POLICY FRAMEWORK POLICY

SCOPE

This policy applies to all staff and to all policies, procedures and schedules developed for and on behalf of Monash University.

For the purpose of this policy, references to 'the University' includes activity at Monash University Australia, Monash University Malaysia, Monash University Indonesia, Monash Suzhou and the Monash University Prato Centre, unless indicated otherwise.

Procedures and schedules are a subset of policy and references to 'policy' in this document include procedures and schedules unless specified otherwise.

POLICY STATEMENT

The Monash Policy Framework (Policy Framework) is part of the Monash University Regulatory Framework, which is derived from the Monash University Act (Vic). The Policy Framework consists of policies, procedures and schedules, whereby a policy is introduced at the institutional level, providing 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 support a specific activity or external requirement. The relationship between these documents is referred to as the Policy Framework Hierarchy.

Policy sets out what the University expects of staff and students in undertaking University activities, as well as what staff and students can expect from the University. Policies also guide decision making and communicate roles and responsibilities where appropriate.

The Policy Framework supports effective policy development, implementation and review by defining roles and responsibilities within the University's governance and management arrangements.

1. General principles

1.1 All University policy must be developed in a consistent and transparent manner, in accordance with the Policy Framework's prescribed objectives, position and structure.

1.2 The Policy Framework establishes the following for all University policy:

Policy principles:

- align with the University's strategy and reflect good governance practice;
- safeguard the integrity and delivery of high quality education, research and engagement;
- support the management of institutional risk and compliance with regulatory requirements; and
- support operational effectiveness and efficiency across the University's operations and endeavours.

Policy scope:

- applies across all Monash University locations, unless otherwise stated, and to the University's controlled entities on instruction by Monash University Council (see section 4. Controlled Entities below);
- is consistent with applicable laws and reflects the University's Regulatory Framework (the Act, Monash University Statute and Regulations); and
- states mandatory requirements by use of the words 'must', 'shall' or 'will' for compliance reasons, and must be followed accordingly.

Policy development and review:

- will be consistent, and will not duplicate or conflict with other policy;
- will be equitable, fair and inclusive;

- will comply with the University's [Freedom of Speech and Academic Freedom Policy](#);
- will be developed, implemented, reviewed, revised or rescinded in consultation with the University Policy Team;
- will include all bodies and locations in the policy scope in the consultation and approval processes, and use appropriate language and terminology to reflect those locations;
- must have a designated owner, approval body and approval process (see section 6. Roles and Responsibilities below); 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 included in the consultation process.

2.4   Policy must be written concisely, in plain English.

2.4.1   In certain circumstances, the Director, Office of Quality and Policy may approve the translation of a policy.

2.5   Policy should not restate legal requirements but can alert users to their existence.

2.6   Policy must be readily accessible and promulgated to all relevant stakeholders.

2.7   Staff assigned roles and/or responsibilities within a policy may not re-assign that accountability, unless a formal delegation is in place.

Procedure rules

2.8   A procedure sets out the mandatory University-wide processes, practices or actions required to implement and comply with a policy. Each policy must be supported by one or more procedures to provide instructions for policy implementation.

2.8.1   Procedures must be consistent with policies. If inconsistency arises the policy requirement will overrule the procedure requirement.

2.8.2   Under limited circumstances, the Director, Office of Quality and Policy may approve or determine the most appropriate approval pathway for 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.

Schedule rules

2.9   A schedule may be developed to support unique activities or requirements and/or to meet an external requirement, such as legislative requirements that apply only to a location outside Australia.

2.9.1   A schedule will only be developed where those activities or requirements cannot be clearly set out in the supporting procedure(s).

2.10 A schedule is subordinate to and will be consistent with the parent policy or legislative instrument from which it derived.

3. Policy approval

3.1   The category of the policy determines the approval pathway.

3.2   The policy categories are Governance, Academic and Operational (refer Table 1 for definitions).

3.2.1   Academic policies are sub-categorised as Education, Graduate Research or Research to denote the area of application and relevant approval body(ies).

Table 1: Policy categories and definitions

Category	Category Definition
Governance	Policies that the Monash University Council reserves for its own approval and that underpin the University's compliance with certain legislative instruments and regulatory obligations.
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.

