



UNIVERSITEIT
STELLENBOSCH
UNIVERSITY

Policy and Management Documents: Regulation

Type of Document:	Regulation
Purpose:	To provide prescriptions for the governance of management documents.
Approved by:	Rector's Management Team
Date of Approval:	2012/11/20
Date of Implementation:	New Documents: Dec 2012; Existing documents: 2013 - 2015
Date of Next Revision:	2015/11/01
Date of Previous Revision(s):	None
Policy Owner¹:	Vice-Rector: Learning and Teaching Rector / Registrar
Policy Curator²:	Senior Director: Institutional Research and Planning
Keywords:	policy, strategy, regulation, management documents, guidelines, policy@SU
Validity:	In case of differences in interpretation the English version of this policy will be regarded as the valid version.

SU Policies are available at www.sun.ac.za/policies

¹ Policy Owner: Head(s) of Responsibility Centre(s) in which the policy functions.

² Policy Curator: Administrative head of the division responsible for the implementation and maintenance of the policy

Stellenbosch University

Rules for policy and management documents

Reference number of this document	0616_ABCDE
HEMIS classification	0616
Purpose	To determine prescriptions for the governance (including the development, approval, handling, implementation, release and revision) of policy and management documents
Type of document	Rules
Accessibility	General (external and internal)
Date of implementation	1) December 2012 with regard to all new documents 2) In the course of 2013-2015 with regard to all existing documents
Revision date/frequency	November 2015
Previous revisions	These are new rules
Owner of these rules	Vice-Rector (Learning and Teaching)
Institutional functionary (curator) responsible for these rules	Senior Director: Institutional Research and Planning (specifically the Quality Assurance office)
Date of approval	20 November 2012
Approved by	Rector's Management Team
Keywords	policy, strategy, rules, management document, manual, guidelines, regulations, prescriptions, owner, curator, policy@SU

Sleutelterme / Key terms

Afrikaans	English
Strategie dokumente	<i>Strategy documents</i>
Beleidsdokumente	<i>Policy documents</i>
Reglement	<i>Rules</i>
Regulasies	<i>Regulations</i>
Voorskrifte	<i>Prescriptions</i>
Proseduredokumente	<i>Procedure documents</i>

1. Introduction

The University has a large number of policy and management documents in many different environments. It is essential that these documents should be accessible by all who have an interest in them. It also is essential that users always work with the current (most recent) document.

People who are involved in the development and writing of policy and management documents have a need for prescriptions and clarity on the expectations and guidelines for the identification of new policy needs, how to go about writing these sorts of documents, the management decisions on the format that these documents need to comply with, and the procedures for the approval, release and updating of policy and management documents.

2. Implementation of the policy

- a) These rules are by default applicable to all members of staff (permanent and temporary) who work in the management corps of the University, in faculties, departments, centres, bureaus and institutes, and in the support serves, as well as to all students, and also to the members of the statutory bodies of the University and the members of the companies under the control of the University who are involved in the governance of policy and management documents.
- b) Policy and management documents that are developed after the date of approval of these rules must comply with these rules.
- c) Existing policy and management documents will be adapted to comply with these rules during a general and planned revision process over the first three years after approval of these rules.

3. The purpose of these rules

The purpose of these rules is to lay down prescriptions for the governance of policy and management documents at SU.

4. Aims of these rules

- a) To manage risks.
- b) To promote the quality of SU policy and management documents and to protect the institutional image of SU.
- c) To provide guidance to people who are responsible for the development, approval, handling, implementation, release and revision of policy and management documents.
- d) To determine the format with which policy and management documents must comply.
- e) To ensure that policy and management documents are available for all who have an interest in them.
- f) To ensure that policy and management documents are revised and updated on the target date that is determined during the approval of the relevant policy and management document.
- g) To indicate the connection between policy and management documents and related documents and to establish a mechanism to be able to identify and eliminate possible contradictory or unnecessary overlaps between policy and management documents.
- h) To ensure better coordination and identification/delimitation of roles and responsibilities with regard to policy and management documents.

