

**APPROVAL TO PROCEED CHECKLIST**

**Policy Cycle Stage 1**

***Complete this checklist and send to the relevant Approval Authority and the*** ***Policy Unit***

**Title of Policy Document(s)**

**Date the Policy Document(s) need to come into force** (*eg For Units with a teaching start date of Session 2; next financial year; ASAP)*

**Identify any Policy Document(s) or supporting documentation that may also need development or review as a result of this proposal and expected completion dates**

**Summarise the reasons why a new Policy Document or an amendment to an existing document is required**. [Refer to: *Attachment 1 When is a Policy document required?* and *Policy Cycle Stage 1 Tip Sheet*]

**Indicate who has already been consulted on this proposal (including committees)** (e.g. Committee Chairs; Policy Unit; the MQ Compliance Coordinator; etc.). [Refer to *Policy Cycle Stage 1 Tip Sheet*]

**Using the *Risk Rating Table* (Attachment 2), indicate the potential risk of not having this policy document or not undertaking the amendments.**

**Rating:**  Insignificant / Minor / Medium / Major / Severe

Add other relevant information on the nature of the risk:

[Refer to *Policy Cycle Tips Stage 1* and *Stage 2* to complete this section]

**Recommended Implementation Officer:**

**Recommended Policy Writer**:

**Recommended Policy Project Team:**

**Submitted by:**

Proposer Name:

Position:

Ext / Email:

**Approval to proceed:**

Approval Authority\* \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_

 Name Position Date

\* The Approval Authority/ies refers to the position/s authorised in the [Delegations of Authority Register](https://staff.mq.edu.au/work/strategy-planning-and-governance/university-policies-and-procedures/policies/delegations-of-authority) to approve Policy Documents in a particular functional area. Where the application of a Policy Document has a significant impact on more than one functional area, co-approvers may be required. If unsure of the appropriate Approval Authority/ies, please contact the Policy Unit.

Return to the Proposer Named above with a copy to Policy Unit

**ATTACHMENT 1: WHEN IS A POLICY DOCUMENT REQUIRED?**

University policy documents express principles, intent, values, and expectations to assist or direct decision-making and operations in the University.  They provide a connection between organisational strategy and frameworks, external legislation and standards, and day-to-day operations, to indicate how specific activity is expected to be undertaken.

Policy documents include policies, codes, schedules, procedures, and associated instructions and workflows. A policy document will be required when:

* **legislation (1) dictates that the University must have a policy and directs the specific stance that the University must adopt in relation to the matter/s.**

Example:

|  |  |  |
| --- | --- | --- |
| **Legislation** | **Required policies** | **Specific provisions that must be included** |
| Public Interest Disclosures Act 1994 (NSW) | Public authorities must have “an internal reporting policy and procedures in place for receiving, assessing and dealing with public interest disclosures.”  | “This policy must have regard to the NSW Ombudsman’s model policy and guidelines**.”** https://www.ombo.nsw.gov.au/what-we-do/our-work/public-interest-disclosures/information-for-agencies  |

* **legislation (1) dictates that the University must respond to a particular matter but leaves open the manner in which it is enacted/implemented. The University determines that it is appropriate to acknowledge the legislation by framing the University’s approach.**

Example:

|  |  |
| --- | --- |
| **Legislation** | **Examples of University response**  |
| Child Protection (Working with Children) Act (NSW) | Children at Macquarie Policy and [Procedure](http://www.mq.edu.au/policy/docs/children/procedure.html)  |
| Australian Qualifications Framework (AQF) standards | Recognition of Prior Learning Policy Senate Statement on Postgraduate Curriculum |
| Poisons and Therapeutic Goods [Act](http://www.austlii.edu.au/au/legis/nsw/consol_act/patga1966307/) 1966 (NSW) | Storage and Use of Drugs of Addiction used in Research Procedure |

* **the University resolves to make a binding statement to assist or direct actions and behaviours.**

Example:

|  |  |
| --- | --- |
| **Issue** | **Examples of University response** |
| Conduct | Code of Conduct for Students Academic Integrity Policy Acceptable Use Policy  |
| Environmental concerns | Sustainability Policy  |
| Learning Outcomes | Assessment Policy |

1. Legislation includes Acts, By-Laws, Regulations, determinations as well as Standards and Codes that are aligned with these.

