

## **ASU Policy Development Resources**

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- Policy Development Checklist
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- Procedures Template

## Policy Cover Page and Table of Contents Guide

<b>Name of Policy</b>	<p>Click here to enter text.</p> <p>Insert a brief and meaningful title for your policy. The word 'Policy' should be at the end of your title i.e. <i>'Parental Leave Policy'</i> not <i>'Policy on Parental Leave'</i>.</p>
<b>Description of Policy</b>	<p>Click here to enter text.</p> <p>Brief statement about the policy purpose, e.g. <i>'This policy covers the provision of parental leave for Academic and Professional Staff at ACU'</i>.</p>
<b>Policy applies to</b>	<p><input type="checkbox"/> University-wide</p> <p><input type="checkbox"/> Specific (<i>outline location, campus, organizational unit etc.</i>)_____</p> <p>Check the appropriate box to indicate if the policy is University-wide or has specific application. For specific application, please list details.</p>
	<p><input type="checkbox"/> Staff    <input type="checkbox"/> Students    <input type="checkbox"/> Staff and Students</p> <p>Check the appropriate box to indicate whether the policy applies to Staff, Students, or Staff and Students.</p>
<b>Policy status</b>	<p><input type="checkbox"/> New Policy    <input type="checkbox"/> Revision of Existing Policy</p> <p>Check the appropriate box to indicate if this is a new policy or a revised policy.</p>
<b>Approval Authority</b>	<p>Click here to enter text.</p> <p>This should be the Vice-President or delegate.</p>
<b>Governing Authority</b>	<p>Click here to enter text.</p> <p>This should be either the relevant decision-making Committee or a Senior Executive member (Presidential Cabinet member)</p>
<b>Responsible Officer</b>	<p>Click here to enter text.</p> <p>This should be a member of the Executive.</p>
<b>Approval Date</b>	<p>Click here to enter a date.</p> <p>List the date when the policy was first approved by the Approval Authority.</p>
<b>Effective Date</b>	<p>Click here to enter a date.</p> <p>List the start date of the policy (this may be the same as the approval date or later)</p>
<b>Approval Date of Last Revision</b>	<p>Click here to enter a date.</p> <p>List the date when the policy was last revised.</p>
<b>Effective Date of Last Revision</b>	<p>Click here to enter a date.</p> <p>List the start date of the revised policy (this may be the same as the approval date or later)</p>
<b>Date of Next Policy Review</b>	<p>Click here to enter a date.</p> <p>Please list when the policy is due to be reviewed (at least five years from the Approval Date, or more frequently if appropriate).</p>

## Recommended Headings for Table of Contents

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## 1. Background

Describe the context for developing the policy e.g legislative change, new strategic direction for the University, or gaps identified in existing policies.

## 2. Purpose

State the rationale for the policy i.e. why the policy is required. Include reference to the issues to be addressed or objectives to be achieved.

## 3. Scope/Application

Sets out who the policy is relevant to and/or or the circumstances in which it will apply. You may also wish to explicitly state who the policy *does not* apply to. If the policy replaces an earlier version, a reference should be included under this section e.g. this document replaces [insert name], which is rescinded from the date of effect of this policy.

## 4. Policy Statement and Principles

This section forms the core of your policy. You may start off by identifying a statement of commitment or the high-level principles of the policy i.e. what are the requirements or provisions established by this policy.

The substantive elements of the policy should be articulated here. Note: detailed procedural information about how stakeholders should comply with the policy should be listed in the procedure document.

## 5. Roles and Responsibilities

Please identify the Approval Authority, Governing Authority and Responsible Officer and elaborate on their roles. It is also useful to state whether these parties may delegate their functions.

### 5.1 Approval Authority

The Vice-President (or delegate who is either a decision-making Committee or a Senior Executive Cabinet member) must be listed here.

### 5.2 Governing Authority

The Governing Authority should be a decision-making Committee or a Senior Executive Cabinet member. The Governing Authority must be distinct from the Approval Authority. If the Governing Authority is a Committee, please also list the chair of the committee. (Please note that the majority of policies will have the Office of University Compliance as the Governing Authority)

### 5.3 Responsible Officer

List here the responsible Member of the Executive.

