



UOWGE POLICY STANDARDS

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Policy Custodian:	Executive Director, Commercial and Legal		Document No:	UOWE-LGL-STD-01																				
Purpose:	This Standard establishes a consistent and enforceable system for the development, approval, implementation and review of Policy Documents. The Standard provides a mechanism to ensure that Policy Documents are compliant with regulatory and legislative requirements, and support operations and the strategic direction of UOW Global Enterprises (UOWGE).																							
Scope:	<table><tr><td>UOWGE</td><td>✓</td><td>UOWCA</td><td>✓</td><td>UOWD</td><td>✓</td><td>UOWCHK</td><td>✓</td><td>UOWMKDU</td><td>✓</td><td>UOWI</td><td>✓</td></tr></table>												UOWGE	✓	UOWCA	✓	UOWD	✓	UOWCHK	✓	UOWMKDU	✓	UOWI	✓
	UOWGE	✓	UOWCA	✓	UOWD	✓	UOWCHK	✓	UOWMKDU	✓	UOWI	✓												
This Standard applies to any person, business unit or committee responsible for the development, maintenance, communication and review of Policy Documents on behalf of all UOWGE Staff and Operations. The provisions of this Standard apply to all Policy Documents, including this Standard.																								
Related Documents:	Academic General Delegations of Authority Policy Australia Framework Policy for UOW Students Studying at UOW College Australia General Delegations of Authority Policy Dubai General Delegations of Authority Policy UOWC Ltd General Delegations of Authority Policy Hong Kong General Delegations of Authority Policy UOWGE Ltd General Delegations of Authority Policy UOWM Sdn Bhd General Delegations of Authority Policy Malaysia KDU General Delegations of Authority Policy UOWI UOW Controlled Entity Policy																							



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1. Definitions

Word/Term/Acronym:	Definition:
Academic Policy	A Policy Document affecting teaching and learning.
Administrative Amendment	A change to a current Policy Document that is superficial or administrative in nature. Administrative amendments refer to changes in nomenclature, editorial changes, updates to names and position titles, changes to the review or expiry date and updates to references.
Approval Pathway	The Pathway through which a Policy Document must move in order to be approved.
Code	A statement of rules and expectations focusing on duties and responsibilities. A Code will often outline the required standard of practice or behaviour.
Delegated Authority	A person or body exercising powers or undertaking functions delegated by the UOW Global Enterprises Board under the terms of a Delegation of Authority. All lawful delegations of UOW Global Enterprises Board powers and functions are contained in the relevant <i>General Delegations of Authority Policy</i> .
Guideline	An advisory document that provides guidance on how to implement Policy Documents or apply processes effectively.
Legal	A nominated team member of the UOW Global Enterprises Commercial and Legal Department.
Major Amendment	A change to a current Policy Document that is likely to impact upon the intent of the Policy Document and/or have a significant impact on other related Policy Documents, stakeholders, aligned procedures or systems.
Minor Amendment	A change to a current Policy Document that is of an insubstantial nature, not affecting the intent of the policy. Minor amendments may affect responsibilities or operational aspects of processes.



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Policy	A statement that outlines non-discretionary governing principles and intentions in order to regulate practice.
Policy Custodian	An individual who has overarching responsibility for the Policy Document. The Policy Custodian is responsible for the implementation, monitoring and review of the Policy.
Policy Directory	The central repository for all Policy documents as located on the UOW Global Enterprises intranet or the relevant Staff Intranet.
Policy Document/s	A Policy, Procedure, Guideline, Form, Template or Reference Material of UOW Global Enterprises.
Policy Officer	A person responsible for managing and overseeing development, review, writing and approval of the Policy Documents.
Policy Review Schedule	A central database managed by Legal or relevant division of an Institution, of all Policy Documents, their respective Policy Custodian, the most recent approval date and the scheduled review date.
Policy Template Document	The template to be used for all new and reviewed Policy, Procedure and Guideline documents, as updated by Legal from time to time.
Procedure	A documented instruction that gives directions to carry out specified actions. For the purposes of procedures that support policy, they are mandated directions.
Rescission	The retraction or deletion of a Policy Document deemed to be obsolete.
Standards	Standards dictate the minimum requirements for the administration of the activities of UOWGE.
UOW Global Enterprises/UOWGE	Includes, for the purposes of this policy: UOW Global Enterprises Controlled or Managed Institutions and UOW Global Enterprises Group Institutions and associated operations.



