|  |  |  |  |
| --- | --- | --- | --- |
| **Procedure Title** |  | **Policy Owner** |  |
| **Reviewer** | *[Name and Position]* | **Date of Review** |  |
| **Policy Owner Endorsement** | *[Signed and dated]* | **COO/DVC/Provost Endorsement** | *[Signed and dated]* |

## Summary of review

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Assessment Criteria** | **Rating****H/M/L[[1]](#footnote-1)** | **Comments** |
| **1.** | Clarity of the procedure’s purpose and scope. |  |  |
| **2.** | Procedure’s alignment with relevant UQ policies and procedures. |  |  |
| **3.** | Clarity and appropriateness of the procedure’s process, controls and requirements. |  |  |
| **4.** | Clarity and appropriateness of roles, responsibilities and accountabilities in the procedure. |  |  |
| **5.** | Clarity and adequacy of monitoring and review provisions in the procedure. |  |  |
| **6.** | Clarity and adequacy of record keeping and reporting provisions in the procedure. |  |  |
| **7.** | Readability of the procedure, including its use of plain language. |  |  |
| **8.** | Justification for the procedure to remain in its current form. |  |  |
| **9.** | Degree to which the procedure has been demonstrably effective to date. |  |  |

## Recommendation

The following is recommended as a result of the procedure review: *(select one; delete not applicable)*

**FIT FOR PURPOSE**

The existing procedure is current and fit for purpose. The procedure’s review date can be reset.

**RESCIND**

The existing procedure can be rescinded as it no longer needed.

**DEMOTE**

The existing procedure can be demoted to a guideline or other document (e.g. standard operating procedure).

**CONSOLIDATE**

The existing procedure can be consolidated with another procedure as there are significant overlaps.

**COMPREHENSIVE REVIEW**

Theexisting procedure requires comprehensive review and redrafting using UQ’s procedure template.

**TRANSFER**

The existing procedure’s content can be transferred into UQ’s procedure template.

## Actions and Next Steps

*Describe what actions will be taken by the Reviewer and Policy Owner to implement the recommendation*. (*E.g.: A comprehensive review of the procedure will be undertaken within 6 months). Contact Enterprise Governance for assistance [**governance@enquire.uq.edu.au**].*

**This section is not mandatory. It is to guide review of the procedure and can be retained by the reviewer for future reference.**

| **ASSESSMENT CRITERIA**  | **Comments and notes** |
| --- | --- |
| **Purpose and Scope**  |
| The purpose of the procedure, what it seeks to achieve and to whom and what it applies is clearly stated. |  |
| The procedure’s purpose and scope is reasonably precise, and consistent with, but not unnecessarily duplicating, other procedures.  |  |
| The procedure is aligned with a parent policy. |  |
| **Process and Key Controls**  |
| Process and key controls in the procedure can be identified and are stated concisely and precisely. |  |
| The procedure includes an overview of the process and highlights the important controls and their location in the process. |  |
| The key controls are obvious and convincing; there is sufficient justification for them to be mandatory across UQ.  |  |
| **Key Requirements** |
| The procedure states the major activities and actions required, and is consistent with other sections (e.g. process and key controls).  |  |
| The key requirements are obvious and convincing; there is sufficient justification for them to be mandatory across UQ. |  |
| Actions, outputs and outcomes resulting from the key requirements are achievable and verifiable. |  |
| The procedure avoids unnecessary or cumbersome impositions on UQ. |  |
| **Roles, Responsibilities and Accountabilities**  |
| The responsibilities and accountabilities of the key roles affecting or affected by the procedure (those involved in the development, implementation and management of the procedure and the delivery of the outputs and outcomes) are clearly stated in simple, easy to understand terms and are action-oriented. |  |
| **Monitoring and Review** |
| It is clear what monitoring and review actions will be undertaken and by whom to:1. assess compliance with the procedure and to demonstrate/confirm its effectiveness;
2. identify, assess and promptly address any deficiencies; and
3. ensure ongoing relevance of the procedure.
 |  |
| **Records and Reports** |
| The procedure specifies how and where transactions, activities and results arising from its adoption will be recorded, as well as who is responsible for the integrity of the records and information.  |  |
| The procedure specifies what reports will be produced, by whom and for whom to demonstrate that the objectives and outcomes warranted by it are being achieved. |  |
| **Document Management and Appendix**  |
| Contents of the appendix are directly relevant to the procedure. |  |
| The procedure is in UQ’s approved procedure template and is written in plain, simple and easy to understand language. |  |
| Structure and content of the procedure sufficiently demonstrates its importance and makes a compelling case for its existence. |  |

1. H = High; M = Medium; L = Low [↑](#footnote-ref-1)