

Anga Whakarite Tuhinga
Document Development Framework



Te Pūkenga

Te Whakahaerenga o Te Tuhinga | Document control

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Ngā ihirangi | Contents

1. Kupu whakataki Introduction.....	4
2. Te Pūtake Purpose and Scope	6
3. Te Rārangitanga o Ngā Tuhinga Kaitiakitanga Hierarchy of Documents.....	7
4. Ngā Kawenga me ngā Haepapatanga Roles and responsibilities for policy development.....	10
5. Te Tiriti o Waitangi me te Ōritetanga Te Tiriti o Waitangi and Equity.....	12
6. Tukanga Whakarite Anga, Kaupapa-here, Paerewa hoki Policy Development Process.....	13

1. Kupu whakataki | Introduction

Te Pūkenga – New Zealand Institute of Skills and Technology (**Te Pūkenga**) is a Crown Entity continued on 1 April 2020 as a tertiary education institution and governed by the Crown Entities Act 2004 and the Education and Training Act 2020 (**ETA**).

Te Pūkenga has a statutory mandate embodied in its Charter¹. This expressly states that Te Pūkenga exists to perform the functions set out in section 315 of the ETA and to be responsive to the needs of all regions of New Zealand and their learners, industries, employers, and communities. The Charter also sets out how we at Te Pūkenga must meet those needs and how we are to operate.

Our Charter consists of 4 pou:

Te Pūkenga Charter

<p>Regional Focus</p> <p>Offer mix of education and training in each region including on the job, face to face and distance that is accessible and meets needs.</p> <p>Empower regional representatives to make decisions about delivery and operation informed by local relationships and meeting needs of communities.</p> <p>Ensure collaboration across national network.</p>	<p>Meaningful partnerships</p> <p>Develop meaningful partnerships with industry across the country including Māori and Pacific employers, smaller employers and niche sectors and with communities at a local level including hapū and iwi and Pacific communities.</p> <p>Use insights gained through partnerships to develop and provide vocational education and training that meets needs – both short and long term.</p> <p>Align education and training delivery to support unique social and economic goals of local communities.</p>	<p>Te Tiriti o Waitangi</p> <p>Ensure that Te Pūkenga governance, management and operations give effect to Te Tiriti.</p> <p>Recognise that Māori are key actors in regional, social, environmental and economic development.</p> <p>Respond to the needs of and improve outcomes for Māori learners, whānau, hapū and iwi and employers</p>	<p>Inclusivity and equity</p> <p>Hold inclusivity and equity as core principles.</p> <p>Recognise and value the diversity of all learners and provide unique types of support for different learners to succeed.</p> <p>Meet the needs of all learners – particularly those who are underserved by the education system including Māori, Pacific and disabled learners.</p> <p>Work towards equity for learners and staff of different genders, ethnicities, cultures and abilities.</p>
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Te Pūkenga policies must give effect to and comply with Te Pūkenga legislative obligations and align with strategies adopted by Council. Reference to the Charter is not sufficient, regard must be had to the wider legislative and strategic landscape in which the policy is to apply.

Te Pūkenga values

Te Pūkenga values are our central compass to guide our behaviour as an organisation:

- Manawa nui – we reach out and welcome in
- Manawa roa – we learn and achieve together
- Manawa ora – we strengthen and grow the whole person

By promoting good government and disciplined ways of working, the policies of Te Pūkenga seek to give clarity on how we enact our values and fulfil the Charter requirements; they govern our practice

¹ Schedule 13, ETA

and support implementation of our strategies, supplementing our values with principles, processes and agreed standards that drive quality outcomes. They ensure we are complying with legislative requirements, are consistently following good practice and are operating in a safe and inclusive environment for all kaimahi and ākonga. They will also help to protect the integrity and the reputation of the institution, one in which our ākonga have chosen to enrol and our kaimahi have committed to work.

Te Pūkenga will achieve quality outcomes, reduce organisational risk, and provide a safe environment only if all members of Te Pūkenga have regard to the policies, procedures and other documentation that are issued. It is a condition of employment for all kaimahi to ensure they understand the policies and procedures that apply to them in the performance of their roles.

