



Ministry of Education, Heritage & Arts

CORPORATE POLICY AND PROCEDURES

SUBMISSIONS TO THE PERMANENT SECRETARY/MINISTER

Version Control – Final Version 4 April 2019

1. Purpose

1.1 This document details the policy and procedures relating to Submissions for the approval of the Permanent Secretary or the Minister.

2. Definitions

2.1 Approver is the MEHA official who is being asked to approve the request in the Submission. The Approver will vary depending on the issue.

2.2 Drafter is the person who prepares the Submission.

2.3 MEHA is the Ministry of Education, Heritage and Arts.

2.4 Responsible Head is the Head of a MEHA Unit.

2.5 Submission is a hard copy document in the form of Annex A, the purpose of which is to formally record a decision, known as a minute or a brief.

3. Policy Statements

3.1 Submissions should be accurate, complete and timely.

3.2 The request should be written so it is clear what the approver is being asked to approve.

3.3 Submissions should be written in plain English.

3.4 Submissions must include full information in the background, an outline of options available, budget, risks and mitigation, impact envisioned and recommendation.

3.5 Where a number of options are considered, Drafters should analyse the advantages and disadvantages of each option. This detail may be included in an Annex and a summary of the analysis included in the Submission.

3.6 Submissions which lack full information or are incomplete, incorrect or poorly drafted will be returned to the Drafter for revision.

3.7 Accurate

3.7.1 All information in the Submission should be up-to-date and complete.

3.7.2 Relevant legislation, orders, guidelines and other guidance should be considered and referenced.

3.7.3 Submissions should be free of spelling, grammatical or consistency errors.

3.7.4 Responsible Heads should indicate in the Submission if they agree with the recommendation or not and explain why they may not agree.

3.8 Complete

3.8.1 Submissions should include all information relevant to the request.

3.8.2 If a number of stakeholders have been consulted in the development of the Submission, consider attaching a list of stakeholders consulted. Also, note any concerns stakeholders have raised and how the concerns have been addressed.

3.8.3 Explain any risks with the proposal in the Submission, and how the risks can be managed. If a risk cannot be managed, outline how that risk could be accepted by the Approver and provide a justification to support this request.

3.8.4 Submissions often require the endorsement of a number of Responsible Heads. If issues are raised during the endorsement process, the Submission must be sent back to the Drafter for further review.

3.8.5 Submissions should not be sent to the Permanent Secretary unless all issues raised during the endorsement process are resolved and the Submission amended. Failure to resolve issues prior to Submission to the Permanent Secretary will delay approval of your Submission.

3.9 Timely

3.9.1 Submissions should be provided to Approvers and Responsible Heads with as much advance notice as possible.

3.9.1.1 As a guide, allow the Approver at least one week to consider a Submission - two weeks is preferable.

3.9.1.2 Responsible Heads should be provided a maximum of one working day to consider a submission.

3.9.2 Approvers and Responsible Heads are not obliged to approve Submissions provided to them in a shorter time frame.

3.9.3 Urgent requests for approval should be limited to circumstances where there is a legal, medical or other imperative reason for considering the matter in a short timeframe. In such cases, clearly explain why the matter must be considered urgently and when a decision is required. Poor planning does not justify an urgent request for consideration of a submission.

3.10 Types of Submissions Requiring Permanent Secretary or Ministerial Attention

3.10.1 MEHA staff should consult the Executive Support Unit to determine whether the matter requires a submission to the Permanent Secretary or Minister.

3.10.2 Generally, the following matters should be submitted to the Minister via the Permanent Secretary:

3.10.2.1 requests from other Ministers

3.10.2.2 discipline issues requiring termination of contract

3.10.2.3 establishment and disestablishment of posts

3.10.2.4 appointments and transfers of MEHA employees

3.10.2.5 policy issues

3.10.2.6 Cabinet Papers

3.10.2.7 strategic plan

3.10.2.8 briefings on specific meetings the Minister will attend

3.10.2.9 appointments to Boards of some statutory authorities, and

3.10.2.10 requests for changes to legislation which will require a Cabinet Paper to seek approval to do so.

3.10.3 Other decisions should be submitted to the Permanent Secretary.

3.10.4 The above list is a guide only, and is not an exhaustive list of issues for the Permanent Secretary or Minister's approval.

4. Procedures

4.1 Requests from Schools for Permanent Secretary or Minister

4.1.1 All requests for the Permanent Secretary and/or Minister must be sent to the District School Support Office¹.

4.1.2 A District School Support Officer then drafts the Submission for the Approver. The Drafter should consult with the Responsible Head to ensure the Submission is developed correctly.

¹ This role will be undertaken by the District Office in the interim.
Policy Owner: Executive Support Unit

- 4.1.3 The Drafter then sends the Submission to the Responsible Head for consideration and approval.
- 4.1.4 The Responsible Head may seek the advice from other Heads on the Submission and may also ask the Drafter for more information.
- 4.1.5 Where necessary, the Responsible Head may ask the Drafter to edit the Submission.
- 4.1.6 The Responsible Head ensures the final Submission is sent to the Personal Assistant to the Permanent Secretary.

