

POLICY FRAMEWORK

Category	Governance
Policy Owner	General Counsel
Last review	8 August 2022
Next review	8 August 2027
Approved by	Executive Leadership Team
Effective date	8 August 2022

1. PURPOSE

The Policy Framework ensures that AUT (**University**) policy documents are developed, maintained, and applied in an appropriate and consistent manner.

Information for staff drafting and reviewing policy documents can be found within the Policy Framework Procedures and Policy Drafting Template on [TUJA](#), the staff intranet.

2. POLICY FRAMEWORK

Policy documents govern University practices supporting the decision-making of our staff and students in alignment with our mission, our vision, our values – tika, pono, aroha (integrity, respect, compassion) – and our culture, while reducing risk.

All policy documents are to be approved by the Vice Chancellor in consultation with the Executive Leadership Team. Approved policy documents and other directives will be displayed on the “Policy Hub” on [TUJA](#).

All policy documents shall be developed, maintained and applied in accordance with this policy and the associated procedures.

Compliance

All members of the University shall comply with all applicable New Zealand laws, legislation and regulations; so far as is reasonably practicable in relation to their role at AUT.

All members of the University shall comply with relevant policy documents and related directives such as statutes, regulations, codes, procedures, standards and guidelines.

All members decisions and actions shall be consistent with the instruction outlined within University policy documents and corresponding directives.

Non-compliance with policy documents or other directives may result in disciplinary action.

Documents

The documents and directives in order of hierarchy is as follows:

Document Type	Purpose
Statutes	Statutes are made by Council under the provisions of s284 of the Education Act 2020. Statutes are binding University laws that cover the formal expectations and processes of the University concerning academic and other matters, they apply to staff and students also.
Regulations	Regulations are rules or directives made and maintained by Council or its delegate.
Policy	Policy establishes the University's position on specific matters, key principles and values that govern decision-making. Compliance with policy is mandatory and applies across the University.
Code of Conduct/Practice	A Code of Conduct or Code of Practice sets out best practice and minimum expectations. Compliance with these codes is mandatory.
Procedures	Procedures give detailed direction on how a policy is to be implemented. Procedures may sometimes elaborate on and give effect to other important University documents. Compliance with procedures is mandatory.
Standards	Standards are instructions or specifications outlined by the University, that are mandatory.
Guidelines	Guidelines are recommended approaches but are not mandatory.

Development

The Policy Framework Procedures and Policy Drafting Template show how policy documents are to be developed, formatted and submitted for review and approval.

Proposal

The Policy Owner, considering feedback obtained through their advisory team completes a Proposal for a New Policy or Procedure form and submits it to General Counsel.

Proposal Review

The proposal for a new policy or procedure may be accepted or declined at this stage. If approved by General Counsel, the Policy Owner drafts the policy or procedure using the appropriate templates.

Drafting

The Policy Owner sends the drafted policy or procedure with any associated documents to General Counsel.

General Counsel performs a preliminary review of the policy or procedure and provides suggestions.

The Policy Owner determines whether to incorporate any of the suggestions.

The policy or procedure is sent to the Assistant Vice Chancellor Pacific Advancement and the Pro Vice Chancellor Māori Advancement for consideration and comment.

Liaising with the Assistant Vice Chancellor Pacific Advancement and the Pro Vice Chancellor Māori Advancement, the Policy Owner determines whether to incorporate any of the suggestions.

Academic Board or its committees must be consulted on the development or significant revision of academic policies and procedures before they are considered for approval.

Approval

The Policy Owner sends the revised policy or procedure in tracked changes to the Head of the Vice Chancellor's Office for consideration by the Executive.

At the Executive meeting, the Policy Owner presents the policy or procedure and captures feedback from the Executive Leadership Team. The Policy Owner makes changes to the policy or procedure, as recommended by the Executive for approval.

Feedback

The policy or procedure is sent to General Counsel who approves its upload onto [TUIA](#).

For 30-days staff are invited to give feedback for new policies or procedures, the Policy Owner will review comments received and will determine what modifications will be made.

If the Policy Owner modifies the policy by taking into consideration any feedback received from staff, they will provide the amended policy and associated documents in tracked changes to the Executive.

After the feedback period, the policy will be considered finalised. The Policy Owner will communicate the policy content to end users.

Review

The default review date for policy and other directive documents is five years from the date of the last review, or five years from the date of commencement for new policies. An earlier review date or a shorter review period, may be requested by the Policy Owner if appropriate.

Policy documents will remain in force unless formally repealed by Council, the Vice Chancellor, General Counsel or their Policy Owner. The Policy will then be removed on TUIA and the University website, if applicable.

Responsibilities

The Policy Owner is responsible for:

- Identifying the need and developing new policy, or any other directive documents;
- The policy document being submitted to General Counsel by the review date;
- Ensuring that the content of policy documents is aligned with the University mission, values and culture;
- Ensuring that policy documents conform to both legal and University requirements;
- Ensuring that policy documents are correctly formatted;
- Communicating the policy to University staff and students, if applicable;
- Implementing approved policies;
- Ensuring that all policy documents uploaded to [TUIA](#) comply with this policy and related procedures; and
- Advising on the formatting and consistency of policy documents.

General Counsel will:

- Confirm that all policy documents uploaded to [TUIA](#) comply with policy and procedures;
- Advise on the formatting and consistency of documents; and
- Develop awareness of the link between policy and compliance.

Academic Board and its committees are responsible for:

- Recommending to the Vice-Chancellor and the Executive Leadership Team on the approval of new or significantly revised academic policies and procedures.

3. DEFINITIONS

Council: is the Council of the Auckland University of Technology constituted in accordance with Part 4, Subpart 3 of the Education Act 2020 and is the governing body of the University.

Policy Owner: is the person whose role is responsible for overseeing the publishing, updating, approval and communicating any changes that may impact others regarding a policy.

TUIA: is the University staff intranet.

University: means the Auckland University of Technology and includes all subsidiaries.

4. SCOPE

This policy and the related Policy Framework Procedures apply to all University members developing, amending or reviewing policy documents and other directives.

5. LEGISLATION AND COMPLIANCE

The University shall comply with all applicable New Zealand laws, legislation and regulations.

See also the Register of Key Legislation and specifically:

[Education and Training Act 2020](#)

All members of the University shall comply with all relevant policy documents and directives.

6. RELATED PROCEDURES/DOCUMENTS

[Policy Framework Procedures](#)

[Proposal for a New Policy or Procedure Form](#)

[Policy Drafting Template](#)

Procedures Template

Standards Template

Guidelines Template

Policies and Procedures can be found on [TUJA](#).

7. DOCUMENT MANAGEMENT AND CONTROL

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