

Standard Operating Procedure - Policy Governance

Purpose

This Standard Operating Procedure (SOP) outlines the process that needs to be followed to comply with the Policy Governance Policy when developing or conducting a major amendment to policy documents.

Scope

The Policy Development SOP applies to all policy documents developed or reviewed within the Portfolio. It should be read in conjunction with the Policy Governance Policy and the Policy Development Toolkit.

Procedure

1. Initiation

The person writing the standard operating procedure (the Author) will:

- identify the need, objective and scope of the policy by liaising with relevant stakeholders such as subject matter experts and the Governance, Compliance and Legal team as needed;
- review to see if there are existing documents within Whole of Government or the Portfolio and consider opportunities for consolidation instead of creating a new policy; and
- if a need is identified, prepare a brief to the senior staff member who will support the policy development (the Sponsor) to obtain approval to draft.

2. Development

The Author will:

- undertake research and use best available information to develop the document;
- consider any committee recommendations and evaluation outcomes of any previous documents relating to the matter;
- use the appropriate template provided on the EPSDD intranet site;
- establish a working group of key stakeholders (if necessary) to discuss key principles, processes and implementation and evaluation strategies dependent on the scope of the policy document;
- draft policy document based on key principles or processes; and
- submit draft document to Sponsor for review and approval prior to consultation.

3. Consultation

The Author will:

- identify scope for consultation and feedback;
- arrange for consultation on draft policy document – allow at least two weeks for internal consultation and six weeks for external consultation (Refer [Engaging Canberrans. A guide to community engagement](#));

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- As part of consultation, obtain advice from the Communications team on document’s compliance to accessibility
- assess feedback, acknowledge comments and amend draft policy document as required;
- as required, consult on amended draft version, refine document if required;
- finalise draft document in line with the [Web Content Accessibility Guidelines \(WCAG\) 2.0 requirements](#); and
- prepare brief to Sponsor covering key items of feedback, implementation and communication strategies used in consultation process.

4. Approval

The Author will:

- prepare a covering brief for the Sponsor recommending endorsement by the relevant authority and ensure it includes:
 - a brief outline of the need for and purpose of the document;
 - reference to the consultation undertaken in development and how feedback was addressed; and
 - the plan for communicating and implementing the new policy or SOP including training and education, and monitoring processes.

The Sponsor will:

- endorse document for approval;
- ensure procedural requirement for approval by relevant authority is followed (e.g. board secretariat process); and
- present document for approval to the relevant authority (as identified in the Policy Governance Policy).

Special Approval

The standard consultation process of this procedure may be suspended if the Director-General or executive staff determine that special approval of a policy, procedure or guideline is required.

For example where approval of a policy document:

- is urgent/required within a restricted timeframe; or
- implements a provision of the Directorate’s Enterprise Agreement; or
- meets a legal obligation of the Directorate in which there is minimal scope for discretion in implementation; or
- is otherwise deemed to be in the interest of the Portfolio by the decision-maker.

If a policy or procedure is given special approval with limited consultation, the review date of the policy should not exceed 12 months of its approval.

5. Communication and Implementation

Following document approval, the Author will:

- provide evidence of approval to the Policy Register Manager for publication on EPSDD intranet site;
- initiate implementation plan; and

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- ensure all relevant staff are notified through the agreed communication channels as identified in implementation plan.

The Policy Register Manager will:

- ensure that policy is appropriately approved, on correct template and ready for external publishing if required under the Open Access scheme;
- publish approved policy on policy register with all relevant metadata ;
- draft notification email for dissemination to relevant staff by appropriate executive staff member; and
- provide Author the policy identification number and link to document.

6. Evaluation and Review

The area responsible for the policy document will:

- manage the document implementation feedback;
- action any subsequent administrative updates or amendments;
- action evaluation strategies; and
- undertake review of document as scheduled or required.

The Policy Register Manager will:

- continue to take feedback on policy document templates and adjust as required;
- monitor policy document review dates; and
- provide a quarterly report to advise Author and responsible Executive of approaching review dates.

7. Recordkeeping

Evidence of the process and decision-making must be retained for policy documents developed or reviewed.

All records must be managed in accordance with the *Territory Records Act 2002* and Directorate policies and procedures. Contact Information Services on (02) 6207 1941 for further information.

Documents to be kept on record include at a minimum:

- Approved briefs;
- Evidence of consultation – emails, correspondence, meeting minutes;
- Feedback received through the consultation process;
- Copy of the final approved policy document;
- Policy drafts demonstrating significant change in policy direction; and
- Associated/supporting documents.

Evaluation

See Policy Governance Policy

Related Documents

- Policy Governance Policy

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- Policy and Procedure Templates

Version History		
Version	Date	Amendment details
0.1	11/08/2017	Draft document developed
0.2	22/08/2017	Amended to reflect Senior Manager of Governance Team's feedback
0.3	23/08/2014	Amended to reflect Manager of Governance Team's feedback
0.4	12/12/2017	Amended to reflect consultation feedback

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