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UOW Global Enterprises Controlled or Managed Institution	Any Institution controlled or managed by UOW Global Enterprises which is not a subsidiary of UOW Global Enterprises, including the University of Wollongong- India Branch (UOWI).
UOW Global Enterprises Group Institutions	UOWGE Ltd and its subsidiary Institutions and their associated businesses including: <ol style="list-style-type: none">1. UOWC Ltd;2. University of Wollongong in Dubai FZ-LLC;3. UOWD Ltd;4. UOW College Hong Kong; and5. UOW Malaysia Group.
UOW Global Enterprises Executive	Any member of Staff who is appointed to a position listed within the 'UOWGE Executive' Band of Delegation in the relevant <i>General Delegations of Authority Policy</i> .
UOW Malaysia Group	UOWM Sdn Bhd, University of Wollongong Malaysia Sdn Bhd, UOW Malaysia KDU Penang University College Sdn Bhd, UOW Malaysia KDU College Sdn Bhd, and UOW Malaysia College Sdn Bhd.



2. Principles

2.1. All Policy Documents must:

1. Support and be consistent with UOWGE's vision, mission and values;
2. Assign responsibility and accountability to ensure due diligence in operations;
3. Comply with the requirements set out in these Policy Standards;
4. Be consistent with all applicable legislative and regulatory requirements;
5. Be relevant and transparent in their intention and meaning;
6. Be developed in consultation with UOWGE Staff and other stakeholders;
7. Be binding and applicable across all Institutions covered in the scope of the document; and
8. Be regularly reviewed.

3. Hierarchy of Policy Documents

3.1. All Policy Documents are part of the structured hierarchy of documents that govern operations.

3.2. The hierarchy of Policy Documents, descending from highest to lowest is as follows:

1. Standards, Codes, and Policies;
2. Procedures;
3. Guidelines; then
4. Other subordinate documents including forms, templates and reference materials.

4. Interpretation of Policy Documents

4.1. In interpreting Policy Documents, unless the contrary intention appears in the document, the following apply:

1. A defined term shall have the meaning ascribed to it in the Policy Document;
2. If a Policy Document defines a word or expression, other grammatical forms of the word or expression have corresponding meanings;
3. A word or expression that indicates one particular gender shall be construed as every other gender;
4. A reference to a word or expression in the plural form includes a reference to the singular form and vice versa;



5. A schedule or appendix to a Policy Document constitutes part of the Policy Document;
6. The word 'may' when used to bestow a duty or power indicates that the action or decision may be enacted or not, at discretion;
7. The words 'shall', 'must' or 'will', if used to bestow a duty or power, indicate that the action or decision must be enacted;
8. Headings are inserted for convenient reference only and have no effect in limiting or extending the language of provisions to which they refer;
9. An uncertainty or ambiguity in the meaning of a provision will be interpreted reasonably and in consideration of the best interests of all parties;
10. Reference to any statute or other legislation (whether primary or subordinate) is to the current statute or other legislation as amended;
11. A reference to the word 'including' in any form is not to be construed or interpreted as a word of limitation; and
12. Any reading down or severance of a particular part of a UOWGE Policy Document does not affect the other parts of that Policy Document.

