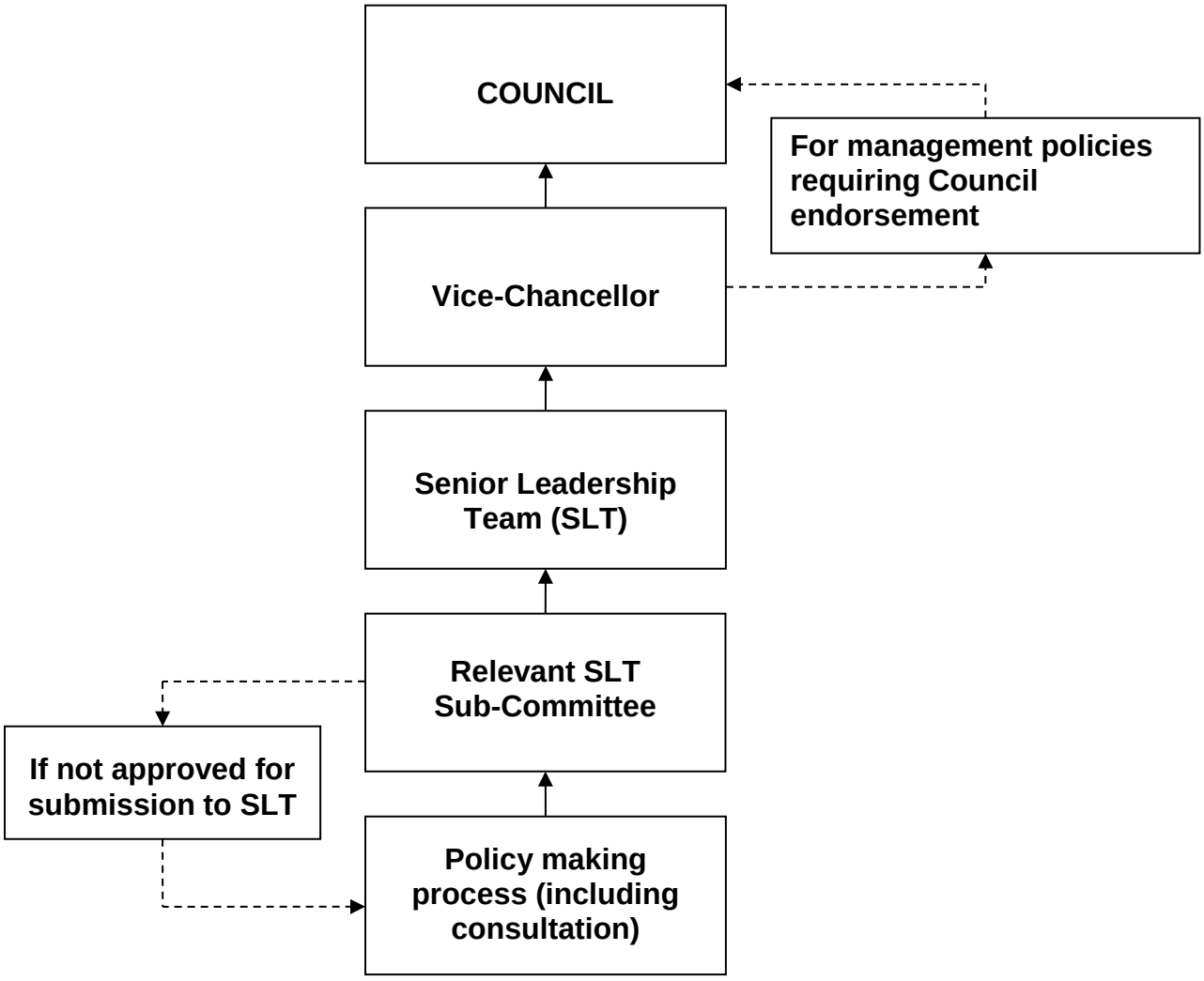
APPENDIX FOUR: MANAGEMENT POLICY APPROVAL



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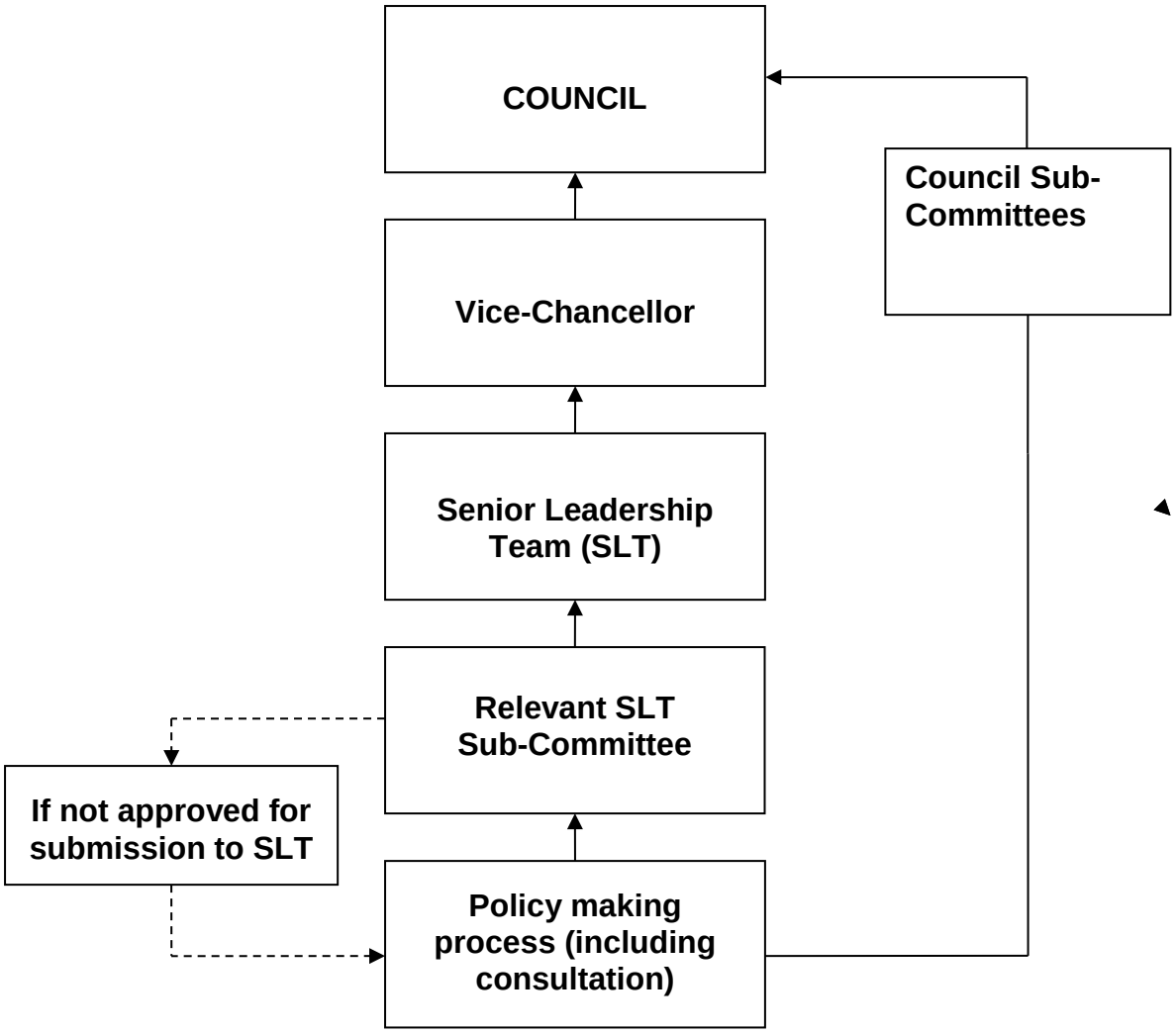
APPENDIX FIVE: GOVERNANCE POLICY APPROVAL



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APPENDIX SIX: GUIDE TO POLICY DEFINITIONS

Term	Definition	Examples	Approval Body	Audience
Frameworks	A structure that outlines the way a Policy will be implemented within the University environment and describes various elements and their inter-relationships. Frameworks draw together information from various sources including, but not limited to, Strategies, Policies and Procedures.	Qualification Framework Teaching and Learning Framework Compliance Framework Risk Management Framework	Academic Board or relevant subcommittee in relation to Academic matters	Staff
Guidelines	A series of steps, factors, or considerations that should be worked through when making decisions or coming to conclusions on matters that are subjective in nature or have complex legal requirements to be met. Guidelines assist and guide people to achieve tasks using a recommended course of action or in consideration of an agreed set of principles.	Guidelines for International Assessors for AES Guidelines for Distance Education Offerings to International Students Overseas Guidelines on Change Management	Relevant Academic Board Subcommittee (when related to a new or established Policy or Procedure). Relevant Line Manager for other Guidelines.	Individual Staff
Policies	A written statement which articulates the principles, values, and statements of intent and compliance requirements of the University.	Qualification Policy Health and Safety Policy	SLT, or Council or Academic Board (in relation to Academic matters)	Staff, Students, Public
Powers	Authority conferred upon the University under the Education Act 1989 and subsequent amendments.	Powers to establish and quality assure programmes, enrol and exclude students (including International students), and charge and collect fees.	NZ Government	University
Procedures	Established steps or methods that must be performed to obtain a specified outcome or output. Establishes the purpose of the activity and who is responsible for the action. Communicates acceptable practice and sets boundaries.	Award of Alternative Qualification Procedures Procurement Procedures	Relevant Committee or Policy Owner	Staff
Processes	Workflows which may involve a number of steps and hand-offs between various parties. Processes support large volume workflows and may be expressed at a broad or detailed level. Participants may be within or without the institution.	Enrolments Process Business Case Process	N/A	Staff, Students
Regulations	Define how the University will exercise the powers conferred under the Education Act 1989 as they relate to students, and educational offerings.	Unsatisfactory Academic Progress Regulations, Qualification Regulations	Academic Committee	Students, Staff
Rules	Statements of expectations and restrictions that relate to a regulation.	Examination Rules	Academic Committee or delegate	Students

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Council Statute	A ratified Council Policy consistent with the Education Act 1989 or the State Sector Act 1988.	Specific examples include; Delegations Statute, Council Statute on Policy Development and Review.	Council	Governance Boards, University, Staff

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