

Category: University Management
Last Modified: March 2012
Review Date: August 2013
Approved By: Chair, Senior Management Team
Contact Person: Senior Policy & Risk Advisor, Extn 6831

Introduction:

All official regulations, statutes, protocols, policies, codes of practice, procedures, and guidelines [hereafter referred to as ‘policies and procedures’] pertaining to the University of Canterbury are housed in a central electronic repository (the ‘UC Policy Library’) on the University website

This document outlines the development and review process for all policies and procedures in the UC Policy Library and specifies the template and quality control steps that should be applied to all existing - and new – official University of Canterbury policies and procedures.

Definitions:

Legislation:

Acts and laws approved by Parliament and enforceable by the government of the country.
e.g. [Privacy Act](#)

Protocols:

Fundamental principles, providing overarching statements about key activities.
e.g. [Council Protocols](#)

Regulations:

Rules that determine:

- a) the standards for each qualification offered by the University,
e.g. [General Course and Examination Regulation L: Theses](#)
- b) the formal expectations of the University with regard to other general matters pertaining to its function.
e.g. [Discipline Regulations](#)

Regulations are approved by Council or its delegated authority, are mandatory, and failure to comply with them will normally result in penalties.

Note: other tertiary institutions may refer to ‘regulations’ as ‘statutes’. The University of Canterbury rarely uses the term ‘statute’ but an exception is the Parking and Traffic Statute 2003.

Policies:

Principles that identify formal expectations of staff, students and visitors on specified University matters. Policies are formally documented and approved by Council or its delegated authority. Boundaries are defined and a framework provided within which operating procedures may be developed. Compliance is expected and non-compliance may result in censure, penalties or disciplinary action.

e.g. [Assessed Work in Maori Policy](#)

Procedures/Guidelines:

Standard, step-by-step, methods of operating in line with best practice or safe practice. They generally relate back to a policy statement or regulation and may offer advice or set expectations about how a policy or regulation should be implemented or how an activity is carried out. Compliance is expected, and where a decision is taken to depart from the guidelines, actions may need to be explained and/or justified.

e.g. [Masters Thesis Work: Guidelines for Students, Supervisors, Departments and Schools](#)

Codes of Practice:

A Code of Practice, or COP, sets out minimum expectations and best practice guidelines that it is expected will be adhered to.

e.g. [Research Work for a Masters or PhD Thesis: Code of Practice for Heads of Departments/Schools, Supervisors and Students](#)

Policy Statement:

1. Policy Library

A policy library [hereafter called the ‘UC Policy Library’] has been developed for the University of Canterbury to house all official University of Canterbury policies electronically. All institution wide policies and procedures must be lodged in the UC Policy Library before they can be recognised as official policies or procedures of the University of Canterbury.

The policies and procedures placed in the library are the definitive, most recently approved versions and are accessible to staff, students and visitors to the University via alphabetical, keyword, or administrative category searches at the following URL: <http://www.canterbury.ac.nz/ucpolicy>.

In some instances where content is of a commercially sensitive nature, or material is irrelevant to the general public, some policies or procedures may be accessed only by staff and are password protected.

Responsibility for the UC Policy Library rests with the Planning, Information and Reporting Unit (PIRU). The Policy and Risk Office in PIRU is responsible for the on-going maintenance, review process, and development of new policies and procedures in accordance with established guidelines as outlined below.

All policies and procedures lodged in the UC Policy Library must be formatted to include the following consistent introductory statements:

- 1.1 **Title of Policy or Procedure** – note that titles are modified where necessary to facilitate access, e.g ‘Policy on Harassment’ becomes ‘Harassment Policy’, searched under ‘H’ in alpha search;
- 1.2 **Category** - chosen from one of the following administrative categories: Academic, Facilities Management, Finance, Health & Safety, Human Resources, Information Technology (IT), International, Library, Research, Student Services and University Management. These categories are linked to the delegated approval authority for individual policies and procedures and clarify ownership;
- 1.3 **Last Modified** - the date when a policy or procedure was created or last modified;
- 1.4 **Review Date** - all policies and procedures are assigned a review date and are reviewed regularly in accordance with 2. below;
- 1.5 **Approved By** - an approval authority is assigned to all policies and procedures, as per the delegations approved by Council (see Appendix A);
- 1.6 **Contact Person** – overall responsibility and sign off for policies and procedures remains with the approval authority. However, a Contact Person is identified by role and contact details for day-to-day administrative enquiries about each policy or procedure. This person is also the first contact during the review process and has task responsibility for the document’s validity, status, and review. Operational responsibility also sits with this person who, where relevant, will seek advice from a related committee.