## 6. Review

State how often the policy will be reviewed and provide details in the table below. Most University-wide policies are reviewed annually, but for those that don't require annual review, at a maximum of every five years. You may use the following line:

*“In line with the University's Policy Development Policy, this policy is scheduled for review every five years or more frequently if appropriate.”*

## **7. Revisions made to this policy**

<b>Date</b>	<b>Major, Minor or Editorial Revision</b>	<b>Description of Revision(s)</b>
Date of revision/new policy	Major – complete change (etc.) Minor – Modifying dates or changing authority (etc.) Editorial – typo or formatting update (etc.)	Please outline the main changes made to the policy. For New Policies, please state 'New Policy.'

## **8. Further Assistance**

Suggest any further resources that will aid the readers (this could be an online resource (forms)).

## **9. Glossary of Terms/Definitions**

It is recommended to list the definitions, key terms or acronyms related to the policy. If the same terms are used outside of this policy (in other ASU documents), please use existing definitions.

This section may appear at the beginning of the policy rather than the end. (i.e. if Academic Affairs-Provost Office place them at the beginning, all divisions of Academic Affairs should place first; however if Student Affairs decide that it is clearer to place at the end of the policy for their unit, then all the divisions within Student Affairs will need to follow that practice.)

## Procedures Cover Page Guide

<b>Name of Procedure</b>	Click here to enter text. Insert a brief and meaningful title for your procedure.
<b>Governing Policy</b>	Click here to enter text. Insert a reference to the policy to which the procedure relates
<b>Description of Procedure</b>	Click here to enter text. Brief statement about the purpose of the procedures, e.g. <i>'This document sets out how ASU will manage breaches of the Privacy Policy'</i>
<b>Procedure applies to</b>	<input type="checkbox"/> University-wide <input type="checkbox"/> Specific ( <i>outline location, campus, organizational unit etc.</i> ) _____ Check the appropriate box to indicate if the procedure is University-wide or has specific application.  <input type="checkbox"/> Staff <input type="checkbox"/> Students <input type="checkbox"/> Staff and Students Check the appropriate box to indicate whether the procedure applies to Staff, Students, or Staff and Students.
<b>Procedure Status</b>	<input type="checkbox"/> New Procedure <input type="checkbox"/> Revision of Existing Procedure Check the appropriate box to indicate if this is a new or revised procedure

<b>Approval Authority</b>	Click here to enter text. This should be the President or delegate.
<b>Governing Authority</b>	Click here to enter text. This should be either the relevant decision-making Committee or a Senior Executive Cabinet member.
<b>Responsible Officer</b>	Click here to enter text. This should be a member of the Executive.

<b>Approval Date</b>	Click here to enter a date. List the date when the procedure was approved by the Approval Authority.
<b>Effective Date</b>	Click here to enter a date. List the start date of the procedure (this may be the same as the approval date or later)
<b>Approval Date of Last Revision</b>	Click here to enter a date. List the date when the procedure was last revised.
<b>Effective Date of Last Revision</b>	Click here to enter a date. List the start date of the revised procedure (this may be the same as the approval date or later)
<b>Date of Governing Procedural Review</b>	Click here to enter a date. Please list when the procedure is due to be reviewed (at least five years from the Approval Date, or more frequently if appropriate).

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**Related Legislation, Policies,  
Procedures, Guidelines and  
Local Protocols**

[Click here to enter text.](#)

Please list the key related policies, procedures, guidelines, local protocols, templates and documents.

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# POLICY WRITING TIPS

When developing a policy or procedure, it is important to provide your target audience with information that is easy to read and understand. The policy and procedure documents should also provide the right level of guidance to support and inform all individuals affected by the content of the policy.

Following is a list of good policy writing tips for consideration when developing a policy and/or

procedure: Before getting started:

- Review the *ASU Policy Development Resources* to understand the requirements and process. Determine if you are developing a new policy and/or procedure or reviewing an existing policy by assessing your current and established policies and procedures.
- Seek advice from the Office of University Compliance on any proposal to develop a new policy to ensure there is not an existing policy, or section of an existing policy, that already covers the issue.
- Determine the appropriate approval pathway (i.e. the Responsible Officer, Governing Authority and the Approval Authority).
- Identify the appropriate stakeholders and consider the communication and consultation required for the development of your policy.
- Conduct a detailed scoping and research exercise to clarify objectives, consider operational impacts and ensure alignment with other ASU practices.
- Review existing legislative or regulatory requirements (if applicable).
- Benchmark against other universities' policies and procedures to compare sector standards and practices.

