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| **TEMPLATE POLICY AND PROCEDURE POLICY AND PROCEDURE** |

**CONTENTS**

[1 PURPOSE 1](#_Toc455685104)

[2 SCOPE 1](#_Toc455685105)

[3 POLICY STATEMENT 1](#_Toc455685106)

[<Sub-headings are not numbered> 2](#_Toc455685107)

[4 PROCEDURE 2](#_Toc455685108)

[<Sub-headings are not numbered> 2](#_Toc455685109)

[5 RESPONSIBILITIES 2](#_Toc455685110)

[Compliance, monitoring and review 2](#_Toc455685111)

[Reporting 2](#_Toc455685112)

[Records management 3](#_Toc455685113)

[6 DEFINITIONS 3](#_Toc455685114)

[Terms and definitions <delete if not required> 3](#_Toc455685115)

[7 RELATED LEGISLATION AND DOCUMENTS 3](#_Toc455685116)

[8 FEEDBACK 3](#_Toc455685117)

[9 APPROVAL AND REVIEW DETAILS 3](#_Toc455685118)

[10 APPENDIX <or APPENDICES> <delete if not required> 4](#_Toc455685119)

**IMPORTANT NOTES**

This **Policy and Procedure Template with Instructions** describes what information to include in each section and how to write it – see the [policy writing instructions](#PolicyWritingInstructions) at the end of this document. USE THIS AS A REFERENCE TOOL, and write your policy in the **Blank Policy and Procedure Template** **(with formatting)** so that it is in the approved format. Both templates are on the Policy Portal.

To identify what template to use (e.g. a policy and procedure combined, a standalone policy, a standalone procedure, or a guideline), refer to the [Policy Document Development and Review Procedure](http://policy.cqu.edu.au/Policy/policy_list.do).

If experienced, use the automated contents table and auto-number the paragraphs; otherwise, number the paragraphs manually and the Policy Portal Administrator will update the contents table. Contact the Policy Portal  
Administrator ([policy@cqu.edu.au](mailto:policy@cqu.edu.au)) with any questions about using this template.

# PURPOSE

* 1. Include brief statement/s about the overall purpose of the policy, i.e. what outcome/s is the policy intended to achieve? E.g. This policy and procedure establishes an effective, accountable and transparent framework for managing CQUniversity’s investments and ensures compliance with the *Statutory Bodies Financial Arrangement Act 1982*.

# SCOPE

* 1. Include brief statement/s that identify to whom (e.g. specific groups of people) and to which parts of the University the policy applies. Specify exclusions to clarify scope if needed.

# POLICY STATEMENT

* 1. Policy statements are about identifying the broad principles/standards of expected action/behaviour and/or compliance, i.e. setting the ‘rules’ or ‘framework’ within which decisions are made on a particular matter. For example, policy statements address **what** is the standard, while procedures address **how** the standard is implemented.
  2. Identify key topics to be covered in this policy and group common/related topics together under relevant headings. Order the information into a clear, logical structure of headings and numbered paragraphs/statements. Sorting the information logically, choosing the ‘right’ headings/sub-headings, and using simple paragraph numbering assists readers to read, understand and find relevant sections in the document.
  3. If visual representation is essential to enable readers to understand this document, simple diagram/s may be included in the policy statement; otherwise include diagrams in an appendix.

## <Sub-headings are not numbered>

* 1. [Include brief, numbered statement/s]

### <Sub-sub-headings are not numbered; only use if absolutely necessary>

* + 1. [Include brief, numbered statement/s]

# PROCEDURE

* 1. Include brief statements about the process or steps to be followed to implement the policy and identify the positions and their specific responsibilities for these processes or steps. Grouping related procedures under well named sub-headings aids readability and referencing.
  2. The procedure may refer to related instructions, such as templates and forms, and/or include appendices with simple visual aids, such as diagrams or flowcharts. The procedure may also refer to other documents such as discretionary best practice advice (i.e. guidelines). Where related documents exist, include links to these documents and list them in the Related Legislation and Documents section.

## <Sub-headings are not numbered>

* 1. [Include brief, numbered statement/s]

### <Sub-sub-headings are not numbered; only use if absolutely necessary>

* + 1. [Include brief, numbered statement/s]

# RESPONSIBILITIES

## Compliance, monitoring and review

* 1. [Include brief statement/s identifying actions/responsibilities and the position/s responsible for ensuring the policy and procedure:
* aligns with relevant legislation, government policy and/or CQUniversity requirements/strategies/values
* is implemented and monitored (i.e. the policy and procedure is followed, reflects the changing policy environment, and emerging issues are identified, and
* is reviewed to evaluate its continuing effectiveness (e.g. achieving its purpose, remains relevant/current.
  1. Any references in this document to positions and their authority (or delegated authority) to make decisions on specific matters must align with the University’s Delegation of Authority Policy (FMPM).