5. Role players with regard to policy and management documents

- a) The **owner** of policy and management documents: A member of the executive committee of the University (at post grades 1 and 2) is the owner of policy documents. The ownership of management documents can also reside in other levels. The owner is

accountable for policy being developed within his/her sphere of responsibility, ensuring that the necessary policy or other management document exists and that a curator (and related structures and roles) is appointed and cleared, and that the curator (and related structures and roles) functions effectively.

- b) The **curator** of policy and management documents: This is the functionary at institutional level to whom the owner of the relevant policy or management document has allocated responsibility for taking care of the formulation, approval, revision, communication, release and monitoring of the implementation of the relevant policy or management documents. In specific cases the curator could also be responsible for the interpretation of and guidance with regard to the implementation of the policy. A task team is often appointed to develop or revise policy or rules. The curator normally acts as convenor of such a task team.

6. Types of policy and management documents

- a) *Strategy documents (including the SU vision and mission, strategic plans, master plans, business plans and so forth)* are directed at the future and contain information on the vision with regard to specific aspects, the objectives that have to be achieved, the planned actions to achieve the objectives, the ways in which progress will be measured and monitored, and the way in which progress will be reported. Strategy documents/planning documents sometimes are readily accessible (e.g. the University's Vision and Mission), but sometimes are limited to internal individuals and groups. Strategy documents are not necessarily available on the Beleid@SU/Policy@SU website¹.
- b) *Policy documents* are written primarily on the level of principles, have a medium or longer term period of applicability, and contain information on the purpose, scope, policy principles, decision-making, roles, definitions and information on supporting and related documents with regard to a specific matter. Policy documents are finalised, prescriptive and compliance is compulsory. Policy documents are generally accessible internally and externally. SU requires that policy documents are approved by Council. This requirement can serve as a handy guideline when considering whether the document concerned should be written as policy, or rather in some other appropriate form of management document. All policy documents should be available on Beleid@SU/Policy@SU.
- c) *Rules, Regulations, Prescriptions and Procedure documents* are management documents² and contain details, often with reference to one or more policy document. Rules, regulations, prescriptions and procedures are finalised, prescriptive and compliance is compulsory. Rules, regulations, prescriptions and procedures are generally accessible internally and externally.
- d) *Guidelines and Manuals* are also management documents and contain information on the desired or preferred action with regard to the topic concerned. Guidelines and manuals sometimes are prescriptive and compulsory, but sometimes also optional. Guidelines and manuals usually are generally accessible.

¹ "Beleid@SU/Policy@SU" is the name of the central electronic storage space for policy and management documents as described in par 7.6 of these rules.

² In order to prevent an unnecessarily complex system and possible over-regulation, the differences and similarities between the types of management documents mentioned in 6c are not set out in these rules. Some of these terms sometimes are used as synonyms, and sometimes not. The documents classified as management documents in 6c are distinguished as a group from strategy documents (6a), policy documents (6b) and guidelines and manuals (6d).

7. Prescriptions with regard to policy and management documents

- 7.1 All policy and management documents should indicate how the policy concerned is related to the University's mission and vision and contributes to the achievement of the University's objectives.
- 7.2 Line managers are responsible for and have the mandate to develop policy with regard to their sphere of responsibility and function, as appropriate and necessary.
- 7.3 Policy and management documents are classified as:
 - a. Strategy documents
 - b. Policy documents
 - c. Rules, Regulations, Prescriptions, and Procedure documents
 - d. Guidelines and Manuals
- 7.4 Policy documents contain the following subdivisions by default (see ADDENDUM A for the *Template for Policy and Management Documents*):
 - 7.4.1 Introduction – provide a brief background to and reason for the writing of the relevant policy document.
 - 7.4.2 Implementation of the policy – provide details of the scope and range of the policy document.
 - 7.4.3 Definitions – of the essential terms that are used in the policy document.
 - 7.4.4 Purpose of the policy – provide the reason why a policy document is being written.
 - 7.4.5 Aims of the policy – provide the most important objectives that have to be achieved by way of the implementation of the policy.
 - 7.4.6 Policy principles – provide the most important principles underlying the essence of the policy concerned.
 - 7.4.7 Policy provisions – contain the requirements and prescriptions for the policy document concerned.
 - 7.4.8 Conflict settlement – provide a procedure for the settlement of policy requirements and implementation.
 - 7.4.9 Policy control – address the elements that are required to manage a specific policy.
 - 7.4.9.1 Roles
 - 7.4.9.2 Implementation
 - 7.4.9.3 Monitoring
 - 7.4.9.4 Reporting
 - 7.4.9.5 Release
 - 7.4.9.6 Revision
 - 7.4.9.7 Action in the case of non-compliance
 - 7.4.10 Supporting documents – policy and management documents that are directly subsidiary to the document.
 - 7.4.11 Related documents: – policy and management documents that exist beside the documents and are related to them.

