

GBWCT POLICY

Document Number: 00.16.01
Effective Date:
Review Date:
Status: DRAFT



GBWCT Policy Framework and Guidelines

This policy describes the Golden Bay Workcentre Trust policy framework. A policy framework is a set of rules that organisations must adhere to when setting policy.

1.0 Purpose

To provide guidance to Management and other staff involved in initiating, drafting, reviewing and overseeing GBWCT Policies and,

To provide a consistent approach to the development, approval, implementation and review of policy documents, so as to ensure that these:

- Meet administrative and compliance requirements
- Are practical and easy to understand and implement
- Are consistent with one another, and
- Are appropriately approved and reviewed.

2.0 Policy Details

Principles

Policy documents govern GBWCT practice and support the achievement of the GBWCT vision mission and objectives. Policy documents also support the achievement of quality outcomes and reduce organisational risk.

The latest approved versions of all GBWCT policy documents will be stored in the Policy Library on the GBWCT website and network and in hard copy at each site of delivery.

Documents in the networked Policy Library shall be considered the authoritative source.

Policy documents must:

- Be consistent with legislation, and other GBWCT policy documents
- Be clearly written, non-ambiguous, and presented in accordance with the formatting requirements specified
- Policy documents will be regularly reviewed as per the schedule
- Policy documents should be developed and reviewed with an appropriate level of consultation and engagement with the Board of Trustees and other relevant stakeholders where appropriate

Approval of policy documents

- All new or significantly amended policy documents must be endorsed by the Manager prior to being sent to the BoT for formal approval
- The Manager may not approve any new policy document without the consent of the BoT
- When a policy document is approved, the provisions contained therein may take effect immediately
- Following approval, the Manager will coordinate the updating of the Policy Library (normally at the time when the policy document takes effect)

Content

GBWCT policies usually have the following major headings

- Title: A succinct and descriptive title is required for each policy document. This should normally include the name of the type of policy document
- Purpose: succinctly describes the reason for the policy document.
- Scope: describes the people, areas or processes the policy document applies to (e.g. “GBWCT-wide”, “these procedures apply to all staff of the GBWCT”)
- Procedure: documented where there is a policy level procedure of actions or process to be followed
- Definitions: technical terms, terms which are used in a specific way within the policy document and/or acronyms used in the policy document
- Content: contains the main contents of the policy document
- Contact: where a contact is referenced, a role-based email address should be used for contact, rather than a name-based email address. Roles and titles should be referenced rather than individual names.
- Related: legislation, policies, procedures and forms: referencing relevant NZ acts and other GBWCT policies and any other internal or external documents that may be relevant to the users of the policy

Policy header and footer information includes:

Item	Description
Category	The broad area the policy document relates to
Type	The type of policy document
Policy number	The policy number indicating type, policy number and version
Author	The policy writer
Date	The date the policy came into effect
Last Approved Revision	The date the policy was last significantly updated. This may be blank and will be updated when a change to the policy document is approved
Review Date	The date of the next scheduled review of the policy document. This will be updated following review

Drafting policy documents

- Policy documents should be written in clear, concise and unambiguous language, and formatted so as to be easily readable.
- The contents of a policy document should be organised into distinguishable clauses or sections which may be numbered (e.g. 1, 2, 3).
- Sections should be clearly labelled to allow users to easily find the information they are looking for.

Initiating new policy

Before initiating a new policy document consideration should be given as to whether a formal GBWCT-level policy is needed. Questions that might be considered include:

- Is the matter addressed of GBWCT-wide significance?
- Is the matter addressed likely to be of ongoing significance? Policy should not normally be used to address transitory matters
- Will a policy document have some tangible impact? Policies which have little real impact are discouraged
- Will a policy document only describe operational processes? Unless they need to be formally communicated and established across the GBWCT, operational processes should not normally be expressed via GBWCT policy documents
- Is there another more appropriate way to address the matter at hand, e.g. via communication with relevant parties, operational changes, etc
- If a policy document is appropriate, is there any existing policy that could be amended to deal with the matter at hand, or is a new policy document needed?

Consideration should be given to whether a policy document should be classified as Policy, Procedures, Guidelines or a Code of Practice.

- Policy is considered the highest level of the policy documents and is most appropriate for expressing a GBWCT position on a matter and/or detailing responsibilities of various parties
- Procedures are more appropriate when detailing a specific course of action or process
- Guidelines are appropriate for providing advice and/or for outlining a more general course of action. Compliance with guidelines is expected, but in exceptional circumstances justifiable variations from guidelines are permitted
- Codes of Practice, provide expected standards which must be complied with and normally relate to a specific domain (i.e. staff, students)

More guidance on Classification

- A final determination on the right classification for a policy document may be made after initial content is drafted (content may help guide the classification)
- Where drafted policy content has a combination of policy, procedure and guideline aspects, a decision may be made on whether multiple documents are needed (e.g. a policy and associated guidelines) or whether a single document will suffice
- Ease of use by those accessing the policy document(s) should guide this decision. A single document is often preferable for simplicity, unless this makes the document too long or complex
- It is acceptable to have a policy which also includes procedural details and/or associated guidance

Review of policy documents

Policy review should consider:

- Whether the policy is achieving its purpose and is still needed
- Whether the policy reflects the current GBWCT context and/or current GBWCT practice
- Any lessons learnt since the policy was initiated or last reviewed
- Any changes to related policies, regulations, statutes, legislation or other documents
- Whether the policy is well understood, and

- Whether the policy is clearly written and formatted in accordance with these guidelines.

Where policy review leads to significant changes to a policy document, consultation on the amended document should take place.

Completed policy reviews should be communicated to the BoT, regardless of whether the review recommends changes to the existing policy documents or not. This should be documented on the Policy Review Record and circulated.

Amendment of policy outside of formal reviews

- For major amendments that are required outside of a scheduled policy review, the Manager should inform the BoT with overview of the reason for the amendment
- Major amendments outside of a scheduled policy review should only take place where there is a reasonable case for making the changes immediately. Otherwise, they should be deferred until the next policy review
- Minor amendments which are required outside of a scheduled policy review may be approved by the Manager in accordance with the criteria listed in the next section

Amendment of policy documents

Minor Amendments. The Manager may independently approve minor amendments to policies under the following circumstances:

- Editorial amendments, which do not alter the meaning or intent of a policy document
- Administrative amendments, which clearly follow from other internal/organistical changes or from changes to legislation or other binding external rules
- Any other changes that do not significantly alter the effect, levels of responsibility, meaning or intent of a policy document

Major Amendments

- Major amendments, which significantly alter the effect, responsibility, meaning or intent of a policy document, are subject to the full approval process, and formal ratification by the BoT.

The date of the last approved revision of a policy document will be recorded in the Policy Library, except where revisions are neither extensive nor substantive (e.g. editorial or administrative amendments).

The Manager is responsible for managing an archive of previous policy document versions.

Review of policy documents

Policy documents are to be reviewed according to the Policy schedule. However, an alternative review cycle may be approved as part of the overall approval of a policy document.

Where major amendments (or other significant revisions) are required outside of the standard timeframe, the Manager may elect to conduct a full-review at that time.

The BoT may approve deferral of a scheduled review at the request of the Manager, who must provide a case for the deferral.

The Manager is responsible for initiating and coordinating reviews, consulting relevant parties as appropriate, and considering:

- Whether the policy document is still required
- Whether the policy document is achieving its intended purpose
- Whether content is current, accurate and well understood
- Whether the policy document could be improved.

The outcome of policy reviews shall be communicated to the BoT, who may approve or endorse recommended amendments.

Where it is recommended that a policy document is no longer required, the BoT may approve the deletion where it is clear that a GBWCT-level policy document on the relevant matter is no longer required.

Approval of new and amended policy documents

New and significantly amended policy documents are to be sent for final approval and ratification to the Board of Trustees.

Materials sent for approval should include an overview explaining the reason for the policy document, highlighting any important points and, in the case of amended policy, detailing key changes.

Where an existing policy document has been amended, changes should be clearly indicated.

3.0 Policy Scope

This policy applies to all GBWCT Policies, Procedures, Guidelines and Codes of Practice.

4.0 Policy Owner

GBWCT General Manager

5.0 Definitions

Item	Explanation
Legislation	Statutes enacted by the New Zealand Parliament and Statutory Regulations made pursuant to those Statutes, and enforced by law.

Policy	A Policy sets out the GBWCT's position on a specific matter and requires a certain line of action to be taken, although it does not necessarily detail that line of action. Compliance is mandatory.
Procedure	A Procedure sets out, often in a step-by-step manner, the way in which the GBWCT undertakes appropriate or best practice. Procedures sometimes elaborate on, and give effect to, a Policy. Compliance is mandatory.
Guidelines	Guidelines embody the GBWCT's current view of appropriate or best practice. Compliance is expected in normal circumstances and any departure from a Guideline needs to be justifiable.
Code of Practice	A Code of Practice sets out minimum expectations and best practice. Compliance is mandatory.
Policy Library	The GBWCT's readily available digital networked and available online policy repository, containing the current versions of approved policy documents.

Types of GBWCT Formal Documentation

Item	Description	Approved By	Compliance
Policies	The GBWCT's official position on particular matters; policies normally require or exclude a certain line of action	BoT	Mandatory
Procedures	Processes to achieve appropriate or best practice; Procedures may elaborate on, or give effect to a Policy	Management	Mandatory
Guidelines	The GBWCT's current view of best practice; Guidelines may elaborate on, or give effect to a Policy	Management	Mandatory in normal circumstances; variations must be justifiable
Codes of Practice	Minimum expectations and best practice in relation to a particular matter; may be based on external codes of practice	Management	Mandatory
Other strategic documents	Plans, strategies, strategic frameworks, delegation schedules, etc.	Various	Various