



Quality Management Policies

University at 'Atenisi Institute
Tufuenga district
Nuku'alofa



Iteration 3: June 2018

Introduction

University instruction commenced in 1975. Noted alumni, among others, include Va'inga Tone (Ambassador to the United Nations), Siamelie Lātu (former Ambassador to China), Dr Robin Havea (senior lecturer/mathematics, University of the South Pacific, Fiji), 'Eiki Tu'i'āfitu (former Minister of Health), Dr Viliami Uasike Latu (former Minister of Commerce), Siosifa Tu'utafaiva (former Minister of Police), Luisa Tu'i'āfitu Malolo (Climate Change Response director, Ministry of Energy, Environment etc.), Inoke Finau Vala (implementation director, Tonga Energy Road Map, Ministry of Energy, Environment etc.), Viliami Lolohea (former immigration director, Ministry of Foreign Affairs), Dr Siosifa Ika (former human services officer, State of Western Australia), and Dr 'Opeti Taliai (former university dean, 'Atenisi Institute).

'Atenisi's founder, the late Dr 'Ilaisa Futa Helu, believed all Tongans ought have access to tertiary education regardless of their financial situation ... and that families shouldn't need to endure the financial and emotional hardship of sending their daughters and sons overseas to obtain tertiary education.

Dr Helu was inspired by the philosophers of ancient Greece, and sought to bring their tradition of free enquiry and robust debate to Tonga. He also strived to create a university where resident and visiting Polynesian and *palangi* scholars might learn from one another.

Our Philosophy

All the policies of the 'Atenisi Institute are based upon its unique and influential philosophy of education. The two pillars of this philosophy are critical thinking and cross-cultural exchange.

'Atenisi's pedagogy is designed to deploy critical analysis and cultural interaction. Its instructors encourage students to analyse and debate what they are studying, rather than simply absorb information and repeat catch phrases. The institute's classrooms are places where diverse voices are heard, and where disagreement is encouraged rather than stifled.

'Atenisi implements cultural exchange by welcoming students, faculty and ideas from around the world. Mizue Tada, a Japanese undergraduate, was a superior student throughout 2013. Brody Loeffler, a Filipino undergraduate, and Laura Bori Bayona, a Catalonian graduate, enrolled in July 2017. And U.S. Pentecostal pastor Reverend Marvin E. Stow was a postgraduate student from 2015 through 2017.

And over the past four decades a series of distinguished international scholars and artists have joined the 'Atenisi faculty for one or two semesters to share their ideas and interact with Polynesian culture. Among others, the roster includes historian Dr Ian C Campbell, anthropologists Drs Avigail Morris, Cécile Quesada-Moaeteau and Max R and Eleanor Rimoldi, sociologist Dr Scott Hamilton, geographer Cecylia Malgorzata Dziewiecka, classicists Dr William Berg and Edward Jenner, mathematician Dr Raymond A. Zepp, biochemist Dr Mårten Runquist, pharmacologist Dr Nada Matas-Runquist, linguists Dr Susan U. Philips and Virginie

Dourlet, educator Dr Eve Coxon, poet Leialoha Apo Perkins, and filmmaker Paul Janman. And throughout 1998, the celebrated anthropologist Dr ‘Okusitino Māhina served as university dean and professor at ‘Atenisi.

In turn, ‘Atenisi faculty have studied and taught internationally. Books, journal articles, lectures, colloquia, and cinema by our faculty – including the acclaimed documentary about ‘Atenisi, “Tongan Ark” [2012] – have garnered global attention. Over the past decade, ‘Atenisi’s current dean, Dr Michael Horowitz, has been in summer residence at five New Zealand universities – Auckland, AUT (twice), Canterbury (twice), Otago, and Victoria, as well as visiting autumn lecturer at the University of Waikato. He has additionally retained [austral summer] residencies at both the University of Hawai’i and East-West Center in Honolulu. And associate dean Dr Lorenz Gonschor recently completed an [austral winter] residency at East-West Center as well.

