

## POLICY FRAMEWORK PROCEDURES

<b>Category</b>	Governance
<b>Procedure Owner</b>	General Counsel
<b>Last review</b>	8 August 2022
<b>Next review</b>	8 August 2027
<b>Approved by</b>	Executive Leadership Team
<b>Effective date</b>	8 August 2022

### 1. PURPOSE

The Policy Framework Procedures supplement the Policy Framework and specify how policy documents including other AUT (**University**) directives are to be developed, reviewed, or amended.

### 2. SCOPE

These procedures and the related Policy Framework applies to all University members developing, amending or reviewing policy documents and other directives.

### 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.

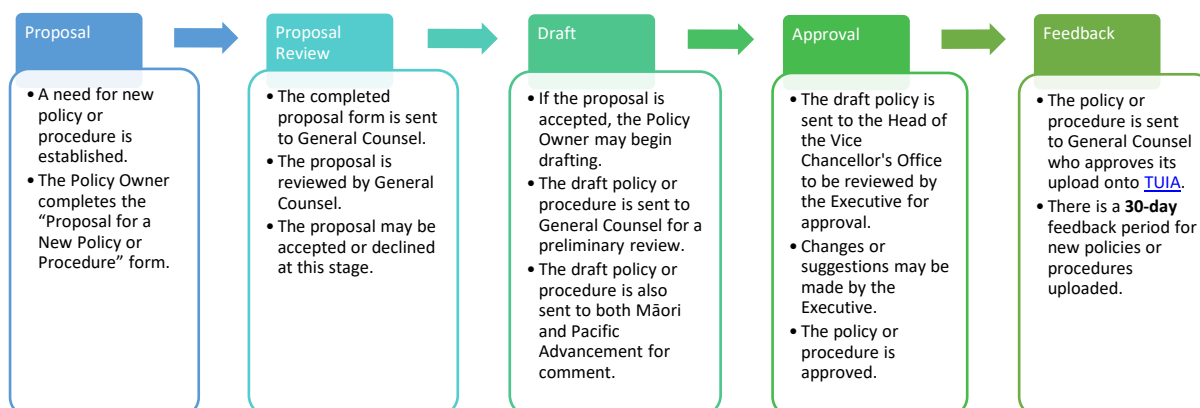
**Policy Owner:** is the person whose role is responsible for overseeing the publishing, updating, approval and communicating any changes that may impact others regarding a policy.

**TUIA:** is the University staff intranet.

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

### 4. ACTIONS

**Diagram 1 – Process for new policy or procedure**



## Drafting Documents

The following templates are to be used for the development of policy documents and other directive documents as applicable:

- Proposal for a New Policy or Procedure Form;
- Policy Drafting Template;
- Procedures Template;
- Standards Template; and
- Guidelines Template.

The above templates can be found on the “Policy Hub” on [TUJA](#), the staff intranet.

Further assistance or advice may be sought from General Counsel.

A watermark ‘DRAFT’ must be included on all policy and directive documents in development or prior to approval.

Policy documents are not to be made available externally or uploaded to [TUJA](#) when in draft format.

## 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 for changes to academic policy or procedures.

## 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.

## **5. 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.

## 6. POLICY BASE

[Policy Framework](#)

## 7. ASSOCIATED DOCUMENTS

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

[Policy Drafting Template](#)

Procedures Template

Standards Template

Guidelines Template

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

## 8. FORMS RECORD KEEPING

All records of this procedure will be retained by General Counsel.

## 9. IMPLEMENTATION

These procedures will be implemented once they appear on [TUIA](#).

## 10. DOCUMENT MANAGEMENT AND CONTROL

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**APPENDIX 1:****PROPOSAL FOR A NEW POLICY OR PROCEDURE**

The purpose of this document is to describe the broad content, justification and impact of the proposed policy or procedure. The form, endorsed by the Policy Owner, must be completed by any Faculty or Division seeking to develop a new policy and submitted to the General Counsel for approval to proceed.

**Policy Statement**

*Write a brief statement of the proposed policy (or procedure).*

**Reason for Policy/ Procedure**

*Describe a problem that the policy/procedure will resolve, the benefits of developing the policy/procedure, and the risk to the University of not establishing this policy/procedure.*

*What legislation, strategic priority, or governance level policy support / give authority to the development of this policy / procedure?*

**Impact Statement**

*What will be the impact of the proposed policy/ procedure on other policy, procedure, or forms?*

**Who will be responsible for developing the policy/procedure?**

NAME (please print): ..... email address:.....

COMMITTEE/ UNIT / ..... contact email:.....

**Policy Owner**

NAME (please print):.....

POSITION (please print):.....

GROUP/AREA.....