In addition, the document content should adhere to the template shown in Related Policies, Procedures and Forms and include:

- 1.7 **Introduction** - a brief statement of purpose, including scope of the policy or procedure, e.g. organisation-wide;
- 1.8 **Definitions** - jargon or key words used in the policy or procedure that are not explained in the policy statement;
- 1.9 **Policy Statement** - policy detail. Various sub-headings may be included, as relevant, for each policy or procedure. This section may amount to several pages or be quite brief;
- 1.10 **Procedures/Guidelines** – identifies best practice guidelines or procedural detail, where relevant;
- 1.11 **Related Policies, Procedures and Forms** - list of any relevant policies or procedures (both internal and external) and electronic links to forms or templates applicable to the policy or procedure;
- 1.12 **Appendices** - included where relevant;
- 1.13 **Notes** - included where necessary.

Notes:

- a) Not all components of the template will ‘fit’ for every policy and procedure. Discretion should be used to determine which sections should be omitted, e.g. appendices, notes, or a policy statement where the document relates only to procedures or guidelines. Persons developing new policies or procedures should refer to the guidelines in the UC Policy Library or consult the Policy and Risk Manager or Policy and Risk Officer.
- b) The template is **not** applied to Calendar Regulations in the UC Policy Library. The regulations are instead formatted in the same way that they appear in the Calendar.

2. Policy Review

A review date is to be identified by the Contact Person for each policy or procedure lodged in the UC Policy Library. Normally, this date will be three years but in some instances, it will be more appropriate to review annually or biennially. All reviews will be managed and coordinated by the Policy and Risk Officer and initiated with an email to the Contact Person three months before the review date. Follow-ups will be made as necessary to ensure the policy or procedure is reviewed by the anniversary date. The Policy and Risk Officer will provide any assistance required to facilitate the review (including comment on the format) and will ensure the reviewed policy or procedure is placed in the policy library within one week of its electronic receipt.

Note: Ad hoc reviews and amendments may also occur. It is the responsibility of the Contact Person to ensure that these are forwarded to the Policy and Risk Officer.

3. New Policy Development

All new University policies and procedures proposed after the ratification of this policy should follow the format specified above. Anyone wishing to implement a new policy or procedure should contact the Policy and Risk Manager who is available to assist the assigned Contact Person to ensure the process is smooth and straightforward. Wide consultation among those who will implement or be affected by the policy or procedure is expected in the development of all new policies and procedures.

When the policy or procedure has been developed, but before it is ratified by the approval authority, a quality control checklist should be applied to it and amendments made accordingly (see Appendix B for a suggested checklist).

Once approved and placed in the UC Policy Library, the Policy and Risk Officer will advertise the existence of the new policy or procedure to interested parties to ensure that all who should know about it, do.

Related Policies, Procedures and Forms:

- [Policy Template](#)
- [Guidelines for Using Template](#)
- [Policy Process Diagram](#)

Appendices:

- Appendix A: Approval Authorities
- Appendix B: New Policy/Procedure Development Checklist

Note:

1. This policy was first developed in January 2004, substantially reviewed in February 2005 and triennially thereafter.

Version Control Table		
Action	Approval Body	Date Amended
Full Review	Chair, Senior Management Team	13 February 2008
Rolled for review in June 2012	Chair, Senior Management Team	05 March 2012