2. Te Pūtake | Purpose and Scope

Section 284 of the ETA provides that a council of a tertiary institution may pass statutes for the sake of good government and discipline within the institution. In this context “statutes” is a general term and in other institutions has been used to cover a range of documents with a confusing variety of names: statutes, regulations, policies, procedures, directives, standards, codes of practice, protocols, guidelines and frameworks.

We want our internal regulatory framework to be clear and, as far as possible, relatively simple. The approach we have chosen to take is to have the following internal regulatory documents:

1. Policies
2. Directives - Regional / Operational
3. Procedures
4. Frameworks
5. Guidelines

The key question is: which are **mandatory** and require compliance, and which are intended to be **considered** for relevance and application in the context of an action or decision. The answer is:

- (i) Mandatory: Policies and Procedures
- (ii) For consideration: Guidelines and Frameworks
- (iii) Hybrid (partly mandatory and partly discretionary): Directives which are intended to set out **what outcomes** are to be achieved (mandatory) but allow flexibility as to **how** those outcomes are to be achieved (discretionary).

This Document Development Framework document applies to all Te Pūkenga activities and to our kaimahi (including governance members where relevant) and ākongā.

3. Te Rārangitanga o Ngā Tuhinga Kaitiakitanga | Hierarchy of Documents

WHY

To ensure compliance with legislation, Council strategies, support decision making and underpin a safe, equitable organisation that aligns with its values.

HOW

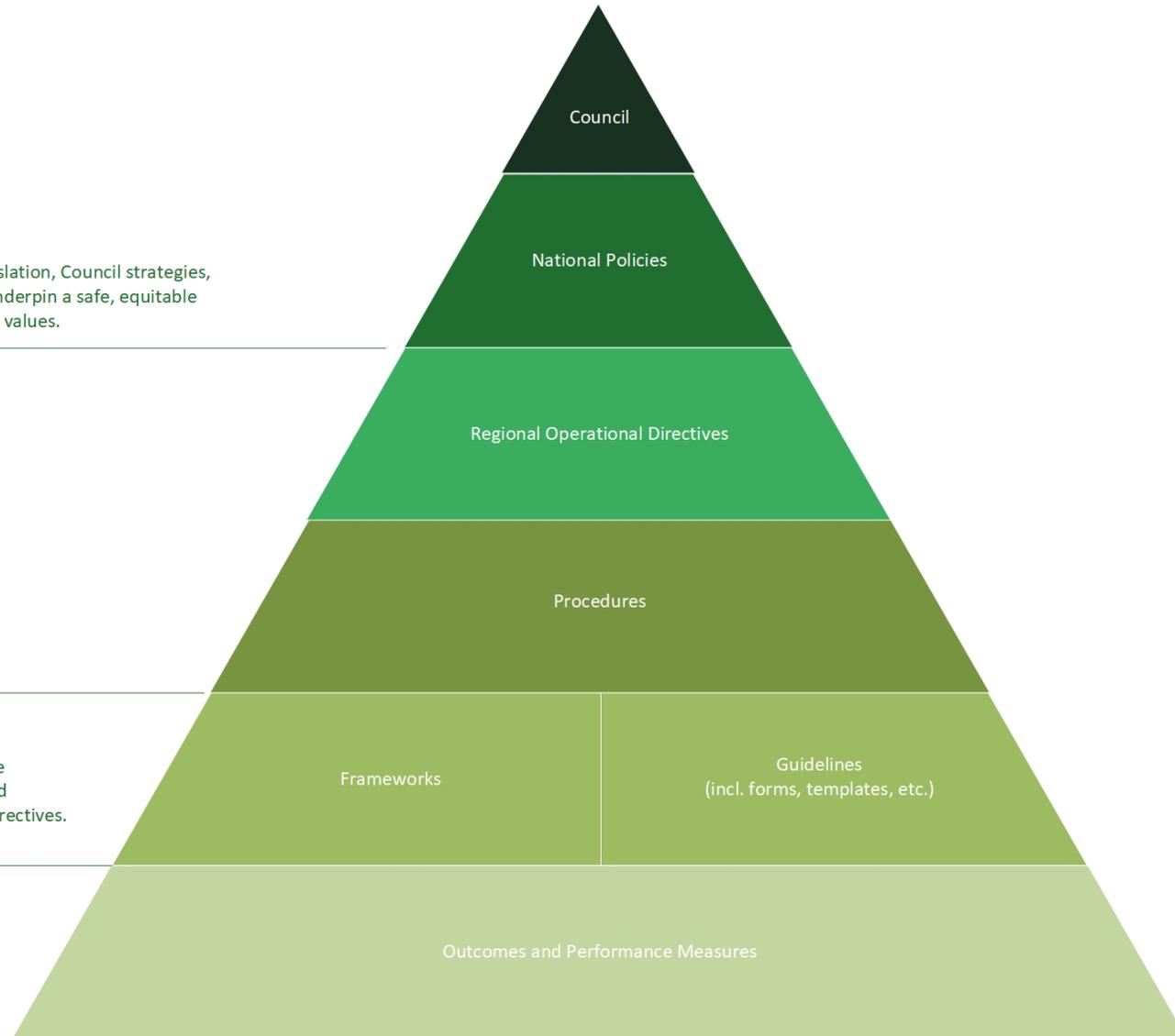
What everyone must have in place to implement policy.

WITH

Further guidance to support the consistent application of related procedures, frameworks and directives.

WHAT

Results of implementing this Framework.



Further detail as to each category of document is included in the following table.

Instrument	Description	Approving Authority
WHY	<p>Policies (governance) High-level guidance connecting our Te Pūkenga vision, values, and statutory mandate with day-to-day operations. Statements to indicate how Te Pūkenga will act in a particular aspect of its operations, applied across Te Pūkenga at a national level.</p> <p>A policy will be a governance policy if the subject matter is core to meeting our strategic objectives, requires Council oversight and / or the Chief Executive determines that he/she seeks Council support in relation to the particular matter. If a policy is not a governance policy, it is a management policy. Further guidance to be provided in Te Pūkenga Governance Manual.</p> <p>Audience is Te Pūkenga kaimahi and ākonga.</p>	Council (or as delegated by Council to committees of Council)
	<p>Policies (management) High-level guidance to kaimahi setting out the principles to inform decision making at a national level in relation to the relevant subject matter.</p> <p>Audience is Te Pūkenga kaimahi and ākonga.</p>	Management (ELT)
HOW	<p>Directives Directives set out what outcomes are to be achieved but allow flexibility as to how those outcomes are to be achieved.</p>	Council / Management (may be requested / driven by regional leads). Approving authority will be determined by whether the subject matter requires governance oversight or is operational. Office of Chief Executive to confirm.
	<p>Procedures Procedures set out, elaborate on, and give effect to policies by providing step-by-step / sequential process instructions. They may be supported by process maps or diagrams.</p>	Management (will be on a regional or a national level depending on the subject matter)

Instrument	Description	Approving Authority
WITH	<p>Frameworks</p> <p>Used to determine how to implement the policy upon which the Framework is based.</p> <p>Provide a sensible, transparent, and co-ordinated approach to the subject matter of the framework document.</p>	Council
	<p>Guidelines</p> <p>Sets out expectations and good practice in relation to aspects of how we need to work, individually and collectively, standards we need to meet, behaviours we need to demonstrate, and expect from others, although not usually by describing process actions step-by-step.</p> <p>May include codes of practice, forms, templates, etc.</p>	Management (will be on a regional or a national level depending on the subject matter). May be requested / driven by regional leads
WHAT	<p>Outcomes and Performance Measures</p> <p>Specific measures built around the purpose or result the function, goal, service, product, or activity to deliver or fulfil. These are indicated within such instruments as business/project plans and monitored through regular reporting.</p>	Established by Management in conjunction with stakeholders

4. Ngā Kawenga me ngā Haepapatanga | Roles and responsibilities for policy development

All kaimahi, ākonga and Ohu Kaitiaki (governance members) must respect and act in accordance with policy requirements. The responsibility for the development of policy is as follows:

Kaimahi Roles and Responsibilities

Chief Executive (CE)	<ul style="list-style-type: none">• Management is responsible for the establishment and implementation of the Document Development Framework.
Executive Leadership Team members (including Regional Leads)	<ul style="list-style-type: none">• Raise staff awareness of policies, and ensure they act in accordance with organisational policy once approved by the relevant approving authority.• Approve procedures.
Regional Leads, Directors and Line Managers	<ul style="list-style-type: none">• Management is responsible for the development of all policy.• Induction of staff reporting to them and ensuring the policies are accessible and shared with kaimahi.• Participate in the development, implementation, and review processes for policy within their areas of technical expertise and manage application and ongoing review of policies that apply in their area and ensure such policies remain current and fit for purpose.

