

Stage	Summary	Outcomes
<b>Stage 1</b> Approval to Proceed	Research reasons for policy gap and identify good practice responses Locate existing MQ documents that will be impacted or that could be amended to address policy gap Identify any legislative or regulatory requirements Identify key stakeholders, Implementation officer, Policy Writer, Policy Project Team and draft consultation strategy Consult Policy Unit, Delegations of Authority <a href="#">Register</a> , MQ Compliance Coordinator Submit <a href="#">Approval to Proceed</a> Checklist to relevant <a href="#">Approval Authority</a> ... <a href="#">MORE INFORMATION</a>	Approval to Proceed Checklist endorsed
<b>Stage 2</b> Drafting and Writing	Implementation Officer to establish Policy Project Team, Policy Writer, Project Plan and Timeframe Write the document using templates and prepare flowchart for Procedures Develop consultation strategy Draft the Implementation and Communication Plan (refer Stage 6) Consider how to evaluate the effectiveness of the policy eg. how will “success” or compliance be measured? (refer Stage 7) ... <a href="#">MORE INFORMATION</a> on <a href="#">drafting</a> & <a href="#">writing</a> & flowchart <a href="#">key shapes</a>	Draft document(s) ready for wide consultation
<b>Stage 3</b> Consultation	Consult stakeholders on draft document to test: <ul style="list-style-type: none"> <li>• principles, responsibilities, actions</li> <li>• impact on business systems</li> <li>• risk and compliance</li> <li>• alignment with other documents and processes</li> <li>• implementation plans</li> <li>• procedural flowcharts.</li> </ul> Consolidate all relevant feedback and redraft document. Finalise Implementation and Communication Plan and the Evaluation Strategy Submit <a href="#">Document Approval</a> Checklist with draft document to <a href="#">Policy Unit</a> for Quality Assurance ... <a href="#">MORE INFORMATION</a>	Draft documents(s) ready for Approval Authority
<b>Stage 4</b> Document Approval	Draft reviewed by Policy Unit for compliance with Policy Framework Policy Any comments reconsidered by Implementation Officer <a href="#">Document Approval Checklist</a> and draft document(s) sent to relevant <a href="#">Approval Authority</a> for approval Policy document and evidence of approval submitted to Policy Unit for publication ... <a href="#">MORE INFORMATION</a>	Draft document(s) ready for Publication
<b>Stage 5</b> Publication	Document published on Policy Central Policy Unit announces new/ amended policy through Notice in This Week Policy Unit reports to Council / Executive on new and substantially revised policy documents ... <a href="#">MORE INFORMATION</a>	Implementation Plan starts
<b>Stage 6</b> Implement & Communicate	Implementation Officer enacts Implementation and Communication Plan Implementation Officer establishes ‘Issues Log’ to inform possible future changes ... <a href="#">MORE INFORMATION</a>	Gather Evaluation Information
<b>Stage 7</b> Evaluate & Review	Enact the Evaluation and Review Strategy Review the document prior to the set review date Return to Stage 1: <a href="#">Approval to Proceed</a> ... <a href="#">MORE INFORMATION</a>	Stage 1 begins

# Policy Cycle Tips: Approval Authorities

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## INTRODUCTION

**Policy Cycle:** **Stage 1: Approval to Proceed** – Approval Authority action required  
Stage 2: Drafting / Writing  
Stage 3: Consultation  
**Stage 4: Document Approval** – Approval Authority action required  
Stage 5: Publication  
Stage 6: Implementation and Communication  
Stage 7: Evaluation and Review

The following roles are defined in the Policy Framework [Policy](#):

**Approval Authority:** *the name of the position or committee that is responsible for approving a Policy Document in accordance with the Delegations of Authority [Register](#). The Approval Authority is ultimately responsible for subsequent compliance.*

**Implementation Officer:** *the name of the position that has operational responsibility for the promulgation and implementation of the Policy Document and generally the primary point of contact for any queries relating to the Policy Document. The Implementation Officer must be nominated and authorised by the Approval Authority.*

## ROLE OF APPROVAL AUTHORITY

Stage 1: Give approval to proceed with drafting to create new or substantially amended policy documents

Stage 4: Approve the policy document after it has been through the drafting and consultation stages, and confirm that it can be published on Policy Central.

