THE PAPUA NEW GUINEA UNIVERSITY OF TECHNOLOGY

POLICY ON POLICIES

February 2020

1. Intent

The intent of this Policy on Policies is to provide the operational structure for describing, ordering, developing and maintaining the University's policies and procedures and ensuring consistency in the framing and presentation of these documents. All University policies are subject to formal approval processes and are to be stored in a central location, preferably a Policy Handbook and a *web-based Policy Library* for easy access by all stakeholders of the University.

Elements of this Policy are:

- Intent of the Policy
- Scope
- Definition
- Responsibilities
- Authorities
- Policy development, revision and review
- Document control approval details.

2. Scope

2.1 A **University policy** consists of principles, procedures or both. It has the following characteristics:

- A University policy is of long-term application to the University as a whole or a broad cross-section of the University community.

- A University policy helps ensure that the University complies with relevant legislation, quality assurance standards and community expectations; assists the University to attain its mission and strategic objectives; promotes operational efficiency and effectiveness; and minimizes risks.

In addition to the By-Laws, three types of policies which align broadly with the University's governance structures are academic, financial and administrative policies.

- **Academic policies** cover learning, teaching and research and are endorsed by the Pro Vice Chancellor Academic and approved by Academic Board.

- **Financial policies** govern the management of the assets and financial resources of the University and require the approval of the University Council.

- **Administrative policies** are primarily for operational functions which support academic activities. Administrative policies are endorsed by the Registrar and approved by Senior Executive Management. Some administrative policies such the appointment / reappointment of Professors, Associate Professors and members of the Senior Executive Management require the approval of the University Council.

2.2 **Principles** are the standards or essential features which underpin decision-making and/or the way members of the University community conduct the activities of the University.

2.3 **Procedures** mandate operational activities and assign responsibilities. Procedures step through the practical actions required to support the implementation of Policy Principles, or to assist the University's operations and compliance with external requirements. Procedures may apply to a specific activity of the University or be of more general application.

Guidance documents, including forms or checklists, provide additional detail on aspects of a University policy. They may recommend particular practices or processes, or provide illustrative examples in relation to a University policy, or list matters which might be taken into account in carrying out a University activity. Unlike Policy Principles or Procedures, they are not mandatory. Guidance documents are subordinate to policies and are not substitutes for policies.

2.4 Development and publication

All University Policies must:

a. Support and embody the University's vision, mission and strategic objectives and be aligned with PNG Vision 2050 and the Gender Equity & Social Inclusion (GESI) Policy.

b. Be relevant and transparent in their intention and meaning, and developed in consultation with relevant members of the University community.

c. Comply with relevant legislation and regulatory requirements

d. Assign authority for decisions required under the policy

e. Assign responsibility for actions required under the policy

f. Assign a Policy Sponsor who is accountable for reviewing the operation of the Policy, and for monitoring its continuing relevance and impact on the University's activities.

g. Be in accord with the Policy Framework

h. Be developed using the Policy Template

i. Be posted to the Policy Library as the central repository for policies

j. Be reviewed at least every three years.

2.5 Application

The following principles apply in respect of all approved University policies:

- All members of the University community must comply with University policies when carrying out their University activities

- Policies must be applied fairly and consistently, in accord with general principles of commonsense.

2.6 Responsibilities

The Vice Chancellor, Members of the Senior Executive Management and Committee Chairs, Deputy Registrar's, and Directors of Section are primarily responsible to sponsor, monitor and review policies for recommendation to the Academic Board or University Council for approval.

Responsibilities for polices are:

- General University policies: Vice Chancellor
- Academic policies: Pro Vice Chancellor Academic
- Research policies: Pro Vice Chancellor Academic
- Student policies: Registrar
- Finance policies: Bursar
- Information Communication Technology policies: Director Information Communication Technology Division
- Human Resources Management policies: Deputy Registrar — Human Resource
- Quality of policies: Pro Vice Chancellor Administration / Policy & Planning / Registrar

2.7 Authorities

The approval authority for all university policies is the University Council or delegated authority such as Senior Executive Management and the Academic Board.

3.0 Definition

i. **Policy Handbook—**is a collection of various University policies that defines the University Act & its Statutes and helps staff and management to run the University.
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ii. **Policy Library—**is the online library where all University Policies are kept in electronic form.

iv. **Policy Sponsor—**is the delegated authority to sponsor policies for approval by the approving authority.

v. **Policy Proposal Template**—it is a standard format outlining the initial proposal for submitting a policy to approving authorities.

vi. **GESI**—Gender Equity & Social Inclusion. It is a cross cutting agenda in the country and PNG has a GESI Policy that promotes the equality, respect, indiscrimination and related GESI agenda across the National Public Service.

vii. **Policy Cycle—**is the process by which all University policies go through for screening, endorsement, approval, awareness and implementation.

viii. **Policy Template—**is the guiding format in which all University Policies are required to be formulated accordingly.