5. Requirements of Policy Documents

- 5.1. Policy Documents shall identify all relevant legislation and shall be drafted so as to be consistent with operations.
- 5.2. The Policy Custodian or Delegate shall develop all new Policy Documents with the Policy Officer.
- 5.3. All documents must be developed or amended in the Policy Template Document. In some cases, modifications to the template may be required in order to meet requirements of the specific Policy Document. This should be only in exceptional circumstances as approved by Legal.
- 5.4. Policy Documents shall contain language that is in plain English and audience appropriate.
- 5.5. The Policy Custodian should not assume a prior knowledge of the subject area by the reader.
- 5.6. Other policies may also be of use in defining terms.
- 5.7. The Policy Custodian and the Policy Officer shall be responsible for ensuring appropriate consultation in accordance with Section 8 of these Standards.



- 5.8. Where appropriate and after completing relevant research, the Policy Officer must seek legal advice from Legal on identified issues relating to the Policy Document's compliance with specific legislation and regulatory requirements.
- 5.9. The Policy Officer will facilitate the approval of Policy Documents.
- 5.10. A Delegated Authority must approve Policy Documents.

6. Development of Policy Documents

- 6.1. The development of new Policy Documents may result from:
 - 1. Change in corporate strategy or circumstances;
 - 2. Newly identified business need(s);
 - 3. Legislative or regulatory changes;
 - 4. Identified problems associated with the implementation, interpretation or gap in the existing Policy framework; or
 - 5. An internal or external audit recommendation.
- 6.2. The proposed Policy Officer will manage the development of Policy Documentation in consultation with the Policy Custodian and should seek advice from Legal.
- 6.3. Where the need for the development of a policy arises, the following staged approach will be adopted:
 - 1. Stage 1: Research
 - 2. Stage 2: Drafting
 - 3. Stage 3: Consultation/Review

Stage 1: Research

- 6.4. The Policy Custodian or delegate will analyse any relevant information that could inform the Policy development. This may include data analysis, literature review and best practice.

Stage 2: Drafting

- 6.5. The Policy Officer shall draft the new policy or amend the existing policy.
- 6.6. The Policy Officer may determine that early consultation with critical stakeholders, or a working party is preferable to inform the drafting stage of the Policy.

Stage 3: Consultation/Review

- 6.7. Policy development should consider the impact on other policies, stakeholders, administration and systems development.



- 6.8. The Policy Officer will organise meetings with the Policy Custodian and relevant stakeholders to review a Policy or develop a new draft policy in consultation with stakeholders.

7. Review of Policy Documents

- 7.1. The Policy Officer will maintain the Policy Review Schedule.
- 7.2. Approved Policy Documents will be reviewed every two (2) to five (5) years by the Policy Custodian and Policy Officer in accordance with the Policy Review Schedule to ensure currency.
- 7.3. The Policy Officer will notify each of the Executive Directors responsible for Policy Documents related to their area annually of the upcoming need to review the Policy Document.
- 7.4. The respective Executive Directors will notify the relevant Policy Custodian or an appropriate delegate. The review may also be initiated by the Policy Officer or the Policy Custodian depending on priority.
- 7.5. The review is to comprise a thorough review of the Policy and all supporting documentation (including Procedures, Guidelines, Forms, Templates and Reference Material) and consider whether:
1. The document is still required;
 2. The document could be migrated into another document;
 3. The purpose of the document is being achieved; and
 4. The document is up to date and consistent with:
 - a. UOW Global Enterprises' Delegations;
 - b. Strategic Plan;
 - c. Relevant legislative and/or regulatory requirements; and
 - d. Consistent with other UOWGE Policy Documents.
- 7.6. The Policy Custodian and Policy Officer is to take all actions needed to ensure the Policy Document is current. This should be done in consideration of the three-stage approach to policy development as outlined in Section 6 of these Standards.
- 7.7. Where a substantive change to a Policy Document is proposed, consultation will occur with all relevant stakeholders in accordance with Section 8 of these Standards.
- 7.8. When undertaking a review, approval from the Delegated Authority must be sought, even if it is determined that no amendment is required.



- 7.9. In some instances, the Policy Officer will manage the review of Policy Documents on behalf of the Policy Custodian. Examples include:
1. High operational or compliance risk;
 2. Urgent business requirements; or
 3. Legislative change.