## Reporting

* 1. No additional reporting is required or replace this statement with details of any required reporting.
  2. Include brief, numbered statement/s identifying reporting requirements and the position/s responsible for reporting, if any. Policies and procedures involving high-risk operations may require specific and/or regular reporting to university individuals or committees or to external regulatory organisations.

## Records management

* 1. Staff must maintain all records relevant to administering this policy and procedure in a recognised University recordkeeping system. [or replace this standard statement with another if it conflicts with specific recordkeeping requirements]
  2. If additional records management requirements are needed, add numbered brief statement/s identifying these requirements and the position/s responsible for records management.

# DEFINITIONS

* 1. Terms not defined in this document may be in the University [glossary](https://www.cqu.edu.au/about-us/structure/governance/glossary).

## Terms and definitions <delete if not required>

**<Term:>** <Definition> [Add terms and definitions if required and list in alphabetical order, otherwise delete]

**<Next Term:>** <Definition> [Add terms and definitions if required and list in alphabetical order, otherwise delete]

The University glossary is the official website repository for approved terms and definitions. Terms and definitions in a policy and procedure must be consistent with those in the glossary to maintain alignment between the glossary and this document, other University policies, websites and publications.

Include key terms and definitions in this document if they align with the glossary and their inclusion provides an essential easy reference for readers. If new terms and definitions are required for this document (and inclusion in the glossary, submit requests for their creation when seeking approval for this policy and procedure. The same term may legitimately require more than one definition, but this is the exception.

# Related legislation and documents

In alphabetical order, list the empowering and related legislative documents (e.g. acts, regulations, standards), government policy, and related University policies, procedures, forms, templates, guidelines or committee terms of reference that together form a suite or framework for a specific policy matter. These authoritative references enable readers to understand the policy, procedure and its context.

[When listing legislation, regulations and/or government policy in this section, also include their jurisdiction as this may not be clear from the title. Do not use italics in this section.]

**Example listing:**

Bad Debts Procedure

Corporations Act 2001 (Cwlth)

[Delegations of Authority Policy (FMPM)](http://policy.cqu.edu.au/Policy/policy_list.do)

Financial Accountability Act 2009 (Qld)

Investments Policy and Procedure

Queensland Government Treasury Guidelines

Refund Request Form

# Feedback

* 1. University staff and students may provide feedback about this document by emailing abc@cqu.edu.au.

# Approval and review details

| **Approval and Review** | **Details** |
| --- | --- |
| Approval Authority | Add the relevant approval authority, i.e. Council, Academic Board or Vice-Chancellor and President |
| Advisory Committee to Approval Authority | Add the relevant advisory committee, e.g. Learning and Teaching Committee |
| Administrator | Add the title of position/s with overall responsibility for compliance, monitoring and review |
| Next Review Date | [DD/MM/YYYY – Policy Portal Administrator updates this information] |
|  |  |
| Original Approval Authority and Date | Add the relevant approval authority DD/MM/YYYY |
| Amendment Authority and Date | Add the previous approval authorities and amendment dates as Name DD/MM/YYYY; Name DD/MM/YYYY.> [Policy Portal Administrator adds the latest amendment information] |
| Notes | If relevant, add notes to alert readers about the document/s this one replaces, e.g. This document consolidates and replaces X Policy, Y Procedure and Z Procedure. |

# APPENDIX <or APPENDICES> <delete if not required>

[If diagram/s, including flowcharts, will help readers to understand the policy and procedure, include these in the appendix, but keep them simple.]

**POLICY WRITING INSTRUCTIONS**

**Choosing the right template**

* If a policy covers, or is intended to cover, related subject matter in a procedure, use the Policy and Procedure Template (e.g. Awards Policy and Procedure). Combining a policy and the related procedure/s is the University’s preference, as it offers easy access to the policy matter as a whole. As a single point of reference, it encourages a comprehensive approach when read and reviewed.
* Use the Policy Template as a standalone policy if there is no related procedure, or if separating a policy and related procedure will improve readability, e.g. multiple related procedures, or the issues are complex and the scope refers to multiple groups. Separating a parent policy from its related procedure/s is the exception.