These rules serve as an example of appropriate content for each of the abovementioned subdivisions.

- 7.5 The format of management documents that are not policy documents can differ according to need. It nonetheless remains good practice to keep it as close as possible to the format for policy documents (as specified in 7.4).
- 7.6 Policy and management documents will be stored and updated within a central, allocated electronic storage space on the University's intranet, known as Beleid@SU/Policy@SU (see ADDENDUM B)

- 7.7 The HEMIS programme classification structure (HEMIS 002, see ADDENDUM C) will be used to order the University's policy and management documents thematically. This means that this ordering can be retained, regardless of the reorganisation of management structures and units that takes place at the University from time to time.
- 7.8 The approval of policy and management documents
- a. Strategy documents are approved within the context of line management. Strategy that is applicable at the institutional level therefore will be approved by the Rector's Management Team. Strategy that is applicable to a subdivision of the University may be approved by the head of environment within the context of the relevant line management. Depending on the nature, scope and impact of the strategy document concerned, the discretion lies with the head of environment concerned whether the relevant strategy document also has to be submitted to the Rector's Management Team for approval.
 - b. Policy documents
 - 1) All policy documents have to be approved by the Council of the University after consultation with the Institutional Forum (IF).
 - 2) Policy relating to academic matters should always first be submitted to Senate for recommendation before it is submitted to Council for approval. A recommendation by Senate is preceded by recommendations by one or more faculty boards (where appropriate), and/or Senate committees (where appropriate), and by the Executive Committee of Senate. In specific cases a recommendation from the Rector's Management Team is also required before a policy document can be submitted to the Executive Committee of Senate. Policy documents relating to academic matters follow a concurrent consultation route via Senate and the Institutional Forum before they can be submitted to Council for approval.
 - 3) For policy documents relating to non-academic matters there should be consultation with the Rector's Management Team, the Institutional Forum and the Executive Committee of Council, and the documents should be recommended by these bodies before they are submitted to Council for approval.
 - c. Rules, Regulations, Prescriptions and Procedure documents are approved within the line management concerned. Line managers decide at their own discretion whether the scope and impact of specific guidelines or actions also require clearing and/or approval on the institutional level by the Rector's Management Team.
 - d. Guidelines and Manuals are approved within the relevant line management. Line managers decide at their own discretion whether the scope and impact of specific guidelines or actions also require clearing and/or approval on the institutional level by the Rector's Management Team.
 - e. There should be consultation with all interested parties (e.g. Senate, the faculties, student bodies, staff associations, external parties and so forth) during the process of development and approval of policy and management documents.
- 7.9 Revision of policy and management documents.
- a. The electronic storage includes a function to send an electronically generated notice to the owner and the curator of the document concerned when the revision date of the document approaches, as well as to the curator of these rules.

- b. It is the responsibility of the owner and curator of a policy or management document to put the necessary process into action to revise the document on the date as determined during the approval of the specific document.
- c. Revision, as determined in the policy or management document concerned, must take place at appropriate frequencies on a cyclic basis. Revision may also take place on an ad hoc basis if required by changing legislation or operational circumstances.
- d. With the revision, the owner and curator of the policy or management document concerned have to distinguish between revision and incremental adaptations in order to follow the appropriate and required processes and to obtain approval.

