

# POLICY FRAMEWORK POLICY

## SCOPE

This policy applies to all Monash University policies, procedures and schedules.

Procedures and schedules are a subset of policy and references to 'policy' and 'policies' in this document include procedures and schedules unless the context indicates otherwise.

## POLICY STATEMENT

### 1. General Principles

- 1.1 The Monash University Policy Framework sits within Monash's broader governance framework, which is derived from the Monash University Act. The Framework consists of policies, procedures and schedules, whereby a policy is introduced only at institutional-level and provides the rules to be applied by decision makers and is used to guide the development of procedures that apply across Monash, and to schedules that have a more specific purpose.
- 1.2 The Framework supports effective policy development, implementation and review by defining roles and responsibilities within the University's governance and management arrangements.
- 1.3 Policy principles:
  - supports the University's strategy;
  - is aligned with and reflects good governance practice;
  - supports the integrity and delivery of high quality education, research and engagement;
  - supports the management of institutional risk compliance and legislative requirements; and,
  - supports operational effectiveness and efficiency.
- 1.4 Policy scope:
  - applies across Monash University; if an in-country law or regulation applies, this will be stated in the policy scope;
  - is consistent with and reflects the University's legal and regulatory framework (the Act, statute and regulations); and
  - states mandatory requirements by use of the words 'must', 'shall' or 'will' for legal and compliance reasons, and must be treated accordingly.
- 1.5 Policy development and review:
  - will be consistent, not duplicative or conflict with other policies;
  - will be equitable, fair and inclusive;
  - will be developed, implemented, reviewed, revised or rescinded in consultation with key stakeholders, unless urgent approval is required;
  - will have a designated owner, approval body and approval process;
  - will identify an accountable contact if decisions are required under the policy; and,
  - will have a set review cycle.

### 2. Policy rules

- 2.1 A policy is a concise, formal and mandatory statement of rules that outline the University's position on governance, academic or operational matters.
- 2.2 Policy must be developed in line with the instructions and templates outlined in the [Policy Framework Procedure](#).
- 2.3 Key stakeholders must be consulted in the development and review processes.
- 2.4 The Senior Manager, University Policy is responsible for ensuring the policy rules are maintained.

- 2.5 A standard process will be used to develop, approve, review, amend, and rescind University policy to support clarity and consistency across all Monash policy.
- 2.6 Policy will be written concisely, in plain English.
- 2.7 Policy should not restate legal requirements but can alert users to their existence.
- 2.8 Policy categories are Governance, Academic, and Operational, with category definitions for each indicated in Table 1.
  - 2.8.1 Academic policies are categorised as Education, Graduate Research or Research to denote the area of application and relevant approval bodies.

Table 1: Policy categories and definitions

Category	Category Definition
Governance	Policies that the Monash University Council reserves for its own approval and for those that underpin the University's compliance with certain legislative obligations, such as audit and risk.
Academic	Policies that support the integrity and delivery of quality education, graduate research and research.
Operational	Policies that support the management and administration of the University

### 3. Procedure rules

- 3.1 A procedure sets out the mandatory University-wide processes, practices or actions required to implement and comply with a policy. It specifies responsibilities for action and decision making.
- 3.2 Each policy must be supported by one or more procedures to provide instructions for policy implementation.
  - 3.2.1 Procedures will be consistent with policies. If inconsistency arises the policy requirement will overrule the procedure requirement.
  - 3.2.2 Under limited circumstances, the Director, Quality may approve development of a procedure that has no parent policy. This may occur where the procedure directly supports a legislative instrument, such as a statute or regulation, or where the procedure is required to meet an external requirement, such as professional accreditation or engagement requirements.

### 4. Schedule rules

- 4.1 A schedule may be developed for implementation in response to a specific requirement within a statute, regulation, policy or procedure, or to meet an external requirement.
- 4.2 A schedule is subordinate to and will be consistent with the policy or legislative instrument from which it derived. Schedules will be listed in the policy or legislative instrument and published on the Policy Bank. A schedule may be introduced for:
- 4.3 Offshore locations:
  - 4.3.1 Where the University operates in an administrative and legislative environment outside Australia, a schedule may be introduced to identify the requirements of the local setting, such as those applying to Monash University Malaysia or Monash Suzhou.
- 4.4 Faculties:
  - 4.4.1 A schedule may be introduced in response to the requirements of a statute, regulation, policy or procedure, or to meet a discipline-specific external requirement, such as a professional accreditation.

### 5. Policy approval

- 5.1 The category of the policy determines the approval process.
- 5.2 The authority to approve, endorse, amend or rescind policy by the Monash University Council, the Vice-Chancellor or their delegates is set out in Table 2.

Table 2: Policy approval and endorsement pathways

Category type	Approval	Endorsement
<b>Governance</b>		
<b>Policy</b>	Monash University Council	Relevant Council committee, following the Vice-Chancellor's Executive Committee
<b>Procedure</b>	Delegated to the relevant Council committee, following the Vice-Chancellor's Executive Committee	Vice-President, Strategy and Governance
<b>Schedule</b>	Delegated to the relevant Council committee, following the Vice-Chancellor's Executive Committee	Vice-President, Strategy and Governance
<b>Academic</b>		
<b>Policy</b>	Academic Board	Relevant Academic Board standing committee: Education Committee, GRC and/or MRC.
<b>Education procedures</b>	Education Committee	Deputy Vice-Chancellor (Education)
<b>Graduate Research procedures</b>	Graduate Research Committee (GRC)	Relevant senior officer: e.g. Vice-Provost (Faculty & Graduate Affairs)
<b>Research procedures</b>	Monash Research Committee (MRC)	Relevant senior officer: e.g. Senior Vice-Provost and Vice-Provost (Research)
<b>Schedule</b>	Delegated to the parent policy owner: e.g. DVC (Education)	Relevant faculty/campus committees or senior officer(s)
<b>Operational</b>		
<b>Policy</b>	Vice-Chancellor's Executive Committee	Relevant senior officer: e.g. COO, CFO
<b>Procedure</b>	Delegated to the relevant executive officer: e.g. COO, CFO	Relevant senior officer: e.g. Executive Director, FiRM
<b>Schedule</b>	Delegated to the parent policy owner: e.g. COO, CFO	Relevant faculty/campus committees or senior officer(s), e.g. PVC & President (Malaysia)

### Urgent policy approval

- 5.3 The Vice-Chancellor may approve an interim policy, or a major amendment to an existing policy, in lieu of the normal approval process in cases that require urgent implementation, such as legislative or regulatory changes.
- 5.4 Where a new policy or major amendment is approved in this way, the policy will be:
- 5.4.1 submitted for noting to the standard approval body at its next scheduled meeting; and
  - 5.4.2 reviewed by the review process outlined in the Policy Framework Procedure within one year of the urgent approval.

### Controlled and associated entities

- 5.5 Where the senior management, in consultation with the board of an entity controlled by the University, or with approval of an entity associated with the University, agree to adopt a University policy, the scope statement of the policy will include that entity

## 6. Accountability

- 6.1 University officers assigned roles and/or responsibilities within a policy may not sub-delegate that accountability.
- 6.2 Where a position title changes or is no longer the title that appears in a policy document, the replacement position title will have the same role and/or responsibility until that policy is updated.

## 7. Review and amendment of policy

- 7.1 Policy must be reviewed at least every three years, unless otherwise specified at the time of approval, and as outlined in the [Policy Framework Procedure](#).

## 8. Records management

- 8.1 All policies will be published on the [Policy Bank](#).
- 8.2 The policy owner/delegate must provide the University Policy Team with a copy of all approved policies, procedures and schedules and provide documentation of the approval.
- 8.3 The University Policy Team will maintain the [Policy Bank](#) and ensure that previous and superseded versions of all policies are kept in line with the University's [Recordkeeping Policy](#).

## 9. Policy Framework Glossary

- 9.1 The University Policy Team will maintain a glossary of terms and standard definitions for all policy. Common terms and definitions will apply across all policy unless separately defined or required by the policy context

### DEFINITIONS

Accountability	Where a policy assigns a specific activity of decision-making responsibility to a member of the Monash University Council and/or staff.
Approval process	The process for the approval of a policy as outlined in the <a href="#">Policy Framework Procedure</a> .
Associated entity	A company in which Monash holds shares, a joint venture, or a partner in a partnership.
Controlled entity	An entity that is controlled by another entity, such as Monash's wholly-owned subsidiaries.
Engagement	Engagement with the University and the broader community, partners in industry, government, non-governmental organisations, and other universities.
Policy amendment	The process for making any amendment to an existing policy, as outlined in the <a href="#">Policy Framework Procedure</a> .
Policy Bank	Monash University's online repository of all policies and associated resources.
Policy category	The policy category identifies the approval process and the policy owner.
Policy delegate	A staff member delegated responsibility for the maintenance of a function related to a policy.
Policy owner	The body or position with the responsibility or delegated responsibility to oversee the development, implementation and review of a policy.
Policy review	The process for the review of policy as outlined in the <a href="#">Policy Framework Procedure</a> .
Senior officer	A member of the executive who has been delegated authority to approve and/or endorse a policy.
University officer	Any member of Monash University staff.
University Policy Team	The operational unit with responsibility for maintaining the Monash Policy Framework and associated policy development, implementation and review.

### GOVERNANCE

Supporting procedures	<a href="#">Policy Framework Procedure</a>
Supporting schedules	N/A
Associated policies	N/A

Policy owner	Monash University Council
Legislation mandating compliance	<a href="#">Monash University Act 2009 (Vic)</a> <a href="#">Higher Education Standards Framework (Threshold Standards) 2015 (Cth)</a>
Category	Governance
Approval	Monash University Council 5 December 2018 MEETING NUMBER 8 / AGENDA ITEM 6.6
Endorsement	Audit & Risk Committee 30 November 2018 MEETING NUMBER 4 / AGENDA ITEM 11a  Vice-Chancellor's Executive Committee 31 October 2018 MEETING NUMBER 10 / AGENDA ITEM 10
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