Purpose:

The purpose of this policy is to ensure that University policies are developed and established in an appropriate and consistent manner.

Policy:

All policies at Massey University are to be established in accordance with this policy.

Definition

A Policy is a written statement, which articulates the principles, values, and statements of intent and compliance requirements of the University.

A policy is not a Council statute, procedure, guideline, framework or a regulation which are defined below. A full suite of Definitions is provided in Appendix 6.

Procedure

Established steps or methods that must be performed to obtain a specified outcome or output. Describes the steps to be performed to obtain a specified outcome or output. Establishes the purpose of the activity and who is responsible for the action. Communicates acceptable practice and sets boundaries.

Guidelines

A series of steps, factors or considerations that should be worked through when making decisions or coming to conclusions on matters that are subjective in nature or have complex legal requirements to be met. Guidelines assist and guide people to achieve tasks using a recommended course of action or in consideration of an agreed set of principles.

Regulations

Define how the University will exercise the powers conferred under the Education Act 1989 as they relate to students and educational offerings.

Framework
A structure that outlines the way a policy will be implemented within the University environment and describes various elements and their interrelationships. Frameworks draw together information from various sources including, but not limited to, Strategies, Policies and Procedures.

**Council Statute**

**Policy Development**

Policies must
- Comply with relevant legislation and University regulations.
- Be consistent with University delegations.
- Consider strategic implications as well as risk.
- Consider the effect on staff.
- Consider the effect on students.
- Be feasible to implement.
- Align with the University’s Strategy and Investment Plan.

All policies must be set out as directed in the policy template provided – Refer to the Policy Template – Appendix One

Wording of policy documents is critical, as are legislative and/or ethical considerations. Wording needs to clarify the “must” inherent to the policy. It is the “must” that will constitute the obligations that are central to the policy

**Other considerations are:**
- Who will be responsible for implementation, day-to-day operation of the policy and monitoring for compliance?
- Proximity – is the policy responsibility related to accountability of function?
- Indicators – what are the mechanisms that indicate the policy is effective?
- Feedback – what are the processes for reviewing and updating the policy?
- Externality – does this policy represent ‘best practice’?
- Clarity and Transparency – Is the policy easily understood and clear in intent?
- Access – e.g. via the web for staff and students
- Consistency – with other University policies

Refer Appendix Two for the Policy Development Process Flow Chart

**Policy Approval**

**Principles of Policy Approval**
- Policy approval is by Council for policies where the legislative accountability is with Council and Council has the competence to consider the subject of the policy.
- Policy approval of policies where the accountability is with Council but Council does not have the competency to consider the subject or considers it more appropriate to delegate may delegate to the Vice-Chancellor, Academic Board or other Committee of Council.
- Policy approval of policies pertaining to management accountabilities to be delegated by Council to the Vice-Chancellor.

Policy Approval level is dependant on the above principles and the type of policy being developed:
- The Council will approve Council Statutes and Governance Policies.
The Council will approve academic policies after endorsement by the Academic Board. The authority may be delegated by Council to Academic Board.

The Council will approve policies to ensure that the institution is managed in accordance with the University’s plan and approve policies in relation to the management of the University’s affairs (Education Act 1989 Section 180 (1)(c)(d)). This authority may be delegated by the Council to the Vice-Chancellor who, after endorsement by the Senior Leadership Team (SLT) or other bodies/positions so delegated will approve those Management Policies (includes: Finance, Human Resources, Research Management, Academic Management and Asset related policies).

Where policies have an impact on the terms and conditions of employment of staff the designated Policy Owner will be required to consult appropriately with all SLT members, staff, and staff representative groups through the People and Organisational Development Section, before seeking Vice-Chancellor approval or any revision. Similarly where policies impact on other key stakeholders e.g. students/Iwi the designated Policy Owner will be expected to consult before seeking Council, Vice-Chancellor and/or Academic Board approval.

The Policy Approver has formal authority to establish policy, and if a Committee has delegated authority to establish policy, the authority to approve policy will sit with the Chair of that Committee.

The Policy Owner has functional responsibility for implementation and accountability in the area covered by the policy. The Policy Owner is responsible for carrying out the process for obtaining policy approval.