Ensure that the University Community complies with the policy document.

## ACTIONS REQUIRED OF APPROVAL AUTHORITIES

### Stage 1: Approval to Proceed

If initial research into the reasons for a policy gap provides evidence that a new policy document is needed or substantial amendments need to be made to an existing document, the Approval Authority must give approval to proceed before any drafting begins.

The Approval Authority can expect to receive a completed *Approval to Proceed Checklist* for endorsement. The [Approval to Proceed Checklist](#) includes information on:

- the reason/s for the policy gap
- the benchmarking, research and consultation already undertaken

- other documents that may need to be developed or amended as a result of the new or amended policy document, and
- the proposed Implementation Officer, Policy Writer, and Project team members.

### **ACTION STEP**

Consider the information provided in the *Approval to Proceed Checklist* and determine whether:

- to proceed with the drafting
- the Implementation Officer nominated is appropriate
- a Policy Writer can be allocated to the Project Team
- the Policy Unit has been consulted.

Endorse the *Approval to Proceed Checklist* accordingly.

### **Stage 4: Document Approval**

Once the new or amended document has undergone drafting, wide consultation and quality assurance by the Policy Unit, the Approval Authority must give approval for it to be published on Policy Central.

The Approval Authority can expect to receive the following for endorsement:

- a completed [Document Approval Checklist](#)
- the draft documents.

### **ACTION STEP**

#### **The Approval Authority will:**

- consider the draft or amended document and the information provided in the *Document Approval Checklist* and be satisfied that:
  - the document has undergone the necessary process of consultation
  - that the *Implementation and Communication Plan* is adequate
  - that responsibilities are understood
  - that all related issues, including other documents needing revision, have been addressed, and
  - that the document addresses the reasons for the policy gap.
- approve the document as ready for publication using the *Document Approval Checklist*
- return the approved policy document and the Document Approval Checklist to the Implementation Officer for subsequent publication.

# Policy Cycle Tips Stage 1

## Approval to Proceed

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### INTRODUCTION

The Policy Unit is available to guide stakeholders throughout the policy cycle.

#### **Policy Cycle: Stage 1: Approval to Proceed**

Stage 2: Drafting / Writing

Stage 3: Consultation

Stage 4: Document Approval

Stage 5: Publication

Stage 6: Implementation and Communication

Stage 7: Evaluation and Review

Before any drafting or redrafting of a policy document begins, approval to proceed must be obtained from the relevant Approval Authority, as set out in the Delegations of Authority Register, using the Approval to Proceed Checklist.

### IDENTIFY REASONS FOR POLICY GAP OR AMENDMENTS REQUIRED

Changes may have been made to:

- Federal or state legislation, regulations, standards or codes
- Macquarie University governance instruments (By-laws, Rules, Codes, Policy Documents)
- TEQSA Threshold Standards, Higher Education Standards Framework. AQF, NHMRC Regulations, ARC Standards etc.
- Macquarie University's strategic direction, priorities, or structure of the University or of a major functional area
- Macquarie University risk ratings
- Macquarie University business systems.

Issues may have arisen through feedback from:

- committees, faculties, offices, executives
- implementation or evaluation processes.

The Policy Document may soon be due for review.

### RESEARCH GOOD PRACTICE RESPONSES

Undertake benchmarking across the higher education sector ([Universities Australia](https://www.universitiesaustralia.edu.au/)) and other relevant industries to identify good practice responses that could also be appropriate for Macquarie University.

Refer to existing University governance instruments that may already be partly addressing the policy gap and that could / will need to be modified or consolidated to address the issue:

- [Policy Central](#)
- [Calendar](#) of Governance, Legislation and Rules
- [Functional area webpages](#)
- [Academic Senate](#)
- Governance Services
- MQ Compliance and Risk Network.

Contact the Policy Unit [policy@mq.edu.au](mailto:policy@mq.edu.au) to discuss further options.

