

LSOP Title	Publishing changes in the PPL
LSOP No.	1.01
Version	1
Location	St Lucia
Policy Link	UQ Governance and Management Framework
Approved by	Anthony Zgrajewski, Manager, Enterprise Governance
Date Approved	18/05/2020
Date Effective	Upon date of approval
Next Review Date	12 months from date of approval
Contact for Assistance	Tom Hall, Senior Policy Officer, Enterprise Governance (ext. 31485)

1.0 Purpose

This Local Standard Operating Procedure (LSOP) outlines the requirements for publishing changes to UQ policies, procedures, guidelines and mandatory forms (documented controls) in UQ's Policy and Procedure Library (PPL).

The UQ Governance and Management Framework (UQGMF) provides that UQ will determine, develop and implement appropriate policies and procedures containing mandatory requirements to enable and ensure effective and efficient governance and management at UQ.

Compliance with this LSOP will help ensure that UQ's documented controls and the administration of the PPL comply with the UQGMF and meet the business needs of UQ Organisational Units.

2.0 Scope

This LSOP is adopted and administered by Enterprise Governance and should be read in conjunction with the UQGMF, which provides the overall structure and direction for systematic and disciplined governance and management of UQ.

For the purposes of this LSOP, documented controls include UQ:

- policies,
- procedures,
- guidelines, and
- mandatory forms

as defined in section 2.1 of the UQGMF and that are published in the PPL.

2.1 Exceptions

The Manager, Enterprise Governance may consider exceptions to the requirements outlined in this LSOP. Exceptions must not conflict with requirements of the UQGMF and are to allow for urgent material changes to be made to documented controls to ensure compliance and/or business continuity.

The Manager, Enterprise Governance will report such changes to the relevant approval authority for the documented control.

3.0 Approval requirements for publishing changes in the PPL

Before publishing changes in the PPL, Enterprise Governance must ensure that the requesting Organisational Unit has obtained the required written approvals, as outlined below. UQ's approval

requirements are set out in section 2.1.2.3 of the UQGMF. An approval matrix is provided in the Appendix of this LSOP at section 8.2.

For all PPL publishing changes that are not administrative, the requesting Organisational Unit must complete a PPL Change Request Form to accompany the request. A copy of the form is attached to this LSOP and available to download from the Enterprise Governance website.

3.1 Policies

New policies and amendments to existing policies may only be published with approval from either Senate or the Vice-Chancellor (unless specifically delegated).

Administrative changes to Governance policies may only be published with approval from the Vice-Chancellor.

Administrative changes to Academic and Operational policies may only be published with approval from the policy owner.

Before publishing an administrative change to a policy, Enterprise Governance will take the following steps:

- Contact the requesting Organisational Unit to determine whether the changes will alter the substance or effect of the policy (i.e. ensure that the changes are minor in nature); and
- Check that the policy owner or their nominee is aware of the changes and has approved the request in writing.

3.2 Procedures

Unless reserved by the Vice-Chancellor, new procedures and amendments to existing procedures may only be published with the following approval:

- Academic procedures – the relevant member of the Vice-Chancellor’s Committee (e.g. Deputy Vice-Chancellor Academic or Deputy Vice-Chancellor Research).
- Operational procedures – the relevant policy owner.

Before publishing an administrative change to a procedure, Enterprise Governance will take the following steps:

- Contact the requesting Organisational Unit to determine whether the changes will alter the substance or effect of the procedure (i.e. ensure that the changes are minor in nature); and
- Check that the policy owner or their nominee is aware of the changes and has approved the request in writing.

3.3 Guidelines and Mandatory Forms

Before publishing new or amended guidelines and mandatory forms, Enterprise Governance will take the following steps:

- Contact the requesting Organisational Unit to determine the details of the request (e.g. what policy or procedure the documents are related to; whether other existing guidelines or forms will be affected).
- Check that the policy owner or their nominee is aware of the changes and has approved the request in writing (note: some guidelines and forms may be approved as part of a broader package of changes to a related policy or procedure).



4.0 Quality check

Enterprise Governance will review policies and procedures with reference to the Governance and Risk checklists for reviewing and publishing policies and procedures (see Appendix 8.3 and 8.4). These checklists are based on the quality requirements for UQ documented controls set out in the UQGMF.

Before publishing any new documents or changes in the PPL, Enterprise Governance will undertake a final quality check of the documents, including a check for the following:

- spelling errors and typos
- broken or non-existent URL links
- basic formatting and layout (e.g. line and paragraph spacing, indents, heading levels and numbering).

Organisational Units are expected to undertake quality checks prior to submitting documents to Enterprise Governance for PPL publishing.

5.0 Record keeping

Copies of the following documentation are to be retained in UQ's corporate records management system (HPE Content Manager / TRIM):

- approval documentation (including emails providing an approval); and
- final versions of approved policies, procedures and guidelines published to the PPL.

Enterprise Governance will use the CRM as the primary channel for PPL requests and communications. UQ staff are advised to submit PPL requests via the CRM system, using the governance@enquire.uq.edu.au email address.

5.1 Rescinded documents

Enterprise Governance will extract PDF copies of all revisions of rescinded policies, procedures and guidelines from the PPL system and archive the documents in TRIM before the PPL entry is unpublished from the system. Rescinded forms will not be archived by Enterprise Governance in TRIM; it is the responsibility of Organisational Units to retain copies of rescinded forms as required.

6.0 Notification of changes

Once changes have been published in the PPL, Enterprise Governance will:

- Contact the requesting staff member to notify of the update and confirm that the changes are accurate and as requested.
- For new and significant changes, update the 'new and revised' webpage (on the Enterprise Governance website) with a brief summary of the changes and link to the PPL entry.

7.0 Monitoring and review

Enterprise Governance will implement the requirements of this LSOP and monitor its effectiveness to ensure that it provides for an efficient and compliant process for publishing documented controls in the PPL.

8.0 Appendix

8.1 Definitions

Administrative change – changes that do not affect or change the overall intent of the document including its purpose, scope and key requirements. For example:

- Minor changes such as correcting patent errors, updating references and links (e.g. changes in titles of legislation, codes etc), nomenclature or title changes.
- Changes that are consequential and required as a result of a business decision (e.g. deleting a downloadable form from the PPL as a result of the form being managed electronically in my.UQ or Aurion).

Policy owner – the party accountable for achieving the objectives of the policy or procedure. For example, the Chief Financial Officer is the owner of UQ finance policies and procedures.

8.2 Approval Matrix

Document	Category	Type of change	Approval
Policy	Governance	New or amendment	Senate
Policy	Governance	Administrative	Vice-Chancellor
Policy	Operational or Academic	New or amendment	Vice-Chancellor
Policy	Operational or Academic	Administrative	Policy owner
Procedure	Academic	New or amendment	Member of VCC*
Procedure	Operational	New or amendment	Policy owner*
Procedure	Operational or Academic	Administrative	Policy owner or their nominee
Guideline or Form	All	All	Policy owner or their nominee

* Unless specifically reserved by the Vice-Chancellor



8.3 Enterprise Governance checklist for reviewing and publishing policies

Policy Title		Policy Owner	
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Review Checklist

#	Assessment Criteria	Comments
1.	The policy is on the approved template and drafted using plain English.	
2.	The objectives and scope of the policy are clear and understandable.	
3.	The criteria for issuing a policy as set out in the UQ Governance and Management Framework has been satisfied	
4.	The drafting of the policy enables prudent and timely decisions to be made and UQ operations to be performed effectively and efficiently.	
5.	The policy focuses on delivering specific outputs and outcomes in a competent manner	
6.	The policy adopts a holistic and risk-based approach to the design and implementation of controls and for demonstrating compliance.	
7.	The policy actively supports automation and the innovative use of technology.	
8.	The policy provides clarity of roles, responsibilities and accountabilities and these are consistent with other policies.	
9.	The policy incorporates management assurance protocols to provide assurance on the effectiveness and efficiency of the documented control/s and to ensure their currency and continuous improvement.	

Review completed by:

Approval and publication in PPL checklist

#	Approval Process	Comments
1.	The policy has been approved by the relevant approval authority – Vice-Chancellor or Senate.	
2.	Has the content of the policy changed from what was approved by the relevant approval authority?	
3.	For academic policies, advice from the Academic Board was considered and incorporated into the policy.	

Approval reviewed and uploaded into the PPL by:

Post publication checklist

#	Approval Process	Comments
1.	Enterprise Governance has notified the relevant staff that the policy has been updated in the PPL and is live.	
2.	For new policies and significant amendments to existing policies – Enterprise Governance 'new and revised' webpage has been updated to outline key changes (https://governance-risk.uq.edu.au/functions-and-services/governance/policies-and-procedures/new-and-revised).	
3.	Check that the Enterprise Governance webpage on current consultation is updated to remove the policy from the relevant list (https://governance-risk.uq.edu.au/functions-and-services/governance/policies-and-procedures/current-consultation).	
4.	All documentation relating to the approval of the policy, including a final version of the approved policy, has been filed in UQ's electronic records management system.	

Post publication actions completed by:



8.4 Enterprise Governance checklist for reviewing and publishing procedures

Procedure Title	Procedure Owner
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Review Checklist

#	Assessment Criteria	Comments
1.	The procedure is on the approved template and drafted using plain English.	
2.	The objectives and scope of the procedure are clear and understandable.	
3.	The procedure describes the processes and activities that realise the outcomes defined in the parent policy.	
4.	The drafting of the procedure enables prudent and timely decisions to be made and UQ operations to be performed effectively and efficiently.	
5.	The procedure adopts a holistic and risk-based approach to the design and implementation of controls and for demonstrating compliance.	
6.	The procedure actively supports automation and the innovative use of technology.	
7.	The procedure provides clarity of roles, responsibilities and accountabilities and these are consistent with the parent policy.	
8.	The procedure incorporates management assurance protocols to provide assurance on the effectiveness and efficiency of the documented control/s and to ensure their currency and continuous improvement.	
9.	The procedure is consistent with other UQ policies and procedures and UQ's Enterprise Agreement.	
10.	If the procedure includes punitive clauses/provisions, has the procedure been reviewed by the Vice-Chancellor's Committee?	

Review completed by:

Approval and publication in PPL checklist

#	Approval Process	Comments
1.	The procedure has been approved by the relevant approval authority – a member of VCC for academic procedures or the relevant policy owner for operational procedures.	
2.	Has the content of the procedure changed from what was approved by the relevant approval authority?	
3.	For academic procedures, advice from the Academic Board was considered and incorporated into the procedure. Consideration be given to referring a procedure to the Vice-Chancellor where advice from the Academic Board has not been followed.	
4.	If the procedure was reviewed by the Vice-Chancellor's Committee, has feedback from VCC been incorporated into the procedure?	

Approval reviewed and uploaded into the PPL by:

Post publication checklist

#	Approval Process	Comments
1.	Enterprise Governance has notified the relevant staff that the procedure has been updated in the PPL and is live.	
2.	For new procedures and significant amendments to existing procedures – Enterprise Governance 'new and revised' webpage has been updated to outline key changes (https://governance-risk.uq.edu.au/functions-and-services/governance/policies-and-procedures/new-and-revised).	
3.	Check that the Enterprise Governance webpage on current consultation is updated to remove the procedure from the relevant list (https://governance-risk.uq.edu.au/functions-and-services/governance/policies-and-procedures/current-consultation).	
4.	All documentation relating to the approval of the procedure, including a final version of the approved procedure, has been filed in UQ's electronic records management system.	

Post publication actions completed by:



PPL topic title: [main topic related to the request; use multiple forms if needed]

Outline of request

List all publishing actions you are requesting and identify each PPL document that will require changes.

PUBLISH (NEW)

- *title(s) of policy / procedure / guideline / form to be published*
- *leave blank if not applicable*

AMEND

- *title(s) of policy / procedure / guideline / form to be amended*
- *leave blank if not applicable*

RESCIND

- *title(s) of policy / procedure / guideline / form to be rescinded*
- *leave blank if not applicable*

OTHER INSTRUCTIONS

Requests in addition to publish / amend / rescind changes outlined above.

Any other instructions must not conflict with the approved changes outlined above.

Approvals

Identify the approval authority and approval date for each publishing action.

For example:

- *Approval of new [title of policy] provided by the Vice-Chancellor on 01/01/20.*
- *Approval to amend [title of policy/procedure] provided by the Chief Financial Officer on 01/01/20.*
- *Approval to rescind [title of guideline] provided by the Deputy Vice-Chancellor on 01/01/20.*

Attachments

List and attach all documentation required to process this request.

For example:

- *Copies of written and/or signed approvals for all requested changes.*
- *Copies of approved documents for publishing (e.g. for new entries or substantive revisions).*
- *Copies of approved text for amendments (provide full copy of document with marked-up changes).*

Please contact Enterprise Governance for any questions or assistance to complete this form.

Email: governance@enquire.uq.edu.au

Phone: (07) 3443 1485

<https://governance-risk.uq.edu.au/functions-and-services/governance>