3.3 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.

    3.3.1 Policy may require endorsement by multiple bodies prior to approval, for example where the policy scope includes both Education and Graduate Research matters. The University Policy Team may advise the approval pathway where interpretation of Table 2 is needed.

Table 2: Policy approval and endorsement pathways

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

Urgent policy approval

3.4 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.

3.5 Where a new policy or major amendment is approved in this way, the policy will be:

    3.5.1 submitted for noting to the standard approval body at its next scheduled meeting; and

    3.5.2 reviewed by the review process outlined in the Policy Framework Procedure within one year of the urgent approval.

Policy exemptions

3.6 Policy exemptions may be approved in exceptional circumstances. Exemptions occur due to unforeseen external or internal circumstances and will apply for a specified period of time. All policy exemptions must follow the approval pathway as set out in Table 2.

4. Controlled entities

4.1 Where Monash University Council has notified a controlled entity that a policy is to be adopted and applied by that entity, or the entity has resolved itself to adopt a policy, the scope statement of the policy will include that entity.

5. Review of policy

5.1 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.

6. Roles and responsibilities

6.1 The Director, Office of Quality and Policy is responsible for the application of the Monash Policy Framework across the University and all controlled entities.

6.2 The University Policy Team oversees the application of the Monash Policy Framework across the University and all controlled entities for all policy development, review and implementation.

6.3 Policy owners facilitate and oversee implementation of the applicable policy rules, are accountable for maintaining policy currency and ensuring that policy development and review are undertaken in accordance with the Policy Framework Policy.

6.4 Policy authors are responsible for the drafting and consultation of policy in collaboration with both the University Policy Team and the policy owner.

6.5 Where a position or organisational unit title changes, or is no longer the title that appears in a policy document, and where a position and/or deliberative body named in the policy approval pathway has changed, the nearest appropriate equivalent body or position will have the same role and/or responsibility until that policy is updated.

7. Records management

7.1 All policy will be published on the Policy Bank.

7.2 The policy owner or nominee must:

7.2.1 provide the University Policy Team with a copy of all approved policy and provide documentation of the approval; and

7.2.2 maintain appropriate records associated with the development, consultation, approval and review of a policy document, and records of issues that arise during those processes, in line with the University's Recordkeeping Policy.

7.3 The University Policy Team will maintain the Policy Bank and ensure that rescinded and superseded versions of all policy are kept in accordance with the University's Recordkeeping Policy.

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 [of policy]	The ratification of policy after which the policy may be implemented and published.
Approval pathway	The process for the approval of a policy.
Controlled entity	An entity that is wholly owned by Monash University or in which the University holds a controlling interest.
Delegate	A body or position exercising a formal delegated authority or sub-delegated authority.
Endorsement [of policy]	The confirmation of policy, including the documented actions, responsibilities and responsible parties, prior to approval.
Engagement	Engagement within the University and with the broader community, partners in industry, government,

	non-governmental organisations, and other universities or entities as appropriate.
Nominee	A body or position nominated by a delegate to act in its capacity.
Policy amendment	The process for making any amendment to an existing policy, as outlined in the Policy Framework Procedure.
Policy author	Appropriate subject matter expert nominated by the policy owner to develop and review policy.
Policy Bank	Monash University's online repository of all policy and associated resources.
Policy category	The policy category identifies the approval pathway and the policy owner.
Policy owner	The body or position with the responsibility to oversee the development, implementation and review of a policy.
Policy review	The process for the review of policy as outlined in the Policy Framework Procedure.
Senior officer	A member of the Senior Management team.

GOVERNANCE

Supporting procedures	Policy Framework Procedure
Supporting schedules	N/A
Associated policies	N/A
Related legislation	Monash University Act 2009 (Vic) Higher Education Standards Framework (Threshold Standards) 2015 (Cth)
Category	Governance
Approval	Monash University Council 11 August 2021
Endorsement	Audit & Risk Committee 26 July 2021	Vice-Chancellor's Executive Committee 20 July 2021
Policy owner	President & Vice-Chancellor
Date effective	1 September 2021
Review date	1 September 2024
Version	2.0
Content enquiries	policybank@monash.edu