8. Consultation

- 8.1. During the development/review process, the Policy Officer is responsible for managing consultation with key stakeholders and inviting those stakeholders to comment on the draft Policy Document during the nominated consultation period.
- 8.2. Following consultation, the Policy Officer is to review the Policy Document in light of feedback provided at this stage before sending the final Policy Document to the Policy Custodian for final review.
- 8.3. Once the Policy Custodian approves the final draft, the Policy Officer is responsible to seeking relevant approval from the Delegated Authority or relevant Committee/Board.

9. Approval of Policy Documents

- 9.1. Approval of Policy Documents will be done in accordance with the relevant *General Delegations of Authority Policy*, *UOW Controlled Entity Policy* and the *Framework Policy for UOW Students Studying at UOW College Australia* (if applicable).
- 9.2. The specific approval pathway will depend on the nature of the Policy Document.
- 9.3. The Policy Officer will coordinate and manage the approval pathway of all Policy Documents on behalf of the Policy Custodian.
- 9.4. For minor or administrative amendments, the Policy Custodian or Legal can approve changes.

10. Rescission of Policy Documents

- 10.1. Where it is determined that a Policy Document is no longer needed, the Policy Custodian shall recommend that the Policy Officer rescind the Policy Document, specifically identifying:
1. The reason for rescission;
 2. Any consultation that has occurred prior to rescission; and



3. Any other actions required (e.g. amendment of other Policy Documents).
- 10.2. Upon receipt of this recommendation, the Policy Officer will seek approval from the relevant approval person or body in accordance with Section 9 of these Standards to rescind the Policy Document.
- 10.3. Once rescission is approved, the Policy Officer will:
 1. Notify relevant stakeholders; and
 2. Remove the Policy Documentation from the Policy Directory, Staff intranet, Policy Review Schedule and, where applicable, the UOW College Australia website.

11. Policy Directory

- 11.1. Current Policy Documents will be stored on the Policy Directory, accessible via the relevant Staff Intranet.
- 11.2. The UOWGE Policy Directory will be considered the authoritative source of current Policy Documents.

12. Responsibilities

- 12.1. **Policy Custodians** are responsible for:
 1. Developing, maintaining and implementing Policy Documents under their control;
 2. Consulting with Legal and the Policy Officer when the need for a new Policy Document or an amendment to a current Policy Document has been identified;
 3. Considering how the changes or responsibilities contained in new or amended Policy Documents shall be communicated to appropriate stakeholders; and
 4. Retaining full and accurate records of the Policy Document and consultation/approval process and providing such records to Legal at the end of the development/review process. Such records may include earlier versions of the document with all mark-up and comments retained, and any applicable correspondence relating to major amendments/revisions, consultation, and approval.
- 12.2. **Policy Officers** are responsible for:
 1. Using templates provided approved by Legal;



2. Developing, writing and reviewing the Policy Document in consultation with all relevant stakeholders;
3. Ensuring consistency between the Policy Document and any related policies, procedures and/or guidelines;
4. Centrally managing consultation and policy approval pathways for new or amended Policy Documents;
5. Ensuring correct document control and approval mechanisms are in place;
6. Maintaining the Policy Directory and Policy Review Schedule; and
7. Reporting to:
 - a. The Quality and Compliance Committee as required;
 - b. The UOW Global Enterprises Executive on a monthly basis (where applicable); and
 - c. Other Committee's or Board as required.

12.3. **Legal** are responsible for:

1. Providing appropriate support and advice throughout the policy development and review cycle; and
2. Approve the style, format and quality assurance of all Policy Documents.

12.4. The UOW Global Enterprises Executive Directors or Delegated Authority have ultimate oversight of the policies within their portfolio, as specified in the Policy Review Schedule. Each UOWGE Executive Director or Delegated Authority is responsible for:

1. Managing the overall process of development and review of Policy Documents within their portfolio; and
2. Ensuring that the Policy Custodian complete their policy development/review in a timely manner.

