

Policy Framework Policy

1. Purpose and Scope

- 1.1 The Policy Framework Policy outlines the principles for the approval, development and management of AIAT policies and other policy-related documents forming part of its Policy Framework.
- 1.2 The Policy Framework applies to AIAT governance bodies and staff involved in developing, approving and managing AIAT policies and other policy-related documents.
 - 1.2.1 All staff should comply with the standards and responsibilities as contained in policies, and other policy-related documents.

2. Definitions

Refer to *Glossary of Terms* for commonly used terms. The definitions below are included for clarity.

Form is an approved template for submitting information, applications and requests.

Guideline is a separate statement (document) from a policy or procedure. It provides more detail and context for particular matters (such as those that are the subject of a legislative obligation) or “good practice” recommendations to assist in the implementation of a higher document (that is, a policy or procedure). Note:

- a. A guideline provides readers with specific information to understand an issue/process and what they are required to do in respect of it. It may be directed towards a particular group of people (such as international students or domestic students).
- b. A guideline is not normally mandatory, although it may summarise the key mandatory requirements from a higher policy document or law.

Minor amendment means an amendment to a policy or procedure where they do not result in any change to the document’s context or meaning. A minor amendment includes:

- a. textual and editing changes to maintain accuracy and currency;
- b. obvious clerical, typographical, grammatical and numbering errors in the text of the document; or
- c. updating references due to changes in:
 - i. position or work unit titles;
 - ii. organisational structure and associated operational workflows;
 - iii. legislation; and
 - iv. regulatory bodies.

Policy is a high-level and formal position statement (document) that establishes the key principles and provisions that govern AIAT activities and decision-making processes. Compliance with policies is mandatory. The Board of Directors may designate a document as a “policy”; in such

cases, the document will have the same status as a policy; for example, Codes of Conduct for students and staff.

Policy-related documents incorporates other components of the Policy Framework such as procedures, guidelines, schedules, registers and approved forms and templates.

Procedure is a formal statement (document) describing the processes and actions required to implement a particular policy. A procedure may also be developed to ensure compliance with legislative requirements. Compliance with procedure is mandatory.

Register is a mechanism by which information is recorded as mandated by a particular law, policy or procedure. A register assists with:

- a. the consistency of administrative decision-making over time and across cohorts (for example, the Students Complaints Register); and/or
- b. meeting specified compliance or legal requirements (for example, the Conflict of Interest Register for the Board of Directors and Academic Board).

Schedule is a statement forming part of a policy or procedure and is intended to provide detail and context for a particular matter associated with the policy or procedure; for example, it may provide plain English examples or a diagrammatic explanation of a process. Note:

- a. A schedule is normally mandatory.
- b. A schedule has the same status and is subject to the same approval processes as its 'parent' document.

Substantial amendment means an amendment to a policy or procedure that results in any change to the context or meaning of the document.

3. Policy Statement

- 3.1 AIAT's Policy Framework sets out the principles, scope and lifecycle of all AIAT policies, procedures and other policy-related documents.
- 3.2 The Policy Framework is designed to:
 - 3.2.1 Ensure a clear and consistent governance and management approach is adopted in the development of AIAT policy, procedure and other policy-related documents.
 - 3.2.2 Facilitate compliance with relevant legislative and regulatory requirements, national standards and community expectations.
 - 3.2.3 Enable efficient and effective decision-making, incorporating quality assurance and risk management practices.
 - 3.2.4 Establish clear roles and responsibilities for individuals and groups in the development, review, amendment and approval processes.

4. Policy Principles

- 4.1 AIAT's Policy Framework operates in the following hierarchy, from highest to lowest:

- 4.1.1 Australian laws (meaning Commonwealth laws enacted by the Parliament of Australia and laws enacted by the Parliaments of the Australian states and territories)
 - 4.1.2 AIAT Governance Charter
 - 4.1.3 Policies
 - 4.1.4 Procedures
 - 4.1.5 Guidelines and registers
 - 4.1.6 Forms
- 4.2 Documents lower in the hierarchy must be consistent with higher documents. To the extent there is any inconsistency, the higher document prevails.
- 4.2.1 Where there is doubt about inconsistency in Policy Framework documents, clarification should be sought from the Board of Directors or the CEO.
- 4.3 Policies, procedures and other policy-related documents are reviewed and revised regularly to ensure currency and consistency.
- 4.3.1 Policies are reviewed no less than every five years.
 - 4.3.2 Procedures are reviewed no less than every three years.
 - 4.3.3 Other policy-related documents are reviewed as required or no less than every three years.
- 4.4 AIAT's policies and policy-related documents are formatted in a style that sequences information logically, is consistent across documents, and is clearly written. This includes:
- 4.4.1 Common definitions are included in a single glossary.
 - 4.4.2 Using inclusive and consistent language.
 - 4.4.3 Limiting the use of hyperlinks in policies.

