

POLICY FRAMEWORK – HIERARCHY OF UNIVERSITY GOVERNANCE DOCUMENTS

Type	La Trobe Definition	Distinguishing Features
Act:	<i>La Trobe University Act 2009</i> (except where otherwise indicated).	<ul style="list-style-type: none"> • The Act can be amended only by State Parliament. • The Act is enforceable in court. • The Act is a permanent public record. • The Act is the legislation by which the University was established and incorporated, and which sets the overall structure and boundaries for the University’s activities.
Statute:	Subordinate legislation for or with respect to matters concerning the University under the <i>La Trobe University Act 2009</i> .	<ul style="list-style-type: none"> • Council, and only Council, may make, amend or revoke Statutes; however, the State Minister for Education is the final approving authority. • Statutes are enforceable by the University. • Statutes are a permanent public record.
Regulation:	Made under a Statute of the University to regulate interpretation and implementation of the Statute. It may include procedural information and penalties for non-compliance with the governing Statute.	<ul style="list-style-type: none"> • Any Statute made by Council may provide for the making of Regulations. • Matters which involve penalties belong in a Statute or Regulation rather than in a lower-level document. • Council has full power to make, amend and revoke regulations without referral to the State Minister for Education or the State Parliament. • Council may delegate power to make Regulations by writing specific powers of delegation into Statutes. • Regulations tend to have a shorter ‘shelf life’ than Statutes. • Statutes take precedence over Regulations and override inconsistent Regulations. • Regulations are enforceable by the University. • Regulations are a permanent public record.

POLICY FRAMEWORK – HIERARCHY OF UNIVERSITY GOVERNANCE DOCUMENTS

Type	La Trobe Definition	Distinguishing Features
Policy:	A written statement that documents and explains the University’s official position on an issue and prescribes the approved way of operating in relation to that issue.	<ul style="list-style-type: none"> • A Policy applies to more than one organisational unit of the University. • A Policy must be consistent with the Act, Statutes and Regulations and will be invalid to the extent of any inconsistency. • Policies are developed through a structured decision-making and approval process with Academic Policies approved by the Academic Board and Administrative Policies approved by the Vice-Chancellor on the recommendation of the Senior Executive Group. • A Policy articulates a desired outcome, the philosophical framework and the parameters for action. It includes the allocation of broad responsibilities. It does not list detailed actions. • All Policies are published online in the La Trobe University Policy Library Policies are enforceable by the University. • A Policy differs from a Regulation in that it: <ul style="list-style-type: none"> • Does not flow directly from a Statute, although it may elaborate on one or more elements of a Regulation. • Does not impose penalties. • Usually deals with an ongoing situation or element of core business.
Rule:	A written statement that documents and explains the official position on an issue and prescribes the approved way of operating in relation to that issue.	<ul style="list-style-type: none"> • A Rule applies to only one organisational unit of the University. • Rules are developed through a structured decision-making and approval process, which concludes with the organisational unit referring the Rule to Governance Services Unit for review to determine whether a Policy should be developed. • A Rule is recorded electronically at the organisational unit • In all other aspects a Rule has the same parameters as a Policy.
Procedure:	A document that outlines the allocation of tasks and responsibilities by which a Policy or Rule will be	<ul style="list-style-type: none"> • A Procedure is always linked to a Policy or Rule. • Approval Processes are the same as for the associated Policy or Rule. • Some Policies and Rules may require multiple sets of Procedures.

POLICY FRAMEWORK – HIERARCHY OF UNIVERSITY GOVERNANCE DOCUMENTS

Type	La Trobe Definition	Distinguishing Features
	implemented and that specifies how to carry out an activity or process.	<ul style="list-style-type: none"> Procedures are action oriented and must be structured logically, as consecutive or concurrent steps with triggers and outcomes. The amount of detail in a Procedure depends on mandatory and discretionary actions. Mandatory actions must be detailed; discretionary ones may not be. Procedures normally indicate action at the level of a division, unit or team. Diagrams, flowcharts, other visuals may be useful to illustrate a procedure. A Procedure linked to a Policy should be included in the University Policy Library
Standard:	A document indicating the level of quality that must be achieved.	<ul style="list-style-type: none"> A Standard may be set internally or externally (e.g. ISO quality accreditation standards). A Standard serves as a basis for comparison or a reference point for evaluation. A Standard is essential when successful outcomes depend on precision. A Standard normally supports a Policy or Procedure.
Task List:	A sequential list of the tasks that an individual officer must perform in order to carry out his or her responsibilities under a particular Policy, Rule or Procedure.	<ul style="list-style-type: none"> Task Lists complement Procedures in prescribing action for an individual staff member to contribute to the implementation of a Policy or Rule Task Lists are approved by the local line manager. Task Lists are University records only and are not for public display.
Guideline:	A supporting document that gives explanatory detail about the context, history or application of a Policy, Rule or Procedure.	<ul style="list-style-type: none"> Guidelines tend to evolve over the life of a Policy, Rule or Procedure to capture knowledge gained through practice or research over a period of time. Guidelines are issued by an office or officer that has formal responsibility for the Policy, Rule or Procedure concerned. Guidelines are approved by the local line manager.

POLICY FRAMEWORK – HIERARCHY OF UNIVERSITY GOVERNANCE DOCUMENTS

Type	La Trobe Definition	Distinguishing Features
		<ul style="list-style-type: none"> Guidelines do not direct action – if a guideline results in a certain interpretation or action becoming usual practice, this should become part of a Policy, Rule or Procedure. Guidelines are University records only and are not for public display.
Code of Conduct:	A statement of rules and expectations which has been approved in a formal way but without the legal force of legislation or regulations.	<ul style="list-style-type: none"> Codes of Conduct generally focus on duties and responsibilities and outline expected standards of behaviour. Codes of Conduct can be enforced through contracts and Enterprise Bargaining Agreements. Electronic versions of Codes of Conduct are available on University websites (eg Staff Code of Conduct available through Human Resources Manual)
Checklist:	A list of specific actions in simple language that prescribes the steps to carry out a process.	<ul style="list-style-type: none"> Checklists complement Task Lists and Procedures in prescribing action for an individual staff member to contribute to the implementation of a Policy or Rule Checklists are approved by the local line manager. Checklists are University records only and are not for public display.