When drafting the policy:

- Aim for positive messaging rather than punitive.
- Use plain English. Write clearly and succinctly and use terminology consistently throughout the document.
- Use the active voice to provide clear and direct guidance. The subject should appear first, followed by the verb and object. For example:

Active: Staff *identify* possible vendors to supply a good or service

Passive: Vendors who supply a good or service *are identified* by staff

- Avoid being too informal or using abstract words or colloquialisms. Where obligations are set out ensure the language is not discretionary e.g. use "must" instead of "may" or "will" rather than "should".
- Use gender-neutral and inclusive language so that the policy content is accessible and meaningful to a broad audience.



- Determine what headings are required for the policy and the information that goes into each heading. The Policy Template includes a list of commonly used headings.
- Use numbering and not bullet points for easy referencing. Use sub-headings when you want to draw attention to a specific topic. The preferred style is [1., 1.1, 1.2, 1.2.1 followed by a), b), c) etc]
- Be clear about the difference between a policy and a procedure. A policy establishes the key principles and provisions that govern the decision-making processes, while procedures provide the steps on how to implement and/or comply with the policy.
- Use diagrams and tables where relevant to provide visual representation and clarity of content.
- Introduce hyperlinks in the document when making references to external resources or other published documents.
- Use position titles of the relevant officers and not the individuals' names.

# Sample Brief and Implementation Plan

Brief to [Insert Governing Authority or Approving Authority as appropriate]  
Subject: [approval of xxx Policy ]

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## Recommendation

That the [Governing Authority] endorses OR [Approving Authority] approves  
The [name of policy/procedure] for effect on and from [date]

## Background

Insert brief description summarizing the:

- Internal or external factors that contributed to need for the development (or review) of the policy/procedure e.g. change to government legislation.
- Process of consultation undertaken (identify which stakeholders were consulted and whether feedback was incorporated).
- Reference to any other associated documents in the policy hierarchy e.g. University Statute or Regulations.

## Implementation Plan

Outline the actions to be taken post-approval such as:

- The master policy and procedure manual will be housed on the webpage of the Office of Compliance.
- Identify any IT systems changes or administrative changes that are necessary as a result of the policy/procedure.
- Identify consequential amendments that need to be made to other governing documents e.g. guidelines or local protocols.
- Communication strategy and methods of dissemination i.e. how will ASU Staff and/or students be notified once the policy/procedure is approved? (University Compliance will collaborate with the various offices to conduct trainings and workshops if necessary)
- Identify any potential barriers to successful implementation and identify a possible mitigation strategy to be reviewed by University Compliance.
- Whether any other resources are being developed to assist with the promulgation of the policy/procedure e.g. training or information sessions.
- Measures to support ongoing monitoring and enforcement of the policy

*Sign off by the Responsible Officer*

# Policy Development Checklist

## General

Have you:

- Read and understood the *Policy and Development Resources*.
- Established the need to develop or review the policy or procedure?
- Determined your target audience for the Policy i.e. who will be the key representatives of staff and/or students affected by this policy?
- Made contact with University Compliance to advise that the need for a new policy has been established?

## Development or Amendment of Policy

Have you:

- Identified the Responsible Officer, Governing Authority and Approval Authority?
- Undertaken research and analysis, benchmarking or sought expert advice (where necessary)?
- Drafted the document using the ASU Policy or Procedure Templates?
- Ensured that the word '*DRAFT*' is included as a watermark on all new and revised policies and procedures prior to approval, and that the draft document is only available internally until final approval?

## Consultation

Have you:

- Consulted with key stakeholders as appropriate?
- Collected feedback and revised the draft policy or procedure as required?

## Review and Finalization

Have you:

- Sought expert advice on the revised draft policy or procedure to ensure compliance?

## Endorsement and Approval

Have you:

- Prepared a brief and implementation plan to submit to the Governing Authority and Approval Authority alongside the Policy or Procedure.
- Removed the the '*DRAFT*' watermark at the point of seeking the necessary endorsement or approval. The accompanying brief referred to above will indicate that the document is subject to approval. If the policy or procedure is not approved, the watermark must be re-inserted.
- Sought endorsement of the draft policy or procedure from the Governing Authority?
- Provided the policy or procedure to the Approval Authority for consideration and approval?

## Communication and Implementation

Have you:

- Emailed the policy or procedure to University Compliance

- Updated all of the fields?
- Ensured that older versions of the policy or procedure are archived appropriately?
- Notified University Compliance and the ASU community via appropriate communication channels?

## **Policy Review**

Have you:

- Liaised with University Compliance to ensure that the policy or procedure is reviewed prior to the scheduled date?
- Revisited the *Policy Development Resources* for information on undertaking a review?
- Identified the relevant stakeholders to engage with as part of the review?