

Policy Framework

1. Purpose

- 1.1 The purpose of the Policy Framework (the framework) is to:
- guide the development and management of policies at UTS
 - ensure policies are drafted in line with the university's strategic direction, and
 - outline the roles and responsibilities for policy management at UTS.
- 1.2 This framework has the status and authority of a policy and is supported by the [Policy Management Procedures](#).

2. Scope

- 2.1 This framework:
- applies to all UTS staff (including contractors) and students, and
 - must be used in the development, review, approval and management of policy and procedures at UTS.
- 2.2 Existing governance instruments (including Vice-Chancellor's Directives and guidelines) will be reviewed under this framework, but will retain their intended authority until such a review takes place.

3. Principles

- 3.1 All policies and procedures must comply with the university's [Act](#), [By-law](#) and [Rules](#), applicable industrial agreements and awards, and relevant Commonwealth and state legislation.
- 3.2 Policies and procedures must be assessed by the Governance Support Unit (GSU) and responsible owners to determine their alignment with and impact on the university's strategic plan and vision.
- 3.3 Policies and procedures must be drafted in a clear and logical format and focused on the needs of the policy user. Repetition and duplication within and between policies must be avoided.
- 3.4 Policies and procedures must be accurate and up to date.
- 3.5 Policies and procedures must use inclusive language and comply with anti-discrimination laws. The principles of the [Equity, Inclusion and Respect Policy](#) must be followed when developing, reviewing and updating policies and procedures.
- 3.6 All policies must be approved, amended and rescinded by the same authority. Approval, amendment and rescission must be carried out in line with the procedures approved by the University Secretary.

4. Policy statements

- 4.1 University-level policies may only be approved by Council, Academic Board or the Vice-Chancellor, as outlined in this framework.
- 4.2 Minor amendments to university-level policies and procedures are approved under Delegation 3.14, UTS Delegations.
- 4.3 Corrections to university-level policies and procedures are made by the responsible officer(s) in GSU. Corrections include updating or correcting links, official university titles and references to regulatory instruments.
- 4.4 Where a policy or procedure is inconsistent with a superior instrument, the superior instrument prevails to the extent of the inconsistency.
- 4.5 Local-level policy instruments are subordinate to all university-level policy instruments, as defined in section 6 of this framework.
- 4.6 The development, review, amendment and correction of local-level policy instruments is managed at the local level and is the responsibility of the faculty, unit or other business area that owns the instrument.
- 4.7 Responsible owners and policy contacts for individual university-level policies and procedures share joint responsibility with GSU for initiating amendments and review, and for monitoring continued relevance.
- 4.8 Responsible owners must maintain and manage records in line with the [Records Management Policy](#).
- 4.9 Compliance with this framework and university-level policies and procedures is mandatory, and is a requirement of the [Code of Conduct](#) and the [Student Rights and Responsibilities Policy](#). Breaches are managed in accordance with the provisions outlined in the Code of Conduct and Student Rights and Responsibilities Policy, as applicable.
- 4.10 University-level policies and procedures will, from time to time, be approved, amended, updated and repealed by the relevant university authority, and are mandatory and effective from the date of publication unless otherwise indicated.

5. Policy ownership and support

The statements in this section are consistent with the [Delegations](#).

5.1 Framework owners:

- The Vice-Chancellor has responsibility for setting the university's major operational standards and strategic direction, and for the approval and rescission of management policies.
- The University Secretary (on behalf of the Vice-Chancellor) is responsible for enforcement and compliance of the framework, and ensuring that its principles and statements are observed in the development, review and approval of policies and procedures. The University Secretary is also responsible for the approval of procedures and training associated with this framework.

- 5.2 **Framework contact:** The Senior Advisor, Governance and Policy, GSU is responsible for the implementation of this framework and acts as the primary point of contact for advice on implementing its provisions.
- 5.3 The Governance Support Unit (GSU) is responsible for the coordination and management of governance activities at UTS, on behalf of Council and the Vice-Chancellor. In implementing this framework, GSU:
- provides governance advice and support to policy owners
 - guides the development and review of university-level policies and procedures
 - advises policy owners about categorisation and approval of policies and procedures, in accordance with this framework
 - publishes and disseminates university-level policies and procedures on the official [UTS Policy website](#), subject to the provisions of the [Government Information \(Public Access\) Act 2009 \(NSW\)](#).

6. Definitions

These definitions apply for this framework and all associated procedures. Definitions outlined in [Schedule 1, Student Rules](#) also apply.

Delegations (or **UTS Delegations**) include the key decision-making authorities in respect of the financial, human resources, administrative, academic and governance functions of the university. Delegations are approved and rescinded by Council.

Local-level refers to any policy and procedures developed by faculties, units and other business areas to implement and support university and/or local governance, strategy or operations. Local-level instruments are normally approved by deans, directors or managers.

Policy contact means a university staff member who acts as a primary point of contact for advice on implementing and administering the policy or procedure.

Procedures are mandatory operational statements that outline the practical steps required to implement policies. University-level procedures are normally approved by members of the Senior Executive or relevant delegates.

Rescission means revocation or withdrawal of a policy or procedure that is either no longer relevant or required.

Responsible owner means the university staff member who has overall accountability for the policy or procedure. For university-level policies, the responsible owner is normally a member of the Senior Executive.

University-level refers to policy and procedure instruments developed in consultation with GSU to implement and support university governance, strategy or operations. University-level procedures can be approved by members of the Senior Executive, and are published on the [UTS Policy website](#).

University-level policies are official high-order statements that establish:

- the university's position on an issue
- principles guiding action and decision-making, and
- expectations for conduct and practice.

There are three categories of policy — governance, academic and management:

- **governance policies** relate to the strategic, structural and reputational management of the university and its values and ethos. Governance policies are approved and rescinded by Council.
- **academic policies** relate to the academic business of the university, facilitating students and academic and professional staff in learning, teaching and research activities. Academic Board is responsible for the approval and rescission of academic policies, under Council’s delegation (resolution COU05/084). This delegation is subject to Council’s general oversight.
- **management policies** outline mandatory practice and decision-making principles for areas of university business and operational activities. The Vice-Chancellor is responsible for the approval of management policies, in line with [Rule G1-11\(2\)](#).

Approval information

Policy contact	Senior Advisor, Governance and Policy, Governance Support Unit
Approval authority	Council
Review year	2020
File number	UR17/2432
Superseded instruments	Governance Instruments Policy (2014, UR14/266)

Version history

Version	Approved by	Approval date	Effective date	Sections modified
1.0	Council (COU17-3/62)	14/06/2017	24/07/2017	New framework.
1.1	Acting Director, Governance Support Unit	23/11/2018	13/03/2019	Amendments to body of policy to apply Publications Style Guide conventions, corrections to titles of other governance instruments and minor editorial changes. Clarification of policy change process also included.
1.2	Director, Governance Support Unit (Delegation 3.14.1)	26/09/2019	01/11/2019	New principle 3.5 to confirm UTS’s commitment to inclusivity principles under Athena SWAN.

Web version

[Policy Framework](#)

References

[Policy Management Procedures](#)

[Code of Conduct](#)

[Delegations](#)

[Government Information \(Public Access\) Act 2009 \(NSW\)](#)

[Records Management Policy](#)

[Student Rights and Responsibilities Policy](#)

UTS Act: [University of Technology Sydney Act 1989 \(NSW\)](#)

UTS By-law: [University of Technology Sydney By-law 2005 \(NSW\)](#)

[UTS Policy website](#)

UTS Rules: [Rule G1-11\(2\)](#), [General Rules](#), [Schedule 1](#), [Student Rules](#)