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Appendix A

Approval Authorities		
Classification	Approval Authority*	Authority
Academic	Academic Board Delegated authority to: <ul style="list-style-type: none"> ▪ Assistant-Vice-Chancellor (Academic) 	University Regulations Academic regulations, policies, procedures and guidelines Teaching & Learning policy, procedures and guidelines
Facilities Management	Vice-Chancellor Delegated authority to: <ul style="list-style-type: none"> ▪ Director of Facilities Management 	Management of, and best practice guidelines for, the physical campus environment
Finance	Chief Financial Officer Delegated authority to: <ul style="list-style-type: none"> ▪ Finance Manager 	Financial matters
Health & Safety	Director of Human Resources	All policies and procedures related to health & safety compliance, occupational health, ACC and environmental safety
Human Resources	Vice-Chancellor Delegated authority to: <ul style="list-style-type: none"> ▪ Director of Human Resources 	All policies and procedures related to management of staff and employment issues
Information Technology (IT)	Deputy Vice-Chancellor Delegated authority to: <ul style="list-style-type: none"> ▪ ICTS Services Director 	IT best practice policies and guidelines
International	PVC International Delegated authority to: <ul style="list-style-type: none"> ▪ International Director 	International matters
Library	Deputy Vice-Chancellor Delegated authority to: <ul style="list-style-type: none"> ▪ University Librarian 	Library matters
Research Consultancy on Intellectual Property (IP) issues	Deputy Vice-Chancellor Delegated authority: <ul style="list-style-type: none"> ▪ Chair, Research Committee 	Research issues Outside commercial activities by staff and students
Student Services	PVC Student	Code of Conduct for Students Equal Educational Opportunities – equity and access Accommodation Other issues relating to student welfare
University Management	Council Vice-Chancellor	Management policy Governance issues

* in accordance with the delegations approved by Council

Appendix B

Checklist for Development of New Policy or Procedure

Following the consultation phase and before seeking ratification from the approval authority, the Contact Person should apply the following checklist to the proposed new policy or procedure. The Policy and Risk Office (PIRU) can assist you as required.

	Yes	No- minor <i>(no change necessary)</i>	No – major <i>(recommended amendments)</i>
Policy / Procedure Format			
Have all the following been provided: <ul style="list-style-type: none"> ▪ title ▪ category ▪ last modified ▪ review date ▪ approved by ▪ contact person? 			
Has the template been applied correctly and the material presented in terms of the specified guidelines?			
Has the University branding been applied consistently throughout the document (including appendices)?			
Policy / Procedure Content			
Does the title adequately reflect the purpose and content?			
Has the document been classified and described appropriately?			
Is the review date realistic?			
Has the person with overall responsibility for the policy or procedure been accurately identified (see approval delegations)?			
Is the identified ‘Contact Person’ the appropriate person to handle administrative enquiries about the policy or procedure and the first contact for the review process, i.e. the person with operational responsibility for the policy or procedure?			
Does the introduction clearly identify the purpose?			
Has the organisational scope been identified and is it acceptable?			
Are the definitions provided accurate, relevant, and consistent with those used elsewhere?			

If a policy statement is included, is it actually a policy or is it in fact a procedure, set of guidelines or something else?			
Are procedures or guidelines clearly identified as such? (NB: these should offer advice and compliance may be expected though not necessarily mandatory.)			
Is the policy or procedure comprehensive: <ul style="list-style-type: none"> ▪ issues clearly stated? ▪ University position or response identified? ▪ acceptable minimum standards detailed? 			
Does the policy / procedure cover all relevant compliance issues? Comments:			
Have compliance costs, where relevant, been identified?			
Are appeal processes clearly identified, where appropriate?			
Have all related policies, procedures and forms been identified?			
Is there any overlap or conflict with other policies and procedures in existence?			
Are the appendices relevant and appropriately presented?			
Has all relevant background and consultation material been included in the appendices?			
Have suitable notes been included?			
General			
Is there clear evidence that a robust consultation process has occurred?	Comment:		
Is the Contact Person clearly aware of the process for obtaining approval, lodging a copy with the Policy and Risk Manager (PIRU) for deposit in the UC Policy Library, and reviewing the policy in due course?	Comment:		
Other comments:			