**Research and Academic Policies**
The Assistant Vice-Chancellor Research, Academic and Enterprise is Policy Owner for the University's Research and Academic Policies and is responsible for oversight of the comprehensive approval processes for such policies and associated procedures, through consideration by relevant committees including College Boards, Academic Committee, Teaching and Learning Committee, Academic Board and Council (where appropriate). Refer to Appendix Three “Academic and Research Policies” for an example of the approval process for a Research and/or Academic Policy. For research and academic management policies see Appendix Four “Management Policies”.

**Finance Policies; Information Technology Policies**
The Assistant Vice-Chancellor Strategy, Finance, IT and Commercial Operations is the Policy Owner for a number of administrative policies including Asset-related, Finance policies, and IT policies.

**Campus Management and International**
The Assistant Vice-Chancellor Operations, International and University Registrar is the Policy Owner for a number of administrative policies including Campus Management policies, and International policies.

**People and Organisational Development Policies, and Health and Safety Policies**
The Assistant Vice-Chancellor People and Organisational Development is Policy Owner for Human Resource and Health and Safety related policies. For approval pathways for all management policies see Appendix Four “Management Policies”.

**University Management Policies**
Owners of each University Management policy will be the Assistant Vice-Chancellors who have functional responsibility for implementation and accountability in the area covered by the policy.

**Governance Policies**
The Chair of Council is the Policy Owner of all Governance related policies. For approval pathways for all governance policies see Appendix Five “Governance Policies”.

Other Policy Owners are as designated on individual approved policies.

**Policy Guide**

The Massey University Policy Guide is the authorised and definitive catalogue of approved policies within Massey University. Policies will be added or updated on the Policy Guide once formally approved, and upon the instructions of the Policy Owner. All policies will include confirmation of approval (i.e. the relevant meeting minute reference number).

The Policy Guide is maintained by the Risk Management Office, and available to all staff. Policies are deemed Vital Records and will be managed in accordance with the Records Management Policy.

Policies are public documents. Procedures and related documents are restricted to Massey University staff only, unless otherwise specified by the Policy Owner. Procedures will be approved by the Policy Owner.

**Review and Revision**

The Policy Owner will specify a review date not later than 3 years, and complete a review of the policy within 3 months of the review date specified. Procedures should be reviewed by the relevant section following the revision of any overarching Policy, or at intervals of no greater than 3 years. For purposes of clarity it should be noted that policies posted on the Policy Guide website remain valid and in force, irrespective of whether the review date has passed.

**Audience:**

All staff, students and external stakeholders.

**Relevant legislation:**

University Regulations (as contained in the Massey University Calendar)
New Zealand Law (summaries available in the Massey University Legislative Resource Library)

**Legal compliance:**

Policies must comply with University Regulations and New Zealand law.

**Related procedures / documents:**

- Policy Template for the approved format of policies
- Procedure Template for the approved format of procedures
- Delegations Document
- Records Management Policy
- SLT / Council template for approval

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APPENDIX ONE – POLICY TEMPLATE

<table>
<thead>
<tr>
<th>Section</th>
<th>Choose appropriate policy section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact</td>
<td>Dept to be contacted with any queries</td>
</tr>
<tr>
<td>Last Review</td>
<td>Month and year</td>
</tr>
<tr>
<td>Next Review</td>
<td>Month and year</td>
</tr>
<tr>
<td>Approval</td>
<td>E.g.: SLT Minute reference</td>
</tr>
<tr>
<td>Effective Date</td>
<td></td>
</tr>
</tbody>
</table>

Purpose:
A statement indicating the reason for the document’s existence and importance. It should be brief and one sentence only.

Policy:
Statement of specific policy
- Use one-sentence statements only.
- Always word the statements concisely and avoid ambiguity.
- There may be more than one policy statement in a policy document. If so list them down the page.

Definitions:
(Optional) Some policies may require a definition section. The purpose of this section is to define areas that may need clarification.

Audience:
Each policy should identify who the audience is in terms of staff, students and external bodies within the university community.

Relevant legislation:
State the relevant legislation this policy must comply with or is referenced to.

Legal compliance:
If this policy has obligations for legal compliance these should be explained briefly.

Related procedures / documents:
If any policy has a number of procedures and/or documents associated with it, these should be listed in this section of the policy statement.
This means the procedures do not necessarily have to reside with the policy documents but need to be recorded in a prominent place within the policy.

**Document Management Control:**

All policies should have a footer, which indicates the document number (if any); person who prepared the document; person/position who authorised the document (policy owner); the body that approved the policy; the date the document was issued or last reviewed; the date the policy is to be next reviewed and a statement that this policy is the property of Massey University. This information should be set out as follows:

Prepared by: Title of person drafting policy  
Owned by: Title of Policy Owner  
Approved by: e.g. VCEC 07/03/44  
Date issued: Day Month year  
Last review: Month and year  
Next review: Month and year
APPENDIX TWO: POLICY DEVELOPMENT PROCESS
A process flowchart for policy development, approval and implementation

STEP ONE
Identify policy need and initiate action - Any person in Massey University may identify a need for a new policy, or revision of existing policy. (This may be due to changing academic, business or legal requirements). Agreement must be obtained from relevant Policy Owner to proceed to Step Two.

STEP TWO
Draft policy (by Policy Owner) – This involves considerations within this document, and use of Policy Template.

STEP THREE
Consultation (by Policy Owner) - Consult relevant members of the University community as appropriate. For example: academic staff; general staff; students; iwi staff unions; committees and groups; external agencies etc.

STEP FOUR
Endorsement Process (by Policy Owner) - With committees, e.g. SLT, Academic Committee.

There may be the need for iteration of a draft policy to refine appropriately before endorsement.

STEP FIVE
Approval Process – Policy needs to be approved in accordance with University delegations. i.e. SLT/Council using the approved templates for decision papers. This step is managed by the Policy Owner.

STEP SIX
Publishing process (by Policy Owner) – This involves ensuring placement of the policy on Policy Guide web site upon formal approval, and notification to staff.

STEP SEVEN
Implementation (by Policy Owner) – Ensure implementation, training needs and non-compliance issues are addressed.

STEP EIGHT
Periodic Review (by Policy Owner) – All policies must commence review within 3 months of review date. During review period the current policy is deemed to be unchanged.
APPENDIX THREE: ACADEMIC POLICY APPROVAL

- Policy Making Process (including consultation)
- College Academic Boards
- Relevant Academic Board Sub-Committee
- ACADEMIC BOARD (under delegation)
- COUNCIL
- For academic policies requiring Council endorsement
- SLT endorsement if appropriate
APPENDIX FOUR: MANAGEMENT POLICY APPROVAL

COUNCIL

Vice-Chancellor

Senior Leadership Team (SLT)

Relevant SLT Sub-Committee

Policy making process (including consultation)

If not approved for submission to SLT

For management policies requiring Council endorsement
APPENDIX FIVE: GOVERNANCE POLICY APPROVAL

COUNCIL

Vice-Chancellor

Senior Leadership Team (SLT)

Relevant SLT Sub-Committee

Policy making process (including consultation)