4.2 All Other Requests

- 4.2.1 For all other requests, the Drafter is to prepare the Submission and undertake all necessary consultation, following the guidance of their Responsible Head. The Executive Support Unit may be consulted for advice.

4.3 Logging and Tracking Submissions

- 4.3.1 Submissions should be given a reference number for their Section for future tracking and audit purposes.
- 4.3.2 A photocopy or scanned copy of the Submission should be kept by the Drafter prior to Submission.
- 4.3.3 Submissions should be logged in the minute book of the Personal Assistant of the Responsible Head. A hard copy should then be provided to the Personal Assistant of the recipient for registration in the appropriate minute book.

4.4 Responsibilities After Submission Signed

4.4.1 Filing

- 4.4.2 When signed, the Personal Assistant to the Approver records the Submission in the outgoing minute book and keeps a scanned copy of the signed Submission. The Personal Assistant then arranges for the return of the Submission to the Drafter, via the Personal Assistant of the Drafter's Responsible Head.
- 4.4.3 The Personal Assistant of the Drafter's Responsible Head:
 - 4.4.3.1 retains an electronic copy of the Submission

4.4.3.2 emails an electronic copy of the Submission to the Drafter

4.4.3.3 files the hard copy of the submission.

4.4.4 Communicating the Decision

4.4.5 Drafters should consider who must be made aware of the approval, and how to provide that information. For example, a decision by the Permanent Secretary may be communicated via a circular.

4.4.5.1 Generally, internal stakeholders should be informed of a decision in a Circular, and external stakeholders by a letter from the Permanent Secretary, MEHA.

4.4.5.2 Drafters should consult with their Responsible Head and the Executive Support Unit for guidance in each case.

5. Key Search Terms

5.1 Submissions, drafting Submissions, requests, approvals, Minister, Permanent Secretary.

6. Review Arrangements

6.1 This policy will be reviewed one year after approval by the Permanent Secretary and subsequent endorsement by the Honourable Minister.

Annexes

Annex A - Draft Submission Template

Approved for implementation



Alison Burchell
Permanent Secretary for Education,
Heritage and Arts

Date: 24 May 2019

DRAFT SUBMISSION TEMPLATE- INSERT YOUR HEADING HERE

Ref: Insert your section's reference here

THE MINISTER FOR EDUCATION, HERITAGE AND ARTS/THE PERMANENT SECRETARY

SUBJECT: APPROVAL FOR (INSERT REQUEST HERE)

1. PURPOSE

- 1.1. Insert request here. Use bullet points for more detailed requests.

2. BACKGROUND/DISCUSSION

- 2.1. Your first paragraph should state what the issue is.
- 2.2. Outline any background to the issue. Only include a summary of the relevant details for your Submission. You can attach supporting documents or Annexes for more complex matters.
- 2.3. If you include a table, please make sure all calculations add up correctly. Attach detail regarding the calculations as an Annex, so it is clear how you reached your final total.
- 2.4. Analyse different options and explain the benefits and costs associated with each.
- 2.5. Explain who you consulted with to develop the Submission and confirm that stakeholders support the proposal. If stakeholders raised concerns, explain how you have addressed the concerns.

3. IMPACT OR OUTCOME

- 3.1. Describe what will happen if your recommendation is supported. What will change, and how? Who will benefit?

4. MONITORING AND EVALUATION

- 4.1. Note any existing or proposed monitoring arrangements. If current processes require amendment, make the suggestion/s here.
- 4.2. Explain when the arrangement will be reviewed and who will be involved in the review process.
- 4.3. Note when you will provide feedback on progress and to whom you will report.

5. FINANCIAL IMPLICATIONS

- 5.1. This section should be completed with the assistance of Director Finance.
- 5.2. Confirm whether funding is available, and from what allocation.

5.3. Alternatively, explain where funding may be drawn from or sought, and whether the relevant stakeholder who owns the funds agrees to provide it.

6. RISKS IDENTIFIED AND MITIGATION PROCESS PROPOSED

6.1. Give a summary of the key risks. Ideally, complete a risk plan and attach it to the Submission, summarising the key risks here.

6.2. Explain whether the risks can be managed through the controls you have implemented or not. If there are risks which cannot be managed, raise them here and seek approval to either accept the risks or identify ways they can be managed, if approved by the Permanent Secretary.

7. RECOMMENDATION

7.1. It is recommended that the Permanent Secretary/Minister (repeat the request you made in the purpose here)

Endorsement	Name/Position	Sign	Date
Form prepared by and confirmed as correct			
<ul style="list-style-type: none"> • Supported • Not Supported and checked as correct			

Ms Alison Burchell, Permanent Secretary for Education, Heritage and Arts	
<p>The recommendation in Paragraph X is:</p> <ul style="list-style-type: none"> • Approved • Not Approved 	
<p>Comments:</p>	
<p>Signed:</p>	<p>Date:</p>

Hon Rosy Akbar, Minister for Education, Heritage and Arts

The recommendation in Paragraph X is:

- **Approved**
- **Not Approved**

Comments:

Signed:

Date: