# Complete a Preliminary Assessment Review before developing any new policy at UQ

|  |  |
| --- | --- |
| **Overview** | |
| Name of Organisational Unit: |  |
| Name of proposed policy: |  |
| Why a new policy is needed: | *Refer to the ‘criteria for issuing policies’ guidance on page 2.* |
| Existing UQ documents and other information sources related to the policy: | *(e.g. other policies / procedures / guidelines / websites)* |
| Proposed new UQ documents and other information sources to support the policy: | *(e.g. other policies / procedures / guidelines / websites)* |
| Who will be consulted during development of the policy and following its implementation? |  |
| Who will be the policy owner and approval authority? | *Refer to the* [*Governance and Management Framework Policy*](https://policies.uq.edu.au/document/view-current.php?id=9) |
| **Likely impact on UQ staff, students or other groups** | |
| What is the scope of the policy? | *(e.g. aimed at a specific group or UQ-wide)* |
| Is the policy likely to change current practices at UQ?  If so, please specify: |  |
| Will the policy increase the compliance burden on UQ staff or students?  If so, please specify: |  |
| How will the policy be implemented and communicated? | *(e.g. mandatory training / general publicising and awareness raising)* |
| How will compliance with the policy be monitored and assured? |  |
| **Timing** |  |
| Key dates and proposed timeline: |  |

Please contact Enterprise Governance ([governance@uq.edu.au](mailto:governance@uq.edu.au) or 3443 1485) for assistance.

# Prior endorsement

The [Governance and Management Framework Policy](https://policies.uq.edu.au/document/view-current.php?id=9) provides that prior endorsement of the Provost, relevant Deputy Vice-Chancellor or the Chief Operating Officer is required for the development of a new policy or to make significant changes to an existing policy.

# Criteria for issuing policies

Policies at UQ are developed, adopted and managed to realise one or more of the following objectives:

* To support the achievement of the University’s objectives and strategic priorities.
* To give effect to directions or advice from Senate, the Vice-Chancellor or the Academic Board (subject to approval from the Vice-Chancellor).
* To manage significant strategic or financial risks.
* To demonstrate compliance with applicable laws, regulations, mandatory government policies/ standards, legal obligations and mandatory professional standards.

Staff considering the development of a new policy must ensure that the proposal meets at least one of the above criteria for issuing policies.

Staff should refer to Section 2, ‘Documented Controls’ in the Governance and Management Framework Policy to determine the type of policy or other document that may be required.

# Questions to consider when completing the Preliminary Assessment Review

## Is a new policy needed?

* How significant is the issue that you are trying to address through policy – what is its magnitude and the likelihood of it occurring? What evidence do you have to support your assessment? Who has been consulted?
* Is the issue addressed elsewhere (e.g. another policy, procedure or guideline)? There may deficiencies in existing measures that could be improved instead of introducing a new policy.
* Why do existing measures not sufficiently address the issue? Are existing measures poorly designed, or not being implemented, communicated or enforced?
* What are the consequences of not introducing a new policy?
* Could UQ rely on the general application of existing laws and regulations (e.g. state and local government level) to address the issue?
* Is the issue only temporary and will it correct itself within a reasonable timeframe?

## How will a new policy address the issue?

* Clearly identify why there is a legitimate reason for UQ to introduce a new policy.
* Demonstrate that UQ has the capacity and resources to implement the policy successfully (e.g. ongoing monitoring or enforcement). The adoption and effectiveness of policies must be evidenced and verifiable.

## How will a new policy affect UQ stakeholders?

* Will the policy stop or prevent something that is currently occurring (or may potentially occur)?
* Will the policy require new actions to be taken (e.g. reporting requirements)?
* Have relevant stakeholders, including those affected by the policy, been consulted?