All of ‘Atenisi’s day-to-day policies are designed to put critical thinking and cultural exchange into practise. Because the Academy wishes students to think critically and dispute confidently, we have policies to ensure their rights and safety. Because we encourage exchange with different cultures, we have policies to ensure equality and diversity. Because we believe that Tonga benefits from robust public debate, we organise monthly events like our public lecture series ... as well as special events like our Festival of Democracy in June 2014 and, since October 2015, the annual Nuku’alofa International Film Festival.

CREATING POLICY

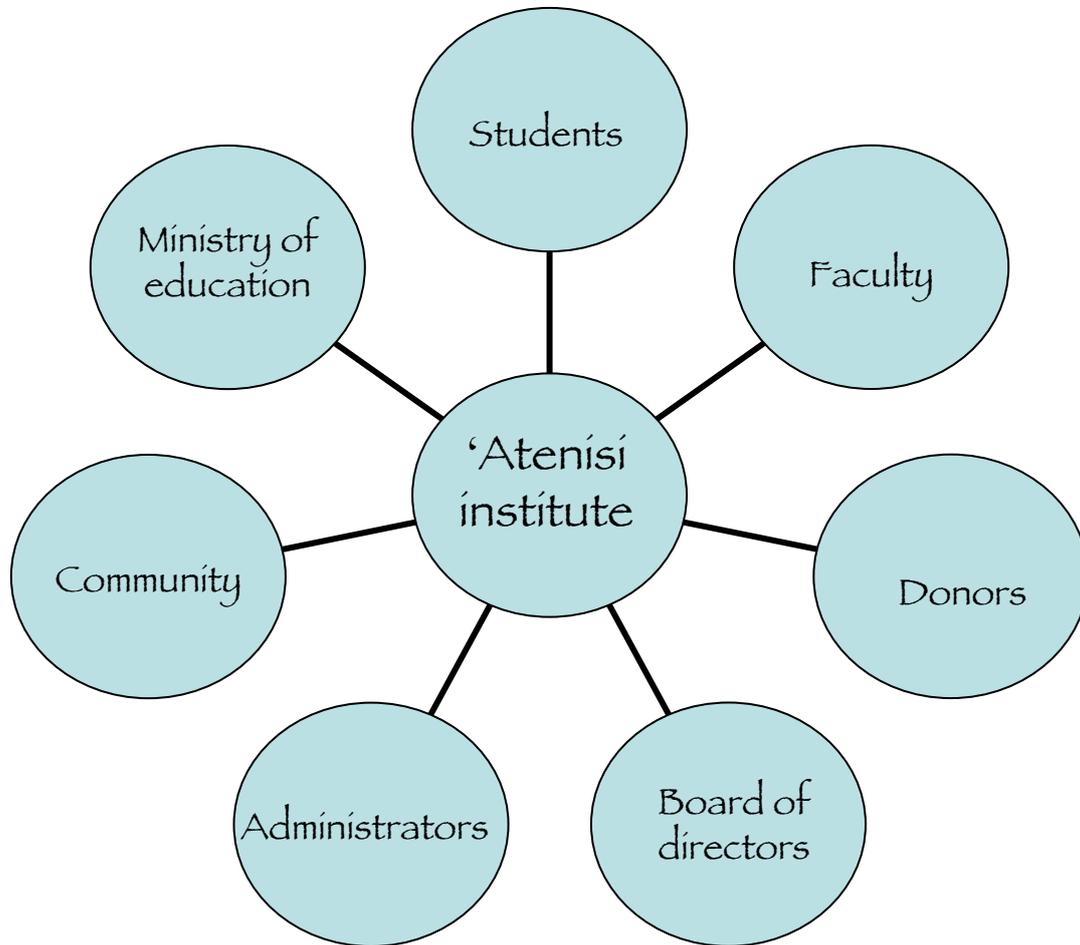
The purpose of institute policy is to define the principles and guidelines for effective, sustainable and viable operation that are consistent with the vision and mission of its late founder Dr ‘I Futa Helu, as cited below. Although lodged in accordance with TNQAB parameters, it is not strictly limited to those guidelines. Consequently, the institute’s Quality Management System is a living document, allowing flexibility and ongoing assessment.