## CONSULT KEY STAKEHOLDERS

Key stakeholders can be drawn from:

- Staff who may already be handling the issue or who will need to handle it. This group is important so that the Implementation Officer can better understand how the issue is currently being addressed at Macquarie as each Faculty / Office may be approaching the matter in a different way. This group could form the targeted 'stakeholders' for future consultation, or 'content experts' for drafting / redrafting of the document(s), or 'policy writer' when convening a policy project team.
- Delegations of Authority [Register](#) to ascertain the Senior Executive responsible for approving policy documents within the functional area. Members of the Executive (and Senior Managers) are key stakeholders in policy, and can provide valuable guidance and feedback as drafts are developed, since they are ultimately responsible for policy compliance. They also tend to have considerable experience and access to more streams of information within and outside the institution.
- MQ Compliance Coordinator for guidance on risk ratings and compliance matters that need to be embedded into the process and the document.
- [Policy Unit](#) to determine whether the issue overlaps with other documents already under development, to confirm the appropriate Approval Authority and to understand the document development process.

## NEXT STEP

**If the above analysis provides evidence that a new policy document is needed or substantial amendments need to be made to an existing document:**

Complete the [Approval to Proceed](#) Checklist, which includes information on:

- the reason/s for the policy gap
- the benchmarking, research and consultation already undertaken
- other documents that may need to be developed or amended as a result of the new or amended policy document, and
- the proposed Implementation Officer, Policy Writer, and Project team members.

Submit the *Approval to Proceed Checklist* to the relevant Approval Authority/ies **before** any drafting of the new / revised document commences.

# Policy Cycle Tips Stage 2

## Drafting Policy Documents

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### INTRODUCTION

**Policy Cycle:** Stage 1: Approval to Proceed

**Stage 2: Drafting / Writing**

Stage 3: Consultation

Stage 4: Document Approval

Stage 5: Publication

Stage 6: Implementation and Communication

Stage 7: Evaluation and Review

Once the [Approval to Proceed Checklist](#) has been endorsed by the relevant Approval Authority and an Implementation Officer has been nominated by that Approval Authority, drafting or redrafting of the policy document can commence.

### IMPLEMENTATION OFFICER

The Implementation Officer is to:

1. establish a **Policy Project Team** so that different appropriate perspectives can be considered in the drafting. The Team can be drawn from:
  - relevant stakeholders or content experts who may be implementing the policy document in their functional areas
  - coordinators of the business systems that will be relevant to manage the information (e.g. Tracker, AMIS, HRIS, TRUTH, TRIM, IRIS)
  - if an Academic or Research policy document, the Academic Senate or its Committees.
2. identify a **Policy Writer** to do the actual writing and recording of the views, ideas and opinions of the Policy Project Team and feedback from consultation, and progress drafts through the Policy Cycle and approval processes. The Policy Writer could be a member of the Policy Project Team who is located in either the section of the University with expertise in the subject area or the area that will be responsible for compliance and implementation of the policy document. The Implementation Officer might also be the Policy Writer.
3. advise Policy Unit that a Policy document is under development or under review and seek relevant assistance throughout the process.

### BENCHMARKING, RESEARCH AND ANALYSIS

The Implementation Officer and/or Policy Writer is to:

- review the information in the completed *Approval To Proceed Checklist* and the outcome of the benchmarking exercise undertaken in Stage 1

- locate and review any legislative or regulatory requirements or associated [University Governance](#) instruments or [policies](#) that impact on or inform the new or amended policy document
- analyse and assess whether the intent of the new or amended policy document will be consistent with that regulatory framework and the University's current strategic objectives and priorities (e.g. cost-benefit analysis, risk assessment, exploration of theoretical scenarios, literature review, seeking expert advice)
- consider who, how and when consultation will occur on the various drafts and what feedback will be sought. Ensure the dates of appropriate committee meetings (e.g. Academic Senate, University Council) are identified so that timeframes for consultation can be set
- consider how and when the policy document will be implemented and by whom. There is no point writing a policy document that cannot be implemented, and
- consider how to evaluate the effectiveness of the policy document and when and how compliance will be evaluated (refer also *Policy Cycle Tips Stage 7 - [Evaluation and Review](#)*). This will assist in deciding when the document should next be reviewed and what format the review will take.

## WRITING POLICY DOCUMENTS

An initial draft of a policy document is written by the designated Policy Writer. Amending an existing policy document is initiated by obtaining the most recent word-version from the [Policy Unit](#).

Structure, content and language used in each policy document needs to be consistent with current [templates](#), the University's Style Guide, the University [Glossary](#) and other [University governance instruments](#).

The language used in policies is quite different to the language used in procedures, schedules and other supporting material. This is to avoid ambiguity. If you are writing

- policies - include *WHAT* the principle is, *WHEN* it applies and *WHO* it covers
- procedures - begin with a flowchart. If required, procedures may also include text describing the *ACTIONS* needed to achieve the necessary results and the *POSITION TITLE* of who is responsible for taking those actions
- schedules - structure the information into a table if possible (eg criteria for promotion).

See also *Policy Cycle Tips Stage 2- [Writing Policy Documents](#)*.

## IMPLEMENTATION AND COMMUNICATION PLAN

Start to consider how the new or revised document is to be implemented and communicated across the University. Draft the [Implementation and Communication Plan](#). This will need to be submitted with the policy document for final approval (Stage 4).

## NEXT STEP

Ensure that the draft document receives wide consultation. See *Policy Cycle Tips Stage 3 - [Consultation](#)*.



# Policy Cycle Tips Stage 2

## Writing Policy Documents

An initial draft of a policy document is written by the designated Policy Writer. Amending an existing policy document is initiated by obtaining the most recent word-version from the [Policy Unit](#).

Content	
Brainstorm	<ul style="list-style-type: none"> <li>• write down detailed information, and then progressively sort this text into a logical order</li> <li>• develop a rough draft of key points (headings or themes) for possible inclusion in the document. Certain legislation, regulations or codes may specify issues that are required to be included in the policy document. These key points and issues can be discussed in consultation workshops.</li> <li>• work through the key points and determine in detail, the policy principles which fit under each key point or theme. Start with the phrase 'the institution will ...' as a prompt.</li> </ul>
Write early and often	<ul style="list-style-type: none"> <li>• write as you would normally, then edit to remove unnecessary and informal words, phrases or information that does not add value to the policy document.</li> </ul>
Structure	
Keep the structure simple by using:	<ul style="list-style-type: none"> <li>• gender-neutral language - use "their" instead of "he/she"</li> <li>• short sentences (maximum of 15 words) by removing words that don't add meaning</li> <li>• short paragraphs (maximum of 100 words for policies; maximum 40 words for procedures)</li> <li>• lists – this makes documents easier to read, and encourages short sentences</li> <li>• consistency - repetition of familiar words increases comprehension.</li> </ul>
Ensure long-term document currency by:	<ul style="list-style-type: none"> <li>• avoiding use of information that is quickly outdated and that therefore requires regular amendment (eg use departmental names and generic phone numbers rather than specific names or contact details)</li> <li>• providing links to generic web pages rather than specific web pages. <i>For example, refer to "Student Administration Forms" rather than the specific url for the form; refer to "Enterprise Agreement" rather than a specific clause.</i></li> </ul>
Titles	
Name a policy document to reflect content and for logical location	<p>Policy documents are listed alphabetically (and by category) on Policy Central, so the first letter of the first word is critical for easy searching. Ensure that the title:</p> <ul style="list-style-type: none"> <li>○ accurately reflects the content of the policy or procedure</li> <li>○ does not start with words such as 'the', 'that' or 'a'</li> <li>○ is succinct</li> <li>○ of related documents have similar titles, and</li> <li>○ avoids using generic first words such as 'University', 'Policy', 'Code' or 'Procedure'.</li> </ul>



Language	
<p>Write in plain English</p> <p>Be concise, succinct and explicit</p>	<ul style="list-style-type: none"> <li>• use common words such as ‘often’ instead of ‘in most cases’: ‘before’ instead of ‘prior to’: ‘because’ instead of ‘due to the fact that’; ‘use’ instead of ‘utilise’</li> <li>• rather than ‘<i>Submit the appropriate form</i>’ say ‘<i>Submit the Withdrawal from Program form</i>’</li> <li>• if a decision or action is: <ul style="list-style-type: none"> <li>○ <i>mandatory</i>, then use ‘must’ or ‘will’ or ‘is required’</li> <li>○ <i>recommended</i> or valid reasons to deviate from the requirement exist in particular circumstances, then use ‘should’</li> <li>○ <i>permissive</i>, then use ‘may’.</li> </ul> </li> <li>• avoid the word ‘shall’ unless there is a legislative requirement that prescribes its use. This word causes confusion between whether an action is <i>mandatory</i> or <i>recommended</i></li> <li>• use short words (one or two syllables)</li> <li>• use active, rather than passive language</li> <li>• write as you would speak, editing out informal words or phrases</li> <li>• avoid the use of jargon, unnecessary technical expressions, and fancy vocabulary.</li> </ul>
<p>Be consistent with the use of terms and context</p>	<ul style="list-style-type: none"> <li>• refer to the University <a href="#">Glossary</a> for key acronyms, abbreviations, terminology and definitions in use at the University</li> <li>• do not use acronyms without first using the full title/term before using the acronym</li> <li>• follow the University’s Style Guide.</li> </ul>
<p>Policies (refer Policy <a href="#">Template</a>)</p>	<ul style="list-style-type: none"> <li>• express intent, aspirations and expectations and can articulate specific requirements to assist or direct decision-making</li> <li>• are usually expressed in standard sentence and paragraph format.</li> </ul> <p>When writing a policy:</p> <ul style="list-style-type: none"> <li>• start sentences with the phrase ‘the institution will ...’ as a prompt</li> <li>• establish and describe ‘what will be done’ rather than ‘what will not be done’</li> <li>• include what the intent, aspirations or expectations are, when they apply and to whom they apply.</li> </ul>
<p>Procedures (refer Procedure Template, Flowchart <a href="#">Template</a> (VISIO) Flowchart Template (PDF) / Key Shapes)</p>	<ul style="list-style-type: none"> <li>• describe the actions undertaken to achieve the policy intent</li> <li>• identify the position title of the person responsible for undertaking each action</li> </ul> <p>When writing a Procedure:</p> <ul style="list-style-type: none"> <li>• include a workflow (flowchart) showing the actions needed/ position title of the person responsible for completing those actions.</li> <li>• if necessary, supplement with further Instructions to describe the required actions. Start with an action verb e.g. ‘Submit completed form to Academic Unit; rather than ‘The student should complete the form and then submit it to the Academic Unit’.</li> <li>• avoid too much detail and link to other detailed work instructions as appropriate</li> <li>• Include related documents, forms, work instructions etc in the ‘Key Related Documents’ section.</li> </ul>
<p>Schedules (refer Schedule <a href="#">Template</a>)</p>	<p>Structure the information into a table where possible (eg criteria for promotion).</p>

# Policy Cycle Tips Stage 3

## Consultation

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### INTRODUCTION

**Policy Cycle:** Stage 1: Approval to Proceed  
Stage 2: Drafting / Writing  
**Stage 3: Consultation**  
Stage 4: Document Approval  
Stage 5: Publication  
Stage 6: Implementation and Communication  
Stage 7: Evaluation and Review

Consultation is a key to successful policy development. During consultation, content experts and frontline staff input their knowledge from an operational perspective, business systems experts can streamline the procedure and senior Executives can input their strategic overview. Inadequate consultation can result in poor policy that cannot be effectively implemented, or in deliberate or inadvertent non-compliance.

### BENEFITS OF CONSULTATION

- Policy documents will be aligned as far as possible with strategic direction, legislative / regulatory requirements, operational practicalities and existing business systems
- Approval is likely to proceed more smoothly if the Policy Writer / Implementation Officer can demonstrate that there has been thorough consultation and that operational matters have been identified and addressed.
- Engagement with policy generally and respect for policy in the institution will be increased.

### CONSULTATION ESSENTIALS

- a consultation strategy showing the degree of consultation that is appropriate and the intended outcome of the consultation, given that some policy issues require more consultation and engagement than others
- include a wide variety of key contacts, interest groups, student representatives, business system coordinators, content experts, senior executive and advisory committees, representatives from committees that have a role in approving them, policy communities
- provide a variety of methods to gather comments and concerns
- acknowledge the non-negotiables in the consultation process: be honest with participants about what they can and cannot influence
- do not let the consultation process be side-tracked or hijacked by personal agendas or irrelevant responses
- provide feedback to stakeholders on how their comments have been addressed
- distribute documents in advance to allow people to share information with colleagues and managers
- provide a reasonable period of consultation, generally of no less than 20 working days

- maintain good record management procedures to record input and responses and the decision-making processes
- report back to the delegated approval authority or committee on the consultation

### CONSULTATION METHODS

- surveys, focus groups, special interest networks (eg students with disabilities, Policy Network)
- a dedicated web page or wiki
- through the committee processes
- videoconference, teleconference, skype
- the Academic Staff Implementation Committee (ASIC) and the Professional Staff Implementation Committee (PSIC) in relation to the development, establishment, variation, or revocation of any employment related policy, procedure, guideline, or code of the University whether or not referred to in the respective Enterprise Agreements

### NEXT STEPS

When the Policy Project Team has completed wide consultation on the drafted document and incorporated relevant feedback:

1. finalise the [Implementation and Communication Plan](#) ensuring that it:
  - Identifies all issues that need to be addressed for an effective implementation
  - identifies tasks and timelines to be completed to address each of those issues
  - assigns responsibility to position titles or groups for those tasks
  - identifies resources needed to implement the policy document
2. complete the [Document Approval Checklist](#) and submit it together with the drafted document(s) to [Policy@mq.edu.au](mailto:Policy@mq.edu.au) to ensure alignment with the Policy Framework Policy.

# Policy Cycle Tips Stage 4

## Document Approval

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### INTRODUCTION

- Policy Cycle:** Stage 1: Approval to Proceed  
Stage 2: Drafting / Writing  
Stage 3: Consultation  
**Stage 4: Document Approval**  
Stage 5: Publication  
Stage 6: Implementation and Communication  
Stage 7: Evaluation and Review

Following drafting and consultation, the policy document must be submitted, with a completed [Document Approval Checklist](#), to the Policy Unit for quality assurance. It will then be ready for approval by the relevant Approval Authority.

### QUALITY ASSURANCE

#### The Policy Unit will:

- proofread and edit the draft for compliance with the Policy Framework Policy and alignment with language in other University governance documents
- ensure that relevant consultation has occurred
- ensure that the Implementation and Communication Plan has been developed
- manage version controls and web-publishing compliance matters
- return the document to the Implementation Officer to clarify any questions, for subsequent submission to the Approval Authority.

### DOCUMENT APPROVAL

#### The Approval Authority will:

- consider the draft or amended document and the information provided in the *Document Approval Checklist* and be satisfied that:
  - the document has undergone the necessary process of consultation
  - that the *Implementation and Communication Plan* is adequate
  - that responsibilities are understood
  - that all related issues, including other documents needing revision, have been addressed, and
  - that the document addresses the reasons for the policy gap.
- approve the document as ready for publication using the *Document Approval Checklist*
- return the approved policy document and the Document Approval Checklist to the Implementation Officer for subsequent publication.

#### The Implementation Officer will:

- forward the completed *Document Approval Checklist*, the final approved document, and evidence of approval to the Policy Unit [policy@mq.edu.au](mailto:policy@mq.edu.au) for publication on Policy Central.

### NEXT STEP

The Policy Unit will publish the document ([Tip Stage 5](#)) and the Implementation Officer will enact the *Implementation and Communication Plan* ([Tip Stage 6](#)).



# Policy Cycle Tips Stage 5

## Publication

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### INTRODUCTION

**Policy Cycle:** Stage 1: Approval to Proceed  
Stage 2: Drafting / Writing  
Stage 3: Consultation  
Stage 4: Document Approval  
**Stage 5: Publication**  
Stage 6: Implementation and Communication  
Stage 7: Evaluation and Review

Now that the document has been quality assured by the Policy Unit and approved by the Approval Authority, it is ready for publication on Policy Central.

### POLICY CENTRAL

Policy Central is the single source for all approved University policy documents. Documents on Policy Central take precedence over any documents on any other University website.

Only the Policy Unit can publish a document or make amendments to any information on Policy Central.