8. Control over these rules

8.1. Responsibilities

- a. The owner of these rules is the Vice-Rector (Learning and Teaching) as line head of the Quality Assurance function of the University and he/she is responsible for the existence, updating and implementation of the rules and for ensuring that a curator and related structures and roles are appointed and function effectively.
- b. The curator of these rules is the Senior Director: Institutional Research and Planning and he/she is responsible to ensure the formulation, approval, revision, communication and release of these rules. The curator of these rules is also responsible for the interpretation and for the implementation of the rules. The curator will convene a task team for the revision of the rules periodically, as required.

8.2. Monitoring and reporting

- a. The owner of these rules is accountable and the curator is responsible for the creation of the necessary controls for monitoring and reporting on these rules and to report to the Rector's Management Team on an annual basis.
- a. In cases of non-compliance with these rules, normal line management practices will apply.

ADDENDUM A

TEMPLATE FOR POLICY AND MANAGEMENT DOCUMENTS

This template forms part of these rules and serves as the starting point for the writing and development of policy or management documents (with reference to paragraph 7.4 of the rules).

[NAME OF POLICY OR MANAGEMENT DOCUMENT]

Reference number of this document	
HEMIS classification	
Purpose	
Type of document	
Accessibility	
Date of implementation	
Revision date	
Previous revisions	
Owner of these rules	
Institutional functionary (curator) responsible for these rules	
Date of approval	
Approved by	
Keywords	

1. Introduction
2. Implementation of the policy
3. Definitions
4. Purpose of the policy
5. Aims of the policy
6. Policy principles
7. Policy provisions

8. Conflict settlement

9. Policy control

9.1. Roles

9.2. Implementation

9.3. Monitoring

9.4. Reporting

9.5. Release

9.6. Revision

9.7. Action in the case of non-compliance

Attachments: As a rule, are attached as addenda or other appropriate attachment to or supplementary to the policy or management document. The consideration whether attachments should form part of the policy or management document concerned or be supplementary to it will be determined by requirements and circumstances. For example, should an attachment form part of a policy document, Council approval will also be required for it, as well as approval for any revision thereof. The two examples of attachments indicated below play an administrative role and would rather be regarded as supplementary.

10. Supporting documents

Item No	Name of Document	Status <i>(e.g. identified, in process, approved, etc.)</i>

11. Related documents

Item No	Name of Document	Status <i>(e.g. identified, in process, approved, etc.)</i>

ADDENDUM B

Beleid@SU/Policy@SU

- a. The document warehouse is located in a system that makes provision for electronic cooperation.
- b. The system prevents duplication and non-official distribution of policy and management documents.
- c. The following meta-data will be recorded in the document warehouse for each document and displayed on the Beleid@SU/Policy@SU website where the document can be obtained:
 - 1) title
 - 2) reference number (allocated by the manager of Beleid@SU/Policy@SU)
 - 3) short description (thematic)
 - 4) die authorised body or functionary who approved the document
 - 5) the type of document
 - 6) die date of approval
 - 7) the date of implementation
 - 8) the revision date
 - 9) the owner of the document
 - 10) the curator of the document
 - 11) the target group(s)
 - 12) keywords
 - 13) accessibility/visibility:
 - i. internal and external
 - ii. internal (general)
 - iii. internal (limited)
- d. There is a link to Beleid@US/Policy@SU on www.sun.ac.za, the University's website.
- e. Not all documents on Beleid@US/Policy@SU are generally accessible. Reading rights will be determined per document (see par 6 a).
- f. The Beleid@US/Policy@SU website has a user-friendly search function.
- g. Loading rights on Beleid@US/Policy@SU can be manipulated and managed (who may load and/or edit a document).
- h. Version management is available (previous versions of documents are archived and can be reached in a user-friendly manner).
- i. The "Klassifikasiestruktuur vir US-dokumente / Classification Structure for SU Documents" used to order the University's policy and management documents thematically. This means that this ordering can be retained, regardless of the reorganisation of management structures and units that takes place at the University from time to time. By making use of this classification structure it also is possible to monitor whether there is in fact appropriate policy in relation to all essential fields.