If not approved for submission to SLT

Council Sub-Committees
## APPENDIX SIX: GUIDE TO POLICY AND STRATEGY DEFINITIONS

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
<th>Examples</th>
<th>Approval Body</th>
<th>Audience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frameworks</td>
<td>A structure that outlines the way a Policy will be implemented within the University environment and describes various elements and their inter-relationships. Frameworks draw together information from various sources including, but not limited to, Strategies, Policies and Procedures.</td>
<td>Qualification Framework&lt;br&gt;Teaching and Learning Framework&lt;br&gt;Compliance Framework&lt;br&gt;Risk Management Framework</td>
<td>Academic Board or relevant subcommittee in relation to Academic matters</td>
<td>Staff</td>
</tr>
<tr>
<td>Guidelines</td>
<td>A series of steps, factors, or considerations that should be worked through when making decisions or coming to conclusions on matters that are subjective in nature or have complex legal requirements to be met. Guidelines assist and guide people to achieve tasks using a recommended course of action or in consideration of an agreed set of principles.</td>
<td>Guidelines for International Assessors for AES&lt;br&gt;Guidelines for Distance Education Offerings to International Students Overseas&lt;br&gt;Guidelines on Change Management</td>
<td>Relevant Academic Board Subcommittee (when related to a new or established Policy or Procedure)&lt;br&gt;Relevant Line Manager for other Guidelines.</td>
<td>Individual Staff</td>
</tr>
<tr>
<td>Operational Plan/Implementation Plan</td>
<td>Provides further detail regarding how a strategy, project, or process will be implemented to ensure the outcomes are achieved. An Operational or Implementation Plan would normally include specified milestones and/or Key Performance Indicators.</td>
<td>Massey University Annual Plan</td>
<td>A manager or Project Steering Group in relation to a Strategy or Process</td>
<td>Staff</td>
</tr>
<tr>
<td>Legislative Requirements</td>
<td>Matters specified by Legislation with which the University must comply – includes regulations promulgated in addition to Acts governing process in relation to legislation.</td>
<td>Specific examples include, but are not limited to, the Consumer Guarantees Act, the Fair Trading Act, Contract Law, New Zealand Qualifications Authority (NZQA) Rules, Universities New Zealand Committee on University Academic Programmes (CUAP) Functions and Procedures, the Code of Practice for the Pastoral Care of International Students, Employment Relations Act, Building Act and regulations relating to Health and Safety.</td>
<td>External Parties such as the NZ Government, Government Agencies, Regulatory Authorities, and Contracts with Partner Organisations.</td>
<td>University, Staff</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>Policies</td>
<td>A written statement which articulates the principles, values, and statements of intent and compliance requirements of the University.</td>
<td>Qualification Policy Health and Safety Policy</td>
<td>SLT, or Council or Academic Board (in relation to Academic matters)</td>
<td>Staff, Students, Public</td>
</tr>
<tr>
<td>Powers</td>
<td>Authority conferred upon the University under the Education Act 1989 and subsequent amendments.</td>
<td>Powers to establish and quality assure programmes, enrol and exclude students (including International students), and charge and collect fees.</td>
<td>NZ Government</td>
<td>University</td>
</tr>
<tr>
<td>Procedures</td>
<td>Established steps or methods that must be performed to obtain a specified outcome or output. Establishes the purpose of the activity and who is</td>
<td>Award of Alternative Qualification Procedures Procurement Procedures</td>
<td>Relevant Committee or Policy Owner</td>
<td>Staff</td>
</tr>
<tr>
<td>Processes</td>
<td>Workflows which may involve a number of steps and hand-offs between various parties. Processes support large volume workflows and may be expressed at a broad or detailed level. Participants may be within or without the institution.</td>
<td>Enrolments Process Business Case Process</td>
<td>N/A</td>
<td>Staff, Students</td>
</tr>
<tr>
<td>Regulations</td>
<td>Define how the University will exercise the powers conferred under the Education Act 1989 as they relate to students, and educational offerings.</td>
<td>Unsatisfactory Academic Progress Regulations, Qualification Regulations</td>
<td>Academic Committee</td>
<td>Students, Staff</td>
</tr>
<tr>
<td>Strategies</td>
<td>Are plans that articulate a preferred course of action that will advance desired outcomes that are beneficial to the University. A Strategy would normally include specified goals and objectives.</td>
<td>Strategic Plan: The Road to 2020, Internationalisation Strategy, Research Strategy</td>
<td>Senior Leadership Team for pan-University strategies, or relevant Academic or Business Unit.</td>
<td>Staff</td>
</tr>
<tr>
<td>Rules</td>
<td>Statements of expectations and restrictions that relate to a regulation.</td>
<td>Examination Rules</td>
<td>Academic Committee or delegate</td>
<td>Students</td>
</tr>
<tr>
<td>Tertiary Education Commission (TEC) Requirements</td>
<td>Matters specified by the TEC with which the University must comply.</td>
<td>Specific examples include, but are not limited to, TEC Funding Rules, Educational Performance Indicators, Annual Maximum Fee Movement Policy, the Single Data Return Submission</td>
<td>TEC</td>
<td>University, Staff</td>
</tr>
<tr>
<td>Council Statute</td>
<td>A ratified Council Policy consistent with the Education Act 1989 or the State Sector Act 1988.</td>
<td>Specific examples include; Delegations Statute, Council Statute of Definitions and Establish of a Policy.</td>
<td>Council</td>
<td>Governance Boards, University, Staff</td>
</tr>
<tr>
<td>Work Instructions</td>
<td>Reasonable and lawful instructions that may be given to staff in terms of compliance with agreements, codes of conducts, policies and processes.</td>
<td>Relevant line manager(s)</td>
<td>Individual Staff</td>
<td></td>
</tr>
</tbody>
</table>