Our Vision Statement

1. To foster the development of critical scepticism, intellectual autonomy, rationality, logical analysis, and, where appropriate, scientific methodology in the Pacific Islands;
2. To foster the development of autonomous institutions in the Pacific Islands, specifically intellectual independence from religious and political institutions;
3. To deepen appreciation of European civilisation among the people of the Pacific Islands, including their proficiency in the English language and their appreciation of European literature, drama, music and opera;
4. To deepen global appreciation of the civilisation, wisdom and art of the people of the Pacific Islands, including song and dance;
5. To foster partnership between Tongan and international academics and performing arts talent at all levels of the institution, including governance and operations;
6. To develop and maintain systems for the institution to ensure the achievement of excellence in delivery and development;

- To help students help themselves by empowering them to take control over their own destinies.

STAKEHOLDERS CHART



Our Mission Statement

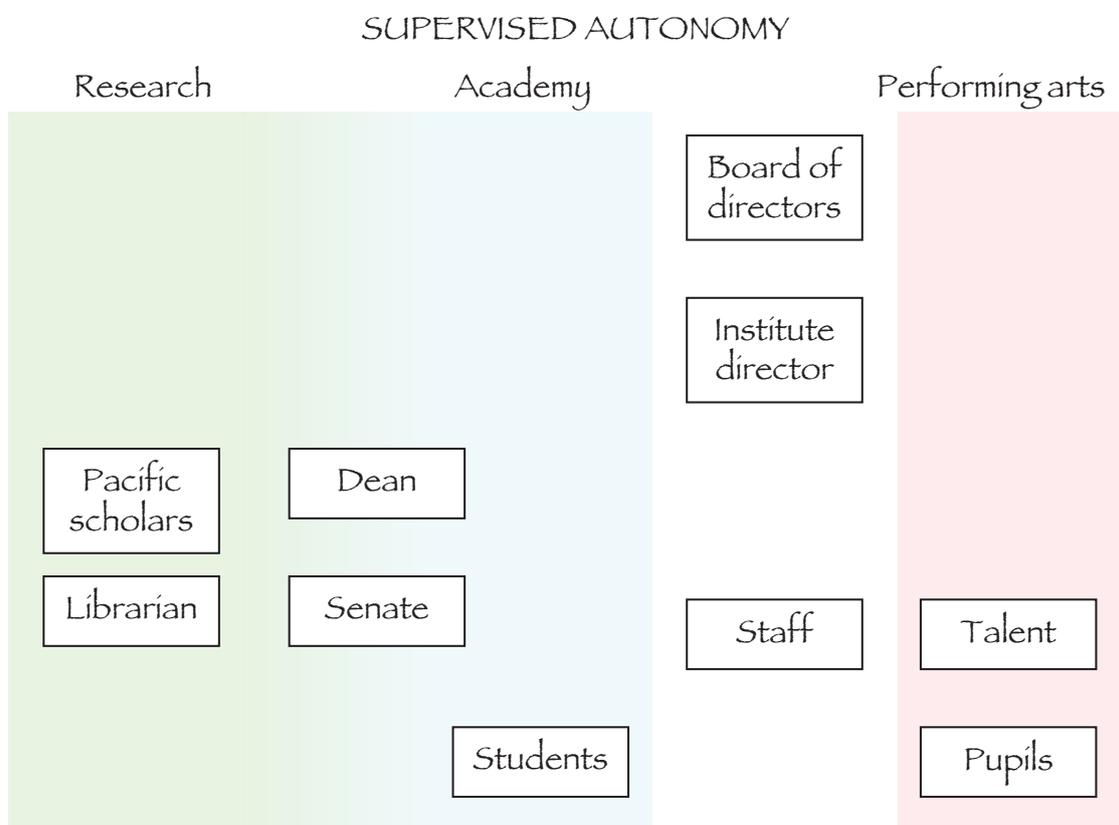
- To offer tertiary instruction based on the traditional disciplines within the social sciences, humanities, natural sciences, and arts, with an emphasis on the interaction between theory and practise in these disciplines;
- To assist proficiency in tertiary education towards the eventual attainment of postgraduate and professional degrees;
- To maintain discrete colleges of both the Arts & Sciences and Media Studies;

Our Values

- To regard philosophy as the mother of theory guiding the traditional disciplines;
- Exclude academic courses confined to subcultures defined by gender, race or sexual orientation;

3. Permit the established components of the institute, that is, the tertiary academy and the Performing Arts centre to operate autonomously within the Institute as a means of guaranteeing academic and artistic freedom.