Policies and procedures

- 4.5 The Board of Directors is the approval body for all new AIAT policies and procedures.
- 4.6 The following responsibilities must be detailed in each policy and procedure:
- 4.6.1 **Policy (or procedure) Approval:** Board of Directors.
 - 4.6.2 **Policy (or procedure) Authority:** Academic Board OR the Executive Management Group.
 - 4.6.3 **Responsible Officer:** Academic Board committee OR the CEO OR nominated senior manager.
- 4.7 Policies and procedures will be designated as one of the following categories:
- 4.7.1 **Governance:** for matters associated with governing board responsibilities such as risk, strategy, statutory or regulatory requirements. It relates to the processes of decision-making and the controls and practices supporting effective accountability
 - 4.7.2 **Academic:** for academic, teaching and learning, and student-related matters.
 - 4.7.3 **Operational:** for human resource management, financial management, marketing and other operational matters.

- 4.8 Substantial amendments to, or repeal of, approved policies and procedures require the approval of the Board of Directors. Proposed amendments or repeals must be clearly presented in a manner that highlights:
 - 4.8.1 the key changes from the existing document; and
 - 4.8.2 any consequential substantial changes to other policies and procedures (impact).
- 4.9 The CEO or Academic Board may approve minor amendments to any policy or procedure.
- 4.10 Approved policies and procedures are normally published on the AIAT website.
- 4.11 All approved policies and procedures continue to be effective until such time as they are amended or repealed by the Board of Directors.

Other policy-related documents

- 4.12 Guidelines and registers are approved, amended or repealed by Academic Board or the Executive Management Group as relevant.
 - 4.12.1 Each document will have a nominated officer as the Responsible Officer (normally a senior manager).
- 4.13 Forms are approved, amended or repealed by the senior manager with delegated responsibilities for the relevant work-unit.

5. Roles and responsibilities

- 5.1 The **Policy (or procedure) Approval** is the responsibility of the Board of Directors. This involves:
 - 5.1.1 approving, amending and repealing all policies and procedures.
- 5.2 The **Policy (or procedure) Authority** is the responsibility of Academic Board OR the Executive Management Group. This involves:
 - 5.2.1 Overseeing the development / amendment / potential repeal of policies and procedures in accordance with this Policy.
 - 5.2.2 Recommending the final version of policies and procedures for approval or repeal by the Board of Directors.
 - 5.2.3 Ensuring policies and procedures are formally reviewed as required and their currency is maintained.
 - 5.2.4 Approving, amending or repealing guidelines and registers.
- 5.3 The **Responsible officer** is the Academic Board committee, OR the CEO OR the nominated senior manager. This involves:
 - 5.3.1 Overseeing the development, implementation and dissemination of Policy Framework documents in line with this Policy.
 - 5.3.2 Ensuring appropriate consultation is undertaken as part of the development and review process.
 - 5.3.3 Seeking expert advice as required.

- 5.3.4 Ongoing monitoring of relevant legislation.
 - 5.3.5 Drafting the document as required, ensuring consistency with existing AIAT Policy Framework documents (and causing consequential changes to be made when required).
 - 5.3.6 Ensuring Policy Framework documents are monitored and reviewed in accordance with the appropriate timeframes.
 - 5.3.7 The Responsible Officer may delegate all or part of these tasks to a suitable staff member; although the Responsible Officer remains responsible for seeking endorsement and/or approval from the Policy Authority.
- 5.4 The **CEO** and **Academic Board** are responsible for overseeing and approving minor amendments to existing policies and procedures in accordance with clause 4.9.
- 5.4.1 The CEO or Academic Board will notify the Board of Directors of minor amendments where appropriate.
- 5.5 The **Director, Quality Assurance and Risk Management** is responsible for
- 5.5.1 maintaining the policy register;
 - 5.5.2 ensuring policies are reviewed by their review date, if not reviewed earlier; and
 - 5.5.3 ensuring all modified policies and procedures are given to the Board of Directors for approval after internal quality processes are complete.

6. Policy Details

Institution	Australian Institute of Advanced Technologies (AIAT)
Policy name	Policy Framework Policy
Policy Reference No.	POL – 12
Policy Approval	Board of Directors
Policy Authority	Executive Management Group
Responsible Officer	CEO
Governance Reference Threshold Standards	HESF 2021 6.1.3a, 6.1.3b, 6.2.1f, 6.3.1d, 6.3.2.a, 6.3.2b, 6.3.2g
Related Documents	Delegations of Authority Policy Delegations of Authority Procedure Governance Charter
Related Legislation	Higher Education Standards Framework (Threshold Standards) 2021 (HESF)
References	AIAT has referred and benchmarked with the following institutions and policies during the creation of this policy: ACPE, March 2021, Governance Documents Policy Southern Cross University, March 2021, Governance Documents Rule Western Sydney University, June 2020, Policy Framework Policy
Date of approval	2 March 2022

Review date	February 2025
Policy Category	Governance

6. Document Version Control

Document No	POL - 12	Last Modify Date	Summary of Changes
Version No	1.0	NA	Initial version approved by Board of Directors
	1.1	2 March 2022	Major review of document due to finalisation of AIAT Governance Framework and delegations
Created Date	August 2021		