**Aligning legislation and policy documents**

* Policy must align with relevant legislative, regulatory or organisational requirements such as a strategic priority or goal, or operational necessity. Policies refer to legislation and government policies, but do not duplicate their content.
* Procedures, committee terms of reference and instructions (such as forms and templates) related to policies must also align. Any changes in one document must also be made to related documents.

**Choosing the right language**

* University staff and students come from diverse backgrounds and rely on policy documents for essential information, so it’s important to write clearly, concisely and simply. To help you achieve this, write with the reader in mind and follow these tips:
* use short, easy-to-read sentences in plain English to express each principle, action, or idea
* use language that is positive and inclusive, e.g. gender-neutral (‘their’ not ‘he’ or ‘she’), gender-inclusive (e.g. chair not chairman)
* use active voice rather than passive voice
* use terminology consistently (i.e. consistent across the document and with the University glossary)
* use words that are clear about what is mandatory (e.g. must, will) and what is discretionary (e.g. may)
* use commonly understood language rather than jargon, which requires specialist knowledge
* remove redundant words (e.g. ‘now’ instead of ‘at this point in time’; ‘to’ instead of ‘in order to’)
* explain in full what acronyms mean when using them, and
* use generic contact details (e.g. [policy@cqu.edu.au](mailto:policy@cqu.edu.au)) rather than specific details that date quickly.
* Refer to CQUniversity’s [Use of Inclusive Language Guideline](http://policy.cqu.edu.au/Policy/policy_list.do) for examples of inclusive writing.
* Refer to CQUniversity’s [Writing Style Guideline](http://policy.cqu.edu.au/Policy/policy_list.do) to help you write consistently using the University’s writing style.

**Writing in active voice**

* Writing in active voice gives the reader a sense of action, identifies who or what is taking action, is more direct and often requires fewer words than writing in passive voice. Some examples are below.

|  |  |
| --- | --- |
| **Active voice** | **Passive voice** |
| The student must submit an application. | An application must be submitted by the student. |
| The Exams Officer retains student exam records. | Records of a student’s exams are to be retained. |
| Staff are responsible for implementing this policy. | Implementing this policy is the responsibly of staff. |
| Y must consider X. | Due consideration needs to be given to X by Y |

**Referring to legislation**

* When first mentioned in the document, the full title of legislation is in italics (*Financial Accountability Act 2009*), but not when used subsequently and shortened, e.g. ‘the Financial Accountability Act’ or ‘the Act’.
* Subordinate legislation, such as standards and regulations, and government or other policies are not italicised, e.g. Financial and Performance Management Standard 2009.

**Using hyperlinks**

* Hyperlinks are helpful for finding information quickly, but their tendency to break is frustrating, especially when a message says ‘page not found’ and there is no redirection information given. Internal links (links to other sections in the same document) don’t work or can break when the document is modified and links aren’t checked to ensure they are ‘active’.
* To minimise these problems when using hyperlinks, apply these rules.

|  |  |
| --- | --- |
| CQUniversity policy documents | Name the document and link to the IMPortal homepage, not to the specific document |
| CQUniversity webpages | Describe the information or name the document and link to the relevant webpage, not to specific documents |
| External organisation webpages | Describe the information or name the document and link to the organisation’s homepage |
| Legislative documents | Name the document and link to the Australian or State legislation website homepage, whichever is relevant |
| Other sections in the same document | Check all links are working before saving the final document |

**Naming the document**

* When choosing a title consider the reader and how they can find the information. Where possible, use the main identifying word as the first word in the title. Keep titles short and simple. Choose words that best reflect the main or overarching subject matter and those that readers will understand or can find in the University glossary.
* The type of document is included at the end of the title only. For example, ‘Use of Inclusive Language Guideline’, not ‘Guideline for Use of Inclusive Language’.

**Finding information fast**

* The contents table, hyperlinks (internal and external) and numbered paragraphs/lists help readers to find the information they need; they are helpful especially in lengthy documents. Ordering topics logically and choosing headings and sub-headings that best describe each topic in a few words will help readers to find what they need quickly.
* When using numbered statements/paragraphs, keep it simple. Limit numbering to three levels:
* first level (i.e.1, 2, 3)
* second level (i.e. 1.1, 1.2, 1.3)
* third level (i.e. 1.1.1, 1.1.2, 1.1.3) (only use third level numbering if absolutely necessary).

**Using bulleted lists and other punctuation**

* Refer to CQUniversity’s [Writing Style Guideline](http://policy.cqu.edu.au/Policy/policy_list.do) for details about punctuation, including bulleted lists.

CQUniversity acknowledges its reference to the University of Melbourne’s ‘Guidelines for Drafting Policy and Procedure’ (June 2013) in developing this template.