Structural Roles and Responsibilities

Te Pūkenga Council (Council)	<p>Council has governance responsibility for the establishment of the Document Development Framework and</p> <ul style="list-style-type: none">• Provide direction to management and the governance function as to the governance matters it wishes to address via policies.• Approve, issue and monitor governance policies.• Review and endorse governance policies and frameworks and, where relevant, regional directives. Council may delegate approval rights as Council considers appropriate to committees of Council.
Te Pūkenga Council Sub-Committees (not being advisory committees)	<p>Leadership input into assigned policy areas.</p> <ul style="list-style-type: none">• Review all assigned policies for alignment with responsibilities and focus areas delegated by Council.

Structural Roles and Responsibilities

- Endorse and recommend governance policies, frameworks, and, where relevant, regional directives to Council for approval or approve such matters delegated to do so by Council.

Te Pūkenga Section 325 Advisory Committees

- Input into relevant policies (as determined by Council) through consultation and engagement.

Governance Division

Management accountability for policy.

- Review all governance policies to:
 - Confirm sound rationale for policy
 - Identify any challenges or shortcomings
 - Work with relevant subject matter group to address any identified challenges or shortcomings
- Maintain central repository of all policies.
- Provide regular reporting on policy activity.

Legal

Risk

Assurance

- Legal compliance review and advice in relation to legislative changes and amendments required to operational practices if necessary.
 - Assurance in relation to good practice and operational implementation and monitoring.
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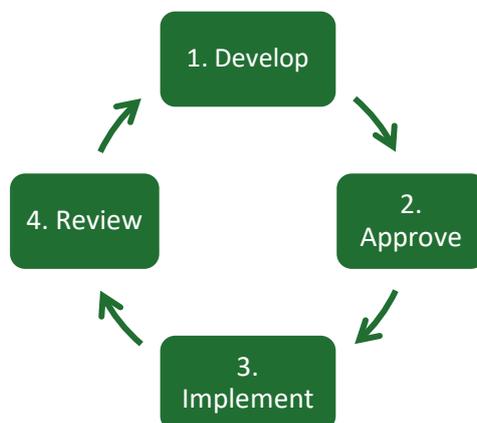
5. Te Tiriti o Waitangi me te Ōritetanga | Te Tiriti o Waitangi and Equity

Te Pae Tawhiti provides guidance to our organisation about our responsibilities as a Te Tiriti o Waitangi partner and is intended to influence and enable how we work as an organisation to fulfil our commitment, responsibilities and obligations to Te Tiriti o Waitangi. Te Pūkenga policies, frameworks and procedures must be developed with regard to the purpose of the document and by applying a Tiriti lens. Applying a Tiriti lens to a policy means that a specific action to give effect to Te Tiriti has been identified which supports the policy which has been developed. In other words, it is not sufficient simply to refer to “Te Tiriti principles” in general terms.

Furthermore, an equity lens will also be applied to analyse or diagnose the impact of the design and implementation of policies on under-served and marginalized individuals and groups, and to identify and eliminate potential barriers. In the same way, it is important to identify the group and how they would benefit from the policy.

6. Tukanga Whakarite Anga, Kaupapa-here, Paerewa hoki | Policy Development Process

The process for the development of any governance document has four key stages:



1. Develop

New or revised policies, frameworks, procedures, regional directives, and guidelines are developed / revised as follows:

Research and Collate – Legislation Updates, Resources and Procedures

- a) Document sponsor:
 - identifies the need for a document to be developed or for an existing document to be revised / replaced (as part of a review or otherwise).
 - uses the approved template to draft or revise.
 - consults with all key / interested stakeholders on the draft document or revisions and adjusts the draft to reflect feedback (as appropriate).
 - completes consultation and implementation plan templates.
 - forwards draft document/ revisions and plans to CE Office for analysis.
- b) Governance engages with Legal and Risk in relation to the legal components of the document.
- c) A draft document (with any updates / amendments in tracked format) is returned to the document sponsor for agreement.
- d) Once agreed, document is returned to Governance to arrange for submission to the appropriate first approval authority. Document sponsor is responsible for drafting of cover paper and explanation to the approval authority as to why the document is being proposed and providing assurance as to why it should be considered a good policy (including consultation undertaken and subject matter expertise sign off obtained).

Related documents

- Policy and Procedure Development Procedure
- Policy and Procedure Development Procedure – Guidelines
- Policy Template
- Directive Template
- Procedure Template
- Policy Communication and Implementation Template
- Policy Consultation Template

2. Approve

New or revised document is approved as follows:

Approval Process

a) Document sponsor submits draft document / revisions and plans to the ELT.

Governance Policies

b) ELT accepts the draft document / revisions (including with any amendments) and, in the context of governance policies, recommends the draft / revisions to the appropriate first approval authority for endorsement or approves editorial review changes.

c) In the context of governance policies, the relevant first approval authority endorses the draft / revisions (including with any amendments) and recommends that the draft / revisions be submitted to Council for approval or approves the policy where it is within their delegated authority to do so. If not,

d) Council approves the draft document / revisions (including with any amendments).

Management policies

e) ELT accepts the draft document / revisions (including with any amendments) and recommends revisions to the document sponsor or approves the policy.

New or revised documents are approved as follows:

Document Category	Approval Process		
	Recommended By	Endorsed By ²	Approved By
Policy (specifically related to educational matters)	ELT	Te Poari Akoranga	Council ³
Policy (Governance) (as delegated)		Risk and Audit Committee	
Policy (Governance) (specifically related to Health, Safety and Wellbeing)		Health, Safety and Wellbeing Committee	
Policy (Governance) (specifically related to appointments and remuneration)		Appointment and Remuneration Committee	
Frameworks		Relevant sub-committee of Council	
Management policies / Regional Directives	Management	Relevant ELT member / Regional Lead	ELT
Procedures / Guidelines		Relevant ELT member	ELT

3. Implement

Approved document is implemented as follows:

Implementation Process

- a) Ensure version and referencing conventions are applied to the approved document.
- b) Undertake Communication / Implementation Plan, including the delivery of any identified training.

4. Review

As a result of ongoing monitoring, documents are reviewed on a periodic basis to ensure that they are current and fit for purpose. The review timeframes are as follows:

² **Note:** Council may choose to delegate authority to the Committee or management in relation to the document.

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Review Period		Review Commentary	Approval
Policies	Every 3 years	Document sponsor may determine whether the review period should be varied based on changes to the environment (e.g., legislative change or organisational change).	Determination by the relevant ELT member and approved by Council where the policy is governance and by wider ELT where it is a management policy.
Frameworks			Determination by relevant ELT member and approved by relevant sub-committee of Council.
Procedures, Regional Directives, and Guidelines	Annually	Relevant ELT member to align the review period with the relevant document.	Determination by relevant ELT member and approved by wider ELT.

The type of review is determined by the following parameters:

Editorial Review	Analysis Review	Change Review
Review to make non-procedural editorial changes (i.e., spelling, grammar, title, or reference changes, and adjust format) as there is confidence that document is fit for purpose and meets required needs.	Review to analyse current document use and see if changes (if any) should be made.	Review to confirm changes already identified through external assessment (e.g., audit) or situational awareness (e.g., repeat issues).
Limited or no consultation required	Full consultation required	Full consultation required

Withdrawal

Documents may be withdrawn as follows:

Withdrawal Process

- a) Function or activity outlined or provided for by the document is discontinued, or document provision is incorporated into another governance document.
- b) Sponsor submits to ELT for policy to be withdrawn.
- c) The ELT accepts the withdrawal submission and recommends the submission to the relevant first approval authority for endorsement.
- d) The relevant first approval authority endorses the withdrawal submission and recommends the submission to Council for approval.

- e) Council approves the withdrawal submission.
- f) Withdrawn document is appropriately watermarked and archived.



Te Pūkenga

tepūkenga.ac.nz