



Version	Approved by	Approval date	Effective date	Next full review
2.4	Director of Governance	3 September 2019	3 September 2019	August 2020
Policy Statement				
Purpose	This Policy describes the UNSW Policy Framework and the principles for developing and managing Codes of Conduct, Policies, Standards, Procedures, and Guidelines.			
Scope	This Policy applies to all University Codes of Conduct, Policies, Standards, Procedures, and Guidelines, and to all staff of the University who are engaged in developing, reviewing and retiring such documents.			
Policy Provisions				

1. Overarching principles and context

- UNSW (the University) is committed to adopting a standardised approach to the development, review and retirement of Codes of Conduct, Policies, Standards, Procedures and Guidelines.
- The University's Codes of Conduct, Policies, Standards, Procedures and Guidelines support compliance with the University's obligations under legislation and delegated legislation, the general law, and encourage consistency with community, discipline and professional expectations.
- All staff and students must comply with the University's Codes of Conduct, Policies, Standards and Procedures. Failure to do so may result in a range of consequences, including disciplinary action.
- Compliance with Guidelines is not mandatory, however all staff and students are strongly encouraged to comply with them to support delivery of the University's requirements and expectations.
- Development, review and retirement of a University Code of Conduct, Policy, Standard, Procedure, or Guideline must be authorised in accordance with this Policy.
- The University's Codes of Conduct, Policies, Standards, Procedures and Guidelines must be available to all staff and students and content should be written in clear and accessible language.
- Codes of Conduct, Policies, Standards, Procedures and Guidelines are University-wide in application and are referred to in this Policy as 'University-wide Documents'. Local Standards, Procedures or Guidelines that suit the specific needs of a Division, Faculty or School are referred to in this Policy as 'Local Documents'. Where a University-wide Document and a Local Document cover the same or similar subject-matter, the Local Document must be consistent with the University-wide Document.

2. UNSW Policy Framework

The UNSW Policy Framework is an operational structure for managing and maintaining the University's Codes of Conduct, Policies, Standards, Procedures and Guidelines.

The Policy Framework includes:

- This *Policy Framework Policy*
- A *Policy Framework Procedure* that describes a development, review and retirement process for University-wide Documents
- A *Policy Hierarchy* (depicted in Appendix A and defined in Section 3 of this Policy)
- Delegations of authority to establish University-wide and Local Documents
- An online Policy repository with access to approved University-wide documents (managed by Governance)

- Policy resources, including templates, flow-charts and toolkits to support a standardised and consistent approach to the development of University-wide Documents.

The Director of Governance will publish and maintain the Policy Framework on the Governance Policy website.

3. What do we mean by Codes of Conduct, Policies, Standards, Procedures and Guidelines?

Codes of Conduct are documents that *express the behaviour that is expected and necessary to meet the core values and obligations of the University*. Codes of Conduct are approved by Council and are always University-wide documents. There are currently Codes of Conduct at the University; a *Staff Code of Conduct*, a *Student Code of Conduct* and a *Research Code of Conduct*. **Compliance with Codes of Conduct is mandatory.**

Policies are documents that *describe the principles* that govern and guide conduct and decision making in a particular context. Policies are always University-wide documents. They must be high-level and principles-based and express the objectives and intentions of the University. **Compliance with Policies is mandatory.**

Standards are documents that *specify operational criteria for products, services and systems* to ensure that they are safe, reliable and consistently perform the way that they are intended to. They are often developed for the purpose of meeting legal or industry-related requirements. A Standard may be a University-wide Document or a Local Document (where permitted under relevant University-wide Documents). **Compliance with Standards is mandatory.**

Procedures are operational documents that *describe the processes and actions* that are required to enable the implementation of a Policy. A Procedure may also be developed to ensure compliance with legislative requirements. A Procedure may be a University-wide Document or a Local Document (where permitted under relevant University-wide Documents). **Compliance with Procedures is mandatory.**

Guidelines are documents that *provide detail and context* for particular matters that are generally the subject of a University legislative obligation, or a Policy, Standard or Procedure. Guidelines provide a pathway for staff and students to follow. A Guideline may be a University-wide Document or a Local Document. **Compliance with Guidelines is not mandatory, however staff and students are strongly encouraged to comply with Guidelines wherever possible.**

4. Developing Codes of Conduct, Policies, Standards, Procedures and Guidelines

Codes of Conduct, Policies, Standards Procedures, and Guidelines must:

- Comply with, and support all staff and students to act in accordance with, all applicable legislative and regulatory requirements
- Support the strategic goals of the University
- Comply with the University's Register of Delegations
- Be consistent with relevant University-wide Documents
- Be developed in consultation with those who will be affected by them, wherever practicable
- Be developed in written format and use common and consistent plain English terminology
- Assign roles and responsibilities
- Provide an effective date and be reviewed regularly.

The need to develop a new Code of Conduct as a statement of the core values and obligations of the University is likely to arise only in response to significant changes in the environment in which the University operates.

The need to develop a Policy, Standard, Procedure or Guideline may arise where there is a matter that needs to be regulated to ensure compliance with a legal obligation of the University, or if it is required to ensure a safe workplace or benefit and protect staff and students.

The development, review and retirement of University-wide Policies, Standards, Procedures and Guidelines must follow the cycle set out in [Appendix B](#) and the actions described in the **Policy Framework Procedure**. Developers of Local Documents may also wish to follow the **Procedure**.

Local Documents must be consistent with University-wide Codes of Conduct, Policies, Standards and Procedures covering the same or similar subject-matter. They:

- must be authorised
- must not breach mandatory requirements in University-wide Documents
- may not be permitted where authority over a subject matter is determined by a University-wide document, or may be permitted with conditions.