**ATTACHMENT 2: RISK RATING [**Source: Risk Management Framework approved by the Audit and Risk Committee 21 November 2017]

|  |  |
| --- | --- |
| ***Risk Rating Table*** | **Consequence** |
| **Likelihood** | **Insignificant** | **Minor** | **Medium** | **Major** | **Severe** |
| Student disaffected; Authority notes concern; Minor course development or introduced postponed; Technical non-compliance; Loss of <10K Cost/loss able to consumed in the current budget; First aid incident; Minor reversible impact to low significance environmental location; Teaching facilities are unable to be occupied at the allocated time; Small no of users impacted by IT systems being temporarily unavailable | Authorities formally seek clarification; Student Groups register separate concerns; MQ student body media traffic; Localised social media traffic; Course development or introduced delayed; Regulator enquiry; Minor legal issues and, or breach of regulation; Financial loss of 50K -1M; Hospitalisation of person; Short term reversible impact on environment; Parts of a building within the Uni is unable to be occupied for > 1mth during teaching semester; IT Systems do not operate efficiently eroding performance | Authorities and Government register strong concerns / threaten investigation; State based media; Social media traffic (mainly spurious); Multiple Student Groups vocalise concerns; Prominent Academic resigns; Loss of external accreditation of course; Load sharing to support signature courses & or research; Research projects not progressed; New courses not developed or introduced; Ability to seek new research opportunities are limited; Regulator issues warning; Fine & legal costs or financial loss 1M to $15M; Serious personal injury / moderate irreversible disability /impairment; Significant localized impact to environment; One building within the Uni is unable to be occupied for > 1mth during teaching semester; IT Systems do not operate efficiently | Targeted enquiry / investigation by Authorities / Gov; Aust Wide press interest; Short term adverse social media traffic; Widespread disaffected Student Community; Faculty Dean or DVC resign; Loss of standing within the Research Funding Community; Suspension of/conditional Provider Status; Partial closure of Dept; Suspension of viable/signature course; Material breach of Research grants / conditions; Limitations on research opportunities; Regulatory sanction resulting in suspension of license & or conditions on accreditation; Fine & legal costs or financial loss $10 -50M; Single death & disability; Long term damage to the environment; >1 building within the Uni are unable to be occupied for >1mth during teaching semester; Temporary loss of >1 Faculty / Dept data | Total loss of confidence by Government/ Student Community/ Authorities/ Funding & Research Bodies; International media; Wide-spread prolonged adverse social media; VC and Key Executives resign; Closure of a viable or signature course; Planned research activity and growth not viable; Regulatory sanction resulting in loss of license / accreditation; Fine and legal costs or financial loss exceeding $50M; Multiple death and disability; Permanent damage to the environment; Uni grounds inaccessible for prolonged period (greater than 1mth during teaching semester); Wide scale loss of data |
| **5 Almost Certain** | **Moderate** | **High** | **High** | **Very High** | **Very High** |
| Expected (+90% chance) to occur in most circumstances; |
| **4 Likely** | **Moderate** | **Moderate** | **High** | **High** | **Very High** |
| Will probably occur (51 – 90% chance); More likely than not. |
| **3 Possible** | **Low** | **Moderate** | **Moderate** | **High** | **Very High** |
| Could occur (21 – 50% chance) |
| **2 Unlikely** | **Low** | **Moderate** | **Moderate** | **Moderate** | **High** |
| Remote chance (1 – 20% chance) of occurring |
| **1 Rare** | **Low** | **Low** | **Moderate** | **Moderate** | **High** |
| May occur in exceptional circumstances (<1% chance) |