Supporting materials for policy documents, such as guidelines, protocols, operating manuals, toolkits, forms, are best published on the web pages of the appropriate area, but they must be linked from the documents on Policy Central.

### NEXT STEP

The Policy Unit will advise the Implementation Officer when the document is 'live' so that the Implementation Officer can enact the [\*Implementation and Communication Plan\*](#).





# Policy Cycle Tips Stage 6

## Implementation and Communication

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### INTRODUCTION

**Policy Cycle:** Stage 1: Approval to Proceed  
Stage 2: Drafting / Writing  
Stage 3: Consultation  
Stage 4: Document Approval  
Stage 5: Publication  
**Stage 6: Implementation and Communication**  
Stage 7: Evaluation and Review

Now that the policy document has been published, implementation activities need to commence. These need to have been considered at the drafting stage, and finalised before the policy document is approved. If a document cannot be implemented there is no point in writing it.

### IDENTIFY IMPLEMENTATION AND COMMUNICATION ISSUES

Use the Implementation and Communication [template](#) to identify:

- IT business system constraints or required changes
- methods of dissemination and communication (electronic, face-to-face, committee)
- administrative changes (who, when, how)
- measures to support ongoing enforcement of the policy document
- resources needed for implementation
- training, induction, briefings (who, when, how)
- monitoring, measuring and reporting on implementation and effectiveness of policy document.

### ACTION TO ADDRESS THESE ISSUES

- Identify Action Steps that will need to be taken to address the relevant implementation and communication issues.

### ALLOCATE RESPONSIBILITY

- Identify the position title of the person who is responsible for each action step.

### TIMEFRAME

- Identify a timeframe or deadline for completing each action step.

### NEXT STEPS

- Enact the Implementation and Communication Plan.
- Maintain a Log of issues that are identified with implementation using the 'Issues Log' [template](#).



# Policy Cycle Tips Stage 7

## Evaluation and Review

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### INTRODUCTION

**Policy Cycle:** Stage 1: Approval to Proceed  
Stage 2: Drafting / Writing  
Stage 3: Consultation  
Stage 4: Document Approval  
Stage 5: Publication  
Stage 6: Implementation and Communication  
**Stage 7: Evaluation and Review**

The Log of issues established during Stage 6 - [Implementation and Communication](#) can be used to inform evaluation and review.

### EVALUATION

The Implementation Officer will:

- Evaluate how effective the policy has been in terms of:
  - the original reasons the document was introduced (refer to the reasons provided at Stage 1 in the *Approval to Proceed Checklist*)
  - a control to mitigate against risk/s (refer to the risks identified at Stage 1 in the *Approval to Proceed checklist*).
  - deviations between the policy and actual practice; “take-up” rates; ease of application (refer also to the outcomes that were identified as being required in the *Implementation and Communication Plan*).
- review the document to address concerns
- report to the relevant Approval Authority on recommended changes.

### REVIEW

**The Policy Framework requires that:**

- policy documents undergo at least a regular three year review, and
- amendments to existing policy documents are subject to the same quality assurance process as for new policy documents.

### Initiate Review

Review of a policy document can be initiated by:

- an Implementation Officer
- a staff member through the Implementation Officer
- an Approval Authority
- an MQ Compliance Network Lead
- the Office of General Counsel
- the Policy Unit.

## Timing of Review

A review can happen at any time that circumstances require. The Implementation Officer will:

- conduct the review
- determine whether the implemented policy or procedure:
  - is operating as designed
  - is still needed
  - requires amendment based on changed practice
  - requires amendment to align with changed legislative requirements, or other policy documents, or changed business systems or strategic direction.

## Review Methods

The review of a policy document will require at least one of the following actions as appropriate for the type of document being reviewed or the scope of changes likely to be required:

- desk-top review
- consultation with stakeholders
- spot-check
- sampling of data
- checklist of questions
- consultation with the people who perform procedural tasks
- internal audit
- external audit.

Note that when a Policy is reviewed, it is appropriate to review any associated Procedure, Schedule or Supporting Material at the same time. Note also that a reviewed document will require re-approval by the relevant Approval Authority.

## NEXT STEP

If amendments are required, or a policy gap is identified, return to *Policy Cycle Tips Stage 1 -Approval to Proceed*.