4.0 Policy

The development or revision of a University Policy may result from the;

- Recognition of a need (e.g. legislation, new University activity, gap in policy coverage)
- Change in strategy or circumstance.
- Policy review timetable.
- Problems in implementing and interpreting policies.
- Revision may include deletion of a policy where it is no longer needed.

4.1 Policy Proposal

Once a requirement for a new or revised University Policy is identified, the relevant officer must prepare a Policy Submission Proposal establishing the case for the policy. The Policy Submission Proposal Template *(Appendix 1)* should be used in all the submissions.

4.2 Policy development

Any member of the Academic Board, Chair of Committees or Senior Executive Management may make a policy proposal in the interest of continuous improvement in the governance or administration of the University.

4.3 Draft Policy

Policies must be drafted in line with the Policy Framework Principles using the Policy Template, though the final policy format and structure may be determined by the policy content. Advice on language and drafting formats is contained in Guidelines for clear writing.

4.5 Consultation

It is advisable that a Policy Sponsor nominates a policy working group as a core consultative group for the proposed policy development. Formal consultation with stakeholders is recommended throughout the development of the policy. Once a policy has been drafted, it needs to be made available for comment and feedback by staff and students directly affected by the policy, and a legal adviser (if considered appropriate).

4.6 Authorization

Following feedback from the relevant stakeholders and acceptance in principle by the Vice Chancellor, the proposer of the draft policy fine tunes it and submits it to the relevant authority for approval.

4.7 Communication and implementation

The approved policy is uploaded to the Policy Library. The Policy Sponsor is responsible for communicating and putting into operation the approved policy.

4.8 Records management

The Vice Chancellor, Members of the Senior Executive Management, Committee Chairs and Directors of Sections are responsible for filing approved policy documents and maintaining an archive of policies either in hard copy or in electronic form.

4.9 Monitoring effectiveness

Policy users can email comments on the effectiveness of policies and any challenges in implementation and interpretation to a Policy Sponsor who can refer concerns to the relevant policy working group that developed the policy.

4.10 Review / Deletion

Policy Sponsors need to be aware when a policy is due for review according to the review date recorded on the policy. Policies may be reviewed outside the stipulated review cycle if a need is identified. A policy under review will not lapse until the revised policy has been approved. Where a policy review demonstrates the need for a policy to be developed, revised or deleted, the policy development process specified in this framework is followed.

4.11 Amendments which do not otherwise affect the policy content

Once a University policy has been approved under this framework, minor amendments may be made in consultation with the Vice Chancellor or Approval Authority. Such changes do not affect the formal review date. On receipt of the approved change, the revised policy will be uploaded into the Policy Library. This also applies to supporting documentation such as templates, guidelines and checklists, following approval by the Approval Authority.

4.12 Policies re-approved without revision

If an existing policy is due for an update and a Policy Sponsor considers that no changes are required, the Policy Sponsor may consult the relevant policy working group. If the feedback from the policy working group indicates that the policy does not need revision, the Policy Sponsor can update the control panel and re-upload the Policy in the Policy Library.

If the policy working group suggests that the policy needs revision, then the revised policy will be amended in accord with this Framework and the Policy Sponsor will seek re-approval from the approving Authority.

4.13 Guidelines for clear writing

Writers of policies and procedures should adhere to the following guidelines for clear and effective writing:

- Write in plain English
- Use simple words that can be easily understood by readers.
- Use short sentences and express one principle/action/idea per sentence
- Font style: Arial
- Font size: 11 point
- Sentence Spacing: 1.5 point
- Headings should be in bold

5 Related Policy and legislations

- PNG University of Technology Act
- PNG University of Technology Statutes
- Higher Education General Provisions Act 2014
- University Statutes
- PNG University of Technology Strategic Plan, 2019 -- 2022

6 Appendices

- University Policy Submission Template *[Yet to be drafted]*
- University Policy Template
- University Policy Cycle

7 Approval Details

Policy Sponsor	Registrar
Approval Authority	Council
Date for next Major Review (in accordance with the Policy Handbook)	February 2022

8 Revision History

Version	Approved Date	Implementation Date	Details	Author
1.0	07/02/2020	07/02/2020	New Policy	Governance & Policy Unit

9 Key words

Policy on Policy, Policy Sponsor, Policy Template,

Appendix # 1

University Policy Submission Template

FOR POLICY SPONSOR		
NAME OF PERSON		
DESIGNATION		
CAPACITY OF PERSON	*[Indicate if you are a committee member, chairperson, etc.]*	
FOR APPROVING AUTHORITY		
APPROVING AUTHORITY	*[Chairperson of Committee to approve all agendas to go to the meeting]*	
ENDORSED *[Tick]*		
NOT ENDORSED *[Tick]*		
FEEDBACK	*[Indicate the reason for approving or not approving the agenda to go before the meeting*	

1 Title
[Title of the proposed / reviewed Policy]

2 Purpose
[Purpose of the Policy]

3 Introduction
[Introduce the Policy]

4 Background
[Give a background of why the policy is proposed/ reviewed. Also indicate supporting documents]

5 Rationale / Facts & Considerations
[State reason for the proposed or reviewed policy and the arguments for and against the policy. Remember to include cost and or cost-benefit analysis and staffing requirements if needed by the Policy]

6 Conclusion
[Provide summary of the rationale and the proposed action]

7 Recommendation
[Recommend the actions to be taken]

8 Requested Action
[Indicate the action required by the Approving Authority, i.e. For approval, for endorsement, for further research]

Appendix # 2

University Policy Template

Intent

Provide an overview of the purpose of the policy and explain the objectives it aims to achieve

Scope

This section refers to whom the policy applies (e.g. staff, students, visitors, contractors).

In some cases it may also be necessary to explain what the policy applies to – for example if a policy applies to the use of certain electronic devices but not others, this must be clarified; or if the policy applies to certain students admitted to a particular course and not all students, this must be clarified.

Provide a statement explaining any stakeholders to whom this policy does not apply.

Definitions

Include any terms or acronyms which are written in the content of this policy which require explanation.

Policy

The policy body should provide clear and concise statements that explain the key policy principles.

***Important note:** the definition of Policy is: a statement of the principles, values and key provisions governing decision-making at the University and which sets out the position of the University on key aspects of operation or direction.*

The policy itself should consist of relevant and logical sections that establish the key guiding elements which underpin decision-making and enable the achievement of the intent of the policy.

Related policy instruments

Provide the name(s) of, and link to the business unit / website containing any PNGUoT policy instruments, e.g. procedures, guidelines which have been developed to give effect to this policy.

Schedules/Appendices

Provide the name(s) and hyperlink to any PNGUoT schedules and appendices relevant to the policy.

*Schedules **must not** be included in the policy. They should be placed on the business unit/policy author's website and linked to from this section of the policy.*

Appendix/appendices are a section or table of supplementary information. They should be placed on the business unit/policy author's website and linked to from this section of the policy.

Related documents and legislation

Provide the name and location or file path of related policies, documents, legislation (Acts, statutes or rules), standards, local procedural or operational manuals, administrative forms, external guidelines and other web sites. Hyperlinks should not be used.

***Note**: Italics should be used when referencing Acts*

Approval Details

Policy Sponsor	[The Policy Sponsor is responsible for development, compliance monitoring and review of this policy and any associated procedures or guideline].
Approval Authority	[Refer to the approved policy framework]
Date for next Major Review (in accordance with the Policy Handbook)	[The policy review should be scheduled 3 years from the approval date]

Revision History

[*Use the table below to record information regarding changes to this policy. Version control should be applied, for example major amendments (Approved by the Approval Authority) and minor amendments (approved by the Policy Sponsor) should be numbered 16-1, 16-2 and so on (the first two digits = year, the last digit = version number)].*

Approval date - the date the approval authority approved the establishment, minor or major amendment or disestablishment

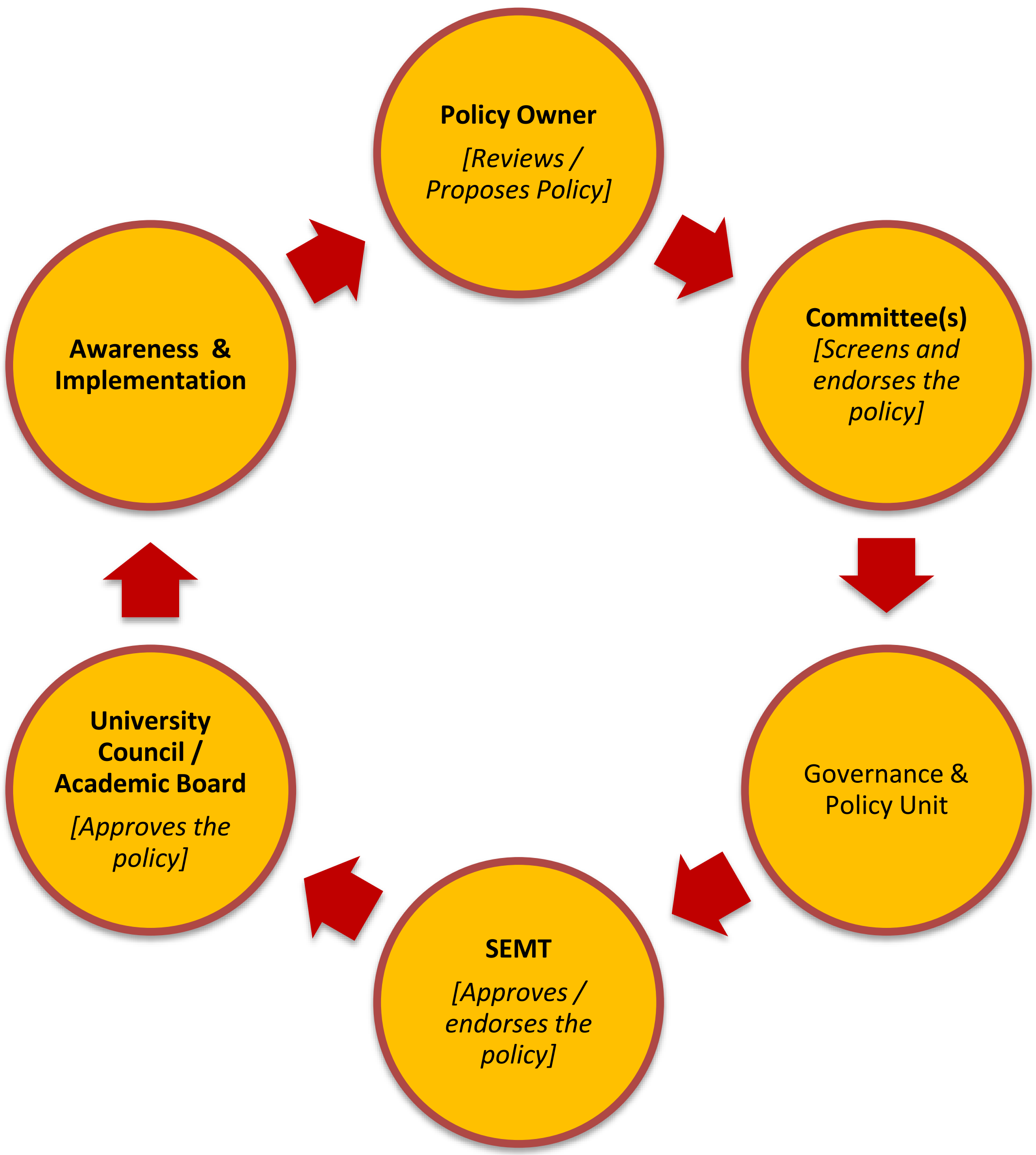
Implementation Date - the date the policy was published in the Policy Library and is the date the policy takes effect

Version	Approval date	Implementation date	Details	Author
XX-X	<dd/mm/yyyy>	<dd/mm/yyyy>	<Policy established; Minor amendment; Major amendment/Policy disestablished>	<Title of policy author>

Keywords	[list several relevant key words which may be used to search for and locate the policy in the Policy Library]

Appendix # 3

University Policy Cycle



Explanatory notes

1. As stated in the Policy on Policy document, the Policy Owner, who is a Senior Executive Management, Chair of a Committee or a Head of Department is delegated to propose a review or formulation of a policy.

2. The Policy is screened by the relevant Committee(s) of the University and endorses it to the SEMT.

3. The SEMT deliberates and approves or either endorses the policy to the Academic Board or the University Council.

4. The University Council or the Academic Board deliberates on the policy and approves it.

5. Once the University Council or the Academic Board approves the policy, the Policy owner liaises with the relevant committees and sections of the University to carry out awareness and implementation of the policy.

This Policy Cycle ensures the transparent and fair process of proposing, screening, approving and implementing university policies.

It also presents the opportunity for the major stakeholders of the university (Staff, students and others) to provide their input through their reps in the various screening and approval levels / cycle.

As part of awareness and stakeholder consultation, it is the prime obligation of the reps of the stakeholders to inform their members through their respective avenues on the approved new / revised policies.

The Governance and Policy Unit assist to ensure that the policies are in the correct template and language.