13. Change History

Version	Approved By	Date Effective	Amendment
1	Executive Director Legal & Governance	22 August 2017	New Standard as part of the Policy Toolkit Review.



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2	Executive Director Legal & Governance	22 September 2017	Expanded scope to include UOWD.
3	Executive Director Commercial and Legal		Migration to new template and update to branding and nomenclature. Substantive review to remove UOWD from scope, review definitions of key terms, review and simplify the policy review process, and include key responsibilities for UOWGE Executive Directors.
4	Executive Director, Commercial and Legal	04 July 2024	Minor administration amendment changes to include the University of Wollongong-India Branch (UOWI), Policy Officer role and updated Schedule 1.



14. Schedule 1: UOWGE Onshore (including Global and UOWCA Policies)

- 14.1. Upon approval of the final draft from the Policy Custodian, The Policy Officer will seek approval from the relevant Board, Committee or the University of Wollongong (UOW) Academic Quality and Standards (AQS) and the Deputy Vice Chancellor Academic (DVCA).

Approval Required from UOW AQS or DVCA

- 14.2. The Policy Officer is required to consult the UOW *Framework Policy for UOW Students Studying at UOW College Australia* and ascertain whether approval is necessary from UOW AQS and UOW DVCA.
- 14.3. In the process of seeking approval, the Policy Officer is tasked with submitting a cover paper along with all relevant documents to the UOW AQS team via email quality@uow.edu.au.
- 14.4. Following endorsement by the UOW AQS, UOW AQS will send the documents with a memorandum to the DVCA for approval.
- 14.5. Upon approval from the DVCA, AQS will provide the Policy Officer with a signed memorandum confirming the approval.
- 14.6. If UOW AQS or DVCA require amendments to the document(s), the Policy Officer is accountable for integrating these amendments in collaboration with the Policy Custodian and stakeholders. Subsequent to implementing the amendments, the Policy Officer is responsible for obtaining endorsement/approval from the UOW AQS and DVCA.
- 14.7. Subsequently, the Policy Officer is then responsible for seeking approval from the appropriate internal UOWGE or UOWCA Board, Committee, or Policy Custodian. The document(s) must be communicated to the relevant party accompanied by a cover paper indicating UOW AQS endorsement and DVCA approval.
- 14.8. Upon securing internal approval, the Policy Officer is obligated to inform stakeholders of the approval. The Policy Custodian may choose to personally communicate the updated documents to relevant Staff or may delegate this task to the Policy Officer by issuing a memorandum to all Staff.
- 14.9. Following approval, the Policy Officer is then responsible for updating the following:
1. Policy Review Schedule;
 2. Staff Intranet;
 3. UOW College Intranet (if applicable);
 4. Notifying UOWGE subsidiary Institutions (if applicable); and
 5. All related recordkeeping of documents and approval.

Approval Only Required from UOWCA or UOWGE Internal Committee/Board

- 14.10. The Policy Officer must identify the appropriate internal approval body responsible for approving the document.
- 14.11. In the process of seeking approval, the Policy Officer is tasked with submitting a cover paper along with all relevant documents to the relevant board/committee Secretary.



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1. For Procedures and subordinate documents, approval may only be required by the Policy Custodian. In this instance, The Policy Officer is responsible for writing to the Policy Custodian via email, seeking approval and notifying them of the changes.
- 14.12. Upon securing approval, the Policy Officer is obligated to inform stakeholders of the approval. The Policy Custodian may choose to personally communicate the updated documents to relevant Staff or may delegate this task to the Policy Officer by issuing a memorandum to all Staff.
- 14.13. Following approval, the Policy Officer is then responsible for updating the following:
 1. Policy Review Schedule;
 2. Staff Intranet;
 3. UOW College Intranet (if applicable);
 4. Notifying UOWGE subsidiary Institutions (if applicable); and
 5. All related recordkeeping of documents and approval.