5. Who approves Policies, Standards, Procedures and Guidelines?

Prior to approval University-wide Documents may require endorsement by one or more Committees (see Section 2(c) of the [Policy Framework Procedure](#)). Notably, Academic Board must recommend Academic Policies and Procedures for approval by the President and Vice-Chancellor.

In accordance with the Register of Delegations:

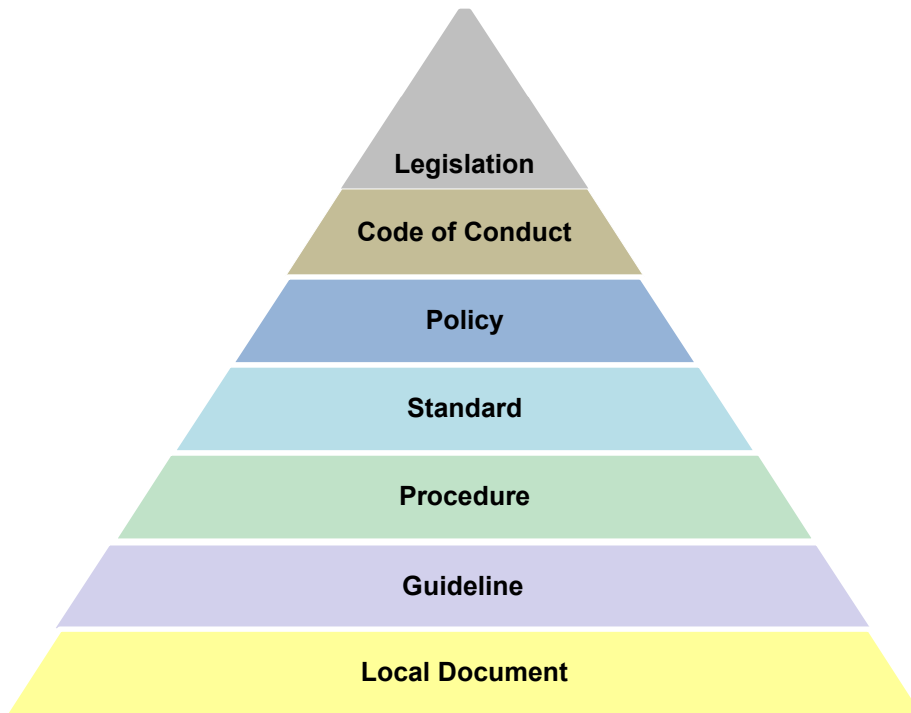
- University-wide Policies must be approved by the President and Vice-Chancellor.
- University-wide Standards, Procedures and Guidelines must be approved by the President and Vice-Chancellor; the Provost; a Deputy Vice-Chancellor, Vice-President or Pro-Vice-Chancellor, or their Nominee with authorisation under the Register of Delegations.
- Local Documents must be approved by a Dean (for Faculties), a Director (for Divisions), or by the Head of School (for Schools).

Accountabilities	
Responsible Officer	Deputy Vice-Chancellor Enterprise
Contact Officer	Director of Governance
Supporting Information	
Legislative Compliance	This Policy supports the University's compliance with the following legislation: <i>University of New South Wales Act 1989 (NSW)</i>
Supporting Documents	<ul style="list-style-type: none"> • Policy Framework Procedure • Template – Policy • Template – Standard • Template – Procedure • Template – Guideline • Phase One Approval Form – Authority to develop draft Document • Phase Two Approval Form • Consultation Plan • Implementation Plan
Related Documents	Register of Delegations
Superseded Documents	Policy Framework Policy, v2.3
File Number	2016/11519
Definitions and Acronyms	
Definitions for this Policy are provided in Section 3 above	

Revision History				
Version	Approved by	Approval date	Effective date	Sections modified
1.0	UNSW Council	7 December 2015	1 January 2016	This is a new Policy
2.0	President and Vice-Chancellor	21 August 2017	21 August 2017	Full review, with minor amendments (and title update)
2.1	Director of Governance	9 January 2018	9 January 2018	Administrative update. Responsible Officer title changed from Vice-President and Chief of Staff to Vice-President, Strategy and Quality
2.2	President and Vice-Chancellor	7 June 2018	7 June 2018	Minor amendment at Section 5 to align with the Register of Delegations
2.3	Director of Governance	12 June 2019	12 June 2019	Administrative update. Responsible Officer title changed to Deputy Vice-Chancellor Enterprise
2.4	Director of Governance	3 September 2019	3 September 2019	Administrative update to Section 5 to include the Provost.

Appendix A: UNSW Policy Hierarchy

This diagram depicts the hierarchy, and order of precedence, of Documents included in the University's Policy Framework:



The Policy Hierarchy requires that each Document lower in the hierarchy must relate to, and be consistent with, a Document higher in the hierarchy.

- In the case of staff, compliance with applicable Codes of Conduct, Policies, Standards and Procedures is a requirement of their contract of employment and of their continuing employment.
- In the case of students, compliance with applicable Codes of Conduct, Policies, Standards and Procedures is a condition of admission and of their continuing enrolment.

Appendix B: Document Development Cycle

The Document Development Cycle applies to the development, review and retirement of Codes of Conduct, Policies, Standards, Procedures and Guidelines.

The **Policy Framework Procedure** outlines the steps required at each stage of the process and describes the cycle in relation to developing a new University-wide Document; reviewing an existing University-wide Document or amending an existing University-wide Document.