ORGANISATION CHART



The institute is composed of three divisions: tertiary academy, academic research, and performing arts; each division operates and represents itself autonomously as a means of insuring academic and artistic freedom.

The institute is administered by the following units:

- The Board of Directors, which retains administrative authority.
- The Institute Director, who guides the academic divisions in consultation with the dean, and manages the performing arts division;
- The Dean, who manages the academic divisions;
- The Faculty Senate, who advises the Dean on academic matters;
- Associated Students, which conducts curriculum and faculty evaluations and sends a non-voting representative to the Faculty Senate.

OPERATIONS

Board of Directors

Current members include: Chairperson/Institute director: ‘Ilaisaane Sisi‘uno Helu; Dr ‘Aisake Eke (DBA), Dianne Warner (MBA); Firitia Velt (MS).

EX OFFICIO (non-voting)

University dean: Dr Michael Horowitz

Associate dean and faculty representative: Dr Lorenz Gonschor

The Board convenes quarterly, employs the Institute director annually, and, when required, judges appeals from the Faculty Senate on demand.

Institute Director

The institute director guides ‘Atenisi’s three divisions – university and academic research (in consultation with the university dean), and performing arts – and manages the performing arts centre.

Dean

The dean manages the former two divisions, and is advised by the Faculty Senate.

Faculty Senate

The Faculty Senate is the advisory body of the university and academic research divisions. Every university instructor retains a single vote, except the dean, who may only vote to break a tie. In addition, a non-voting student representative is invited to observe each meeting.

The Senate is responsible for devising programmes and policy designed to promote, maintain and monitor academic standards. It recommends to the Dean:

- Programmes that ensure superior curricula and delivery;
- Policies that ensure academic freedom and quality, ethical integrity, and the protection of intellectual property;

In addition, the Senate entertains appeals lodged by faculty, staff, or students on any academic matter. And any member representing the Senate’s criticism of any decision of the Dean may, if so delegated, appeal said decision to the Board of Directors.

Associated Students

Associated Students conducts course and instructor evaluation, and sends a non-voting representative to the Faculty Senate. In its deliberations, each enrolled student is entitled to a single vote.

QUALITY AT ‘ATENISI

‘Atenisi is focused on achieving academic quality through professional and innovative staff delivering a diverse mix of knowledge. Quality means ensuring that students are taught by scholars expert in their disciplines. ‘Atenisi will strive to accommodate the technology that supports effective instruction and accessibility. It also means that systems need to be in place that enable students to learn in a supportive environment complemented by individual learning support. This requires the contribution and commitment of every member of the ‘Atenisi community.

‘Atenisi will develop and enhance its reputation for the provision of quality learning and teaching in a safe and supportive environment. It shall provide stakeholders with an assurance that quality education is supplied both internally and externally. It will establish reasonable procedures for staff. The staff and students are the primary resource for the development, implementation and improvement of quality. It will provide continuous improvement in academic and administrative service. It will operate according to sound business principles with a reliable and consistent quality of performance and financial responsibility.

Self-Evaluation

Evaluation of university instruction comprises moderation by Associated Students per ¶A11 below. By evaluation is meant a reflective process that focuses on the quality of the learning experience whilst supporting a culture of ongoing improvement. The following guidelines will be deployed in its implementation:

1. How well do programmes and activities endeavour to satisfy articulated objectives of students?
2. How effective is academic instruction?
3. How well are students guided and supported?
4. How well do graduates perform – either within or outside academe – after receiving their degrees?
5. How effective are governance and management in supporting these efforts?
6. In light of the performance achieved in these areas, what is the resulting utility of the university for key stakeholders?

DEVELOPMENT, APPROVAL & REVIEW OