1. Background and context

This Framework establishes the requirements, accountability and responsibility for the approval, promulgation, enforcement and review of UTS Policies and other instruments.

2. Purpose and scope

2.1 The purpose of the Framework is:

- to define the respective roles of Council, the Academic Board, the Vice-Chancellor and other university authorities with respect to UTS Policies and other instruments;
- to establish responsibilities and accountabilities for approving, promulgating, implementing, enforcing and reviewing UTS Policies and other instruments, and ensuring that they comply with the UTS Act, By-laws, Rules, industrial agreements and awards and relevant Commonwealth and State government legislation; and
- to establish standards for the format and content of UTS Policies and other instruments.

2.2 All policies and other instruments that apply to UTS activities at a University-wide, divisional, faculty or unit level must conform with this Framework.

3. Definitions

<table>
<thead>
<tr>
<th>Instrument</th>
<th>Content</th>
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<tbody>
<tr>
<td>Policy</td>
<td>High order statements which establish the basis and framework for conduct and practice at UTS.</td>
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<tr>
<td>Vice-Chancellor's Operational Directives</td>
<td>Statements setting out prescribed courses of action that, in the judgement of the Vice-Chancellor (e.g. in areas of high-risk activity or of University-wide application) must be followed in</td>
</tr>
</tbody>
</table>
In order to implement policy or ensure the efficient management of the University, or legal or regulatory compliance.

| Standard Operating Principles and Procedures, which include: | Statements setting out prescribed courses of action that must be followed in order to implement policy or ensure the efficient management of the University, or legal or regulatory compliance. These are distinguished from Vice Chancellor's Operational Directives because:

- they are applicable at an individual faculty/unit level because of the factors unique to its disciplines, or defining specific requirements appropriate to particular processes that are unique to an area, or,
- while of University-wide application, are of a more detailed and technical nature.

They are subject to, and must be consistent with, any relevant UTS Policies and Vice-Chancellor's Operational Directives. |

| Guidelines for Decision-making | Statements that assist both decision makers and others understand the factors that are relevant to making particular types of decisions and their respective weightings. They are ancillary to the exercise of specific powers and responsibilities that have been given to persons or bodies under the Rules, a Policy, Vice-Chancellor's Directives or a delegation from the Council. |

### 4. Policy provisions

#### 4.1 Governance principles

Good governance at UTS requires:

(a) the adoption and communication of policy and other instruments which frame and direct the University's operations at all levels,

(b) the governing body (Council) to set major policy and procedural principles for the whole University, subject to Council's delegation to the Academic Board in respect of academic policy and related matters,

(c) the Vice-Chancellor (as CEO) to set the major operational standards, requirements and procedures for the whole University, and

(d) other bodies and authorities within the University to set standards, requirements and procedures to be followed that pertain to their specific areas of responsibility and are consistent with (b) and (c) above.

In addition to the By-law and Rules, the following governance instruments will be used at UTS: Policies, Vice-Chancellor's Operational Directives, Standard Operating Principles and Procedures (which include: Operational Principles, Procedures,
Protocols, Standards, Codes and Statements) and Guidelines for Decision-making. These instruments are defined in section 3 of this Framework, and the authority for making them is described in section 5.

A policy should be adopted for any area of the University's operation where direction or purpose needs to be set in order to conduct University business. A policy is not required for every University operation. Routine matters or operations clearly directed by external legislation do not require a policy. They may, however, be usefully guided in the UTS context by another type of instrument such as a procedural statement or a set of guidelines.

4.2 Consistency
All policies and other instruments must be consistent with relevant Federal and State government legislation, and with existing UTS Rules and Policy. Where there is a conflict with external laws, the new instrument must be amended or repealed to the extent necessary to achieve consistency. Where there is a conflict with existing UTS Rules or Policies, immediate steps must be initiated to ensure that consistency is achieved consistent with the respective roles and authorities of the relevant authorising bodies.

4.3 Format of documents
The template (.doc) at Appendix 1 should be used for all UTS Policies, and the template (.doc) at Appendix 2 should be used for Vice-Chancellor's Operational Directives. Clauses 5, 6 and 7 of the template at Appendix 2 also apply to Standard Operating Principles and Procedures, which must also contain a description of their relationship to any relevant Rules, Policy or Vice-Chancellor's Operational Directives, and the matters referred to in 4.2, 4.4 and 4.5 of this document.

New and revised Policies and Vice-Chancellor's Operational Directives that are submitted for approval must be accompanied by a briefing paper that covers:

• the need for the Policy or Vice-Chancellor's Operational Directives, and their relationship to existing instruments
• identification of, and a rationale for, any additional delegations of authority that it is necessary or convenient for Council to make in order to implement the Policy or Vice-Chancellor's Operational Directives
• the consultation process that has been undertaken with key stakeholders
• the plan for communicating and implementing the Policy or Vice-Chancellor's Operational Directives.

4.4 Commencement date
Policies and other instruments must specify the date they take effect, which should normally be at least two weeks after the approval date, to allow sufficient time for promulgation, communication and implementation. Unless otherwise specified by the approving authority, existing Policies and other instruments that are to be repealed or amended continue to have effect until the date the new instrument comes into effect.

4.5 Promulgation, communication, education and implementation
All Policies and Vice-Chancellor's Operational Directives must be forwarded to the Director, Governance Support Unit for promulgation and publication on the official policy page on the UTS website, where practicable prior to the date the instrument
takes effect. Policies and Vice-Chancellor's Operational Directives may not be published on other pages on the UTS website, but should be referenced by a direct link to the official policy page.

Policies and other instruments must nominate a person who is responsible for the communication and implementation of the instrument, and for creating and maintaining an official University file relating to the instrument and its implementation and subsequent history.

4.6 Review cycles
All UTS Policies and Vice-Chancellor's Operational Directives must be reviewed at least once every five years, unless the instrument specifies an earlier date. Following the review, proposed revisions should be submitted for approval in accordance with paragraph 5.1. Should the outcome of the review be that the Policy or Vice-Chancellor's Operational Directives is no longer necessary or useful, a submission for formal rescission of the Policy or Vice-Chancellor's Operational Directives should be made to the relevant authority.

5. Authorities and accountabilities
5.1 The following table sets out the authorities for approving and reviewing (including amending and rescinding) the various types of UTS Policy and other instruments.

<table>
<thead>
<tr>
<th>Type of instrument</th>
<th>Authority</th>
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<tbody>
<tr>
<td>Policy</td>
<td>Council: all policies except where authority for academic policy has been delegated to Academic Board. Academic Board: delegated authority to make policy on academic matters, subject to the Council's general oversight.</td>
</tr>
<tr>
<td>Vice-Chancellor's Operational Directives</td>
<td>Vice-Chancellor: unless the Council or (in relation to the University's academic work) the Academic Board, has reserved the right to issue such a document on a particular matter.</td>
</tr>
<tr>
<td>Standard Operating Principles and Procedures, which include:</td>
<td>Members of the UTS Executive, faculty boards, deans or directors, or other officers as specified in the Rules, a Policy, Vice-Chancellor's Operational Directives or a delegation from the Council: to set standards, requirements and procedures to be followed that pertain to their specific areas of responsibility (either at a faculty/divisional level or as part of the portfolio responsibility of a member of the UTS Executive).</td>
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and other similar instruments developed and applicable within a specific area of responsibility.
### Guidelines for Decision-making

<table>
<thead>
<tr>
<th>Council:</th>
<th>may decide to make guidelines to inform members of the UTS community how it wishes decisions to be made that involve the exercise of judgement or discretion under the Rules (e.g. imposition of penalties for student misconduct), or within policy settings.</th>
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<tr>
<td><strong>Academic Board:</strong></td>
<td>can make guidelines to inform members of the UTS community how it wishes decisions to be made that involve the exercise of judgement or discretion within academic policy settings (e.g. special consideration in respect of supplementary examinations).</td>
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<td><strong>Vice-Chancellor:</strong></td>
<td>can make guidelines to inform members of the UTS community how decisions should be made that involve the exercise of judgment or discretion under the Rules, a Policy or Vice-Chancellor's Operational Directives (e.g. that appropriate circumstances exist for 'sole source' procurement).</td>
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<td><strong>Members of the UTS Executive, faculty boards, deans or directors:</strong></td>
<td>or other officers or committees (as specified in the Rules, a Policy, Vice-Chancellor's Operational Directives or a delegation from the Council), can make guidelines to assist members of the UTS community in interpreting their Standard Operating Principles and Procedures.</td>
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### 5.2 Enforcement

The Vice-Chancellor or nominee is accountable for ensuring that this Framework is observed in the development of policy and other instruments, and for the progressive review of existing instruments.

The Vice-Chancellor is accountable for managing compliance with Policies, unless a particular Policy specifies otherwise. Each Vice-Chancellor's Operational Directives must nominate an Accountable Officer who is accountable for managing compliance with the Vice-Chancellor's Operational Directives, and monitoring its continuing relevance and impact on the University's activities.

### UTS Policy Framework approval and revisions tables

<table>
<thead>
<tr>
<th>Approved by UTS Council</th>
<th>Meeting no. and date: 05/5 (15.8.2005)</th>
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<tr>
<td><strong>Resolution no.:</strong> COU/05/084</td>
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<tr>
<td><strong>Effective date:</strong> 15 August 2005</td>
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<td><strong>Review date:</strong> 15 August 2010</td>
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**Accountable Officer:** Registrar

**Current incumbent:** Mr John Hartigan

**Implementation Officer:** Director, Governance Support Unit

**Current incumbent:** Mr Bill Paterson

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<th>Date</th>
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**Revision/modification history**

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