POLICY DEVELOPMENT GUIDE AND CHECKLIST

**This is a generic guide that can be used to develop any organisational policy.
It can also be used as a checklist.**

Administrative information

INCLUDE IN THE POLICY
- ❑ Implementation date (the date the policy comes into force)
- ❑ Contact officer: (the person to whom questions about the policy and procedures should be directed)
- ❑ Relevant legislation or other regulatory obligations: (eg, public service legislation or policy, Premier's Circulars, Treasury Circulars).
- ❑ Related organisational policies/documents: e.g. code of conduct, risk management plan, corporate plan, audit policy, information management policy, financial management policy.
- ❑ Any organisational policies that the policy replaces
- ❑ Where the policy can be found and how a copy can be obtained - in hard copy or electronically
- ❑ Responsible division: (name of division responsible for managing and reviewing the policy)
- ❑ Proposed review date: (eg, recommend every two years)

CHECK
- ❑ Have you consulted a selection of staff to make sure that the policy is necessary and does not duplicate existing policies?

Introduction

STATE IN THE POLICY
- ❑ The purpose and objectives of the policy
- ❑ The scope of the policy – who it applies to

CHECK
- ❑ Should the policy apply to part-time, contract staff or others outside the organisation?
- ❑ If so, is this clearly stated in the policy?

HINT Prepare a communication strategy that identifies everyone who should be aware of the policy including contractors/volunteers/clients etc and delivers training in the policy and procedures.

Definitions

DEFINE IN THE POLICY
- ❑ The key terms that are used in this policy

CHECK
- ❑ Are the key terms used in this policy defined in the same way in any associated procedures and related policies?
- ❑ Are the terms defined in this policy consistent with any relevant statutory definitions?

Roles, responsibilities and resources

IDENTIFY IN THE POLICY
- ❑ All staff who are responsible for enforcing the policy
- ❑ All staff who can be consulted about how the policy works

- ❑ The position responsible for updating the policy
- ❑ The positions with delegation (if necessary) to implement the policy

CHECK
- ❑ Do any responsibilities imposed by this policy conflict with any other organisational roles?
- ❑ Has the policy been tested with the staff who are responsible for implementing and enforcing it to make sure it is practicable?
- ❑ Has the policy been actively disseminated to those expected to comply with it?
- ❑ Have the staff members who must comply with the policy or enforce it been trained
- ❑ Have any additional resources required to implement the policy been identified and allocated?

Specific policy provisions

STATE IN THE POLICY

- ❑ The organisation's commitment to the specific values that the policy applies
- ❑ The organisation's policy position on this topic

CHECK
- ❑ Have all relevant issues been included by consulting with the potential users?
- ❑ Do the provisions of this policy contradict any other organisational policies?

HINT it may be useful to consult people or organisations external to the organisation to make sure that the policy is comprehensive and effective.

Sanctions

LIST IN THE POLICY
- ❑ Possible sanctions for breach of the policy and procedures.

CHECK
- ❑ Does the policy include a range of sanctions related to the seriousness of the breach?
- ❑ Are there internal control mechanisms available to enforce the policy?

Managing information

STATE IN THE POLICY
- ❑ How any information collected or disseminated as a result of the policy will be held and managed.

CHECK
- ❑ Is the policy consistent with relevant statutory obligations such as public records, privacy and Freedom of Information legislation.

Financial administration

STATE IN THE POLICY
- ❑ How the organisation's financial management requirements apply to the provisions of this policy.

CHECK
- ❑ Is the policy consistent with these obligations?

Audit

CONSIDER
❑ Does this policy affect the organisation's audit cycles.

CHECK
❑ Will any actions be taken or records created as a result of this policy that should be audited, regularly or randomly, and included in the organisation's audit cycle.

Risk management

CONSIDER
❑ Consider how this policy should interact with the organisation's enterprise risk management.

CHECK
❑ Is the topic of this policy adequately covered by the organisation's risk management program?

Evaluation and review of the policy

DESCRIBE IN THE POLICY
❑ How and when the policy will be evaluated and reviewed.

CHECK
❑ Has someone has been given the role of receiving information about problems that arise in the implementation of the policy?

HINT: Nominate a person or set up a forum to receive and discuss management improvements such as policies and procedures. This information can be collated and reviewed at quarterly or annual senior management meetings.

Procedures

LIST IN THE POLICY
❑ All organisational procedures that relate to this policy.

CHECK
❑ Have all procedures needed to implement the policy been developed and communicated to everyone who needs to use them?
❑ Are these procedures consistent with existing procedures and the policy?

HINT: Before the policy is launched, test the way that policies and procedures interact with a group of staff members who will have to implement them.