

# MAAS Policy and Procedure Framework

Draft policy for comment: May 2017
Date Approved: May 2017
Date for Review: May 2019

## 1. Purpose

The MAAS Policy and Procedure Framework outlines the operational structure for developing, approving and maintaining MAAS policies and procedures to direct and support effective decision making. The Framework's purpose is to provide a uniform approach, understanding and execution of all policies and procedures across MAAS.

## 2. Policy Statement

The MAAS Policy and Procedure Framework assists staff when developing policies and procedures for their team by providing clear direction regarding the development process. It will ensure quality information use and dissemination that is underpinned by a system of consultation and inclusion for all relevant stakeholders. All MAAS policy and procedure documents are developed in accordance with this Framework.

The intention of this Framework is to establish the components of policy and procedure development but not be too prescriptive to allow flexibility of development depending on the requirements and purpose of the policy or procedure.

## 3. Policy Framework Hierarchy

The overarching approach of the MAAS Policy and Procedure Framework consists of three tiers of documents:

**Policy:** states the major principles, intent and values governing decision making. Policies specify the broad approach to a particular subject and are typically supported by procedures and/or supporting material. Policies can also include Codes.

**Procedure:** outlines the detailed processes and actions that must be undertaken in relation to a particular matter. Procedures are typically linked to a policy and may contain workflows and detailed instructions. A procedure should be clearly distinguished and separate from the policy.

**Support material:** includes documents which record decisions, processes or workflows of a particular team. Support material documents include guidelines, operating manuals, toolkits, checklists, fact sheets and schedules.

## 4. Policy and Procedure Development Process

The relevant MAAS team is responsible for drafting all policies and procedures that relate to their area of work.

When drafting and/or revising a MAAS policy and/or procedures, staff are required to:

- determine if a new policy is required or if an old policy requires review
- determine if a policy, procedure or other support material is required
- ensure consultation occurs with all relevant stakeholders when drafting policy and procedures.
- circulate the draft policy and/or procedure to relevant employees and stakeholders for comment.

Policies and procedures should be reviewed and discussed with Governance Planning & Reporting during this drafting phase.

## **5. Approval of Policies and Procedures**

### **5.1 The approval steps for policies are:**

- 5.1.1 Draft policy reviewed by Governance Planning & Reporting
- 5.1.2. Draft policy presented to SMT for endorsement. SMT should generally be given 1 week to review policy and provide feedback.
- 5.1.3. Final version of policy sent to Executive for approval.
- 5.1.4. Following approval by Executive, a final version should be sent to the Governance Manager. The policy is then filed in the MAAS Policy Register in RM8 and on Confluence.
- 5.1.5. Executive and the Executive Officer will determine if policy is to be sent to Trust for Noting.
- 5.1.6. Circulate to all staff, present to relevant staff meetings and place on MAAS website if relevant. Older versions should be removed from Confluence and the MAAS website. Contact Human Resources for staff training and new staff induction where required.
- 5.1.7. Relevant team to implement the policy. An implementation plan may be required to consider management of impacts of any changes to staff, resourcing, budgeting, or business processes.

### **5.2 The approval steps for Procedures are:**

- 5.2.1. Draft procedure reviewed by team manager, team Head then Governance Planning & Reporting.
- 5.2.2. Final draft procedure endorsed by Team Head.
- 5.2.3. If the procedure impacts on other teams the draft procedure should be presented to SMT for endorsement. SMT should generally be given 1 week to review and provide feedback.
- 5.2.4. Procedure approved by relevant Director.
- 5.2.5. Procedure may be distributed to Executive for Noting if Director thinks relevant.
- 5.2.6. Team Head or Manager circulates to all relevant employees, presents to relevant staff meetings and places on intranet.
- 5.2.7. Relevant team to implement the procedure. An implementation plan may be required to consider management of impacts of any changes to staff, resourcing, budgeting, or business processes.

### **5.3 The approval steps for support material are:**

- 5.3.1. Draft support material reviewed by relevant Units and Teams.
- 5.3.2. Draft support material endorsed by relevant Team Heads or Director.

## **6. Government Information (Public Information) Act 2009 requirements**

Under the *Government Information (Public Access) Act 2009* (GIPA Act) members of the public have the right to access information held by the NSW Government to foster a government that is open, accountable, fair and effective. Policy documents are considered to be “open access information” under the GIPA Act and must be available to the public unless there is an overriding public interest against disclosure.

The GIPA Act provides that there is an overriding public interest against disclosure where there are public interest considerations against disclosure and, on balance, those considerations outweigh the public interest considerations in favour of disclosure. Such considerations could include the fact that the information released could affect public safety or security or could include the release of confidential information, for example.

When drafting and reviewing existing policies the Team Head should consider whether the policy deals with the functions of MAAS and affects members of the public. Policies should be publicly available unless there is an overriding public interest against disclosure of part of a policy or an entire policy. In such cases consideration should be given to making the policy available with deletions or withholding the entire policy from release. When reviewing a policy, the Team Head should consider whether the policy will be publicly available or whether there is an overriding public interest against disclosure of part of the policy or the entire policy.

Governance Planning and Reporting is available to advise on whether there is an overriding public interest against disclosure in these circumstances.

## **7. Review**

All policies and procedures will be reviewed two years from the date of approval, unless stated otherwise on the policy / procedure. They may be reviewed earlier if required. Any proposed amendments identified as part of the review should be submitted for approval in accordance with the approval process outlined in this framework.

Should the outcome of the review be that the policy /procedure is no longer necessary, a request for it to be formally rescinded should be sent to Executive and Governance Planning & Reporting should be advised.

Minor amendments to existing policies and procedures may be approved by the relevant Director.

Governance Planning & Reporting will advise the relevant Team Head when a registered policy is due for periodic review. Teams are responsible for implementing a review of relevant procedures and support material.

## **8. Use of Templates**

All MAAS policies should be drafted, approved and published using the MAAS Policy Template.

All MAAS Procedures should be drafted, approved and published using the MAAS Procedure Template.

Support material should be drafted in the required format.

The MAAS Style Guide should be followed for all documents.

## **9. Roles and Responsibilities**

Ownership of policies and procedures, including their drafting and review remains with the relevant team. The relevant Team Head will be responsible for the policies relating to that particular area of MAAS.

**Governance, Planning & Reporting** is responsible for the Policy Framework and management of policies generally across MAAS. Governance Planning & Reporting will offer advice and support for the development and review of all policies and is responsible for maintaining the MAAS Policy Register.

**Executive:** formally approves new MAAS policies and updated policies. Individual Directors will approve procedures relevant to their area.

**Senior Management Team:** identifies, reviews and endorses new draft policies and procedures and updated policies and procedures.

**Leadership Team:** identifies, develops and reviews policies and procedures and implements these.

## 10. Responsible Officer

Head of Governance Planning & Reporting

## 11. Responsible Department & Unit

Governance Planning & Reporting Team

## 12. Amendment history

Version	Date issued	Notes	By
1	29/11/2016	Draft	Governance Manager
2	27/03/2017	Reviewed by Head GPR and Updated	Governance Manager
3	05/05/2017	Reviewed and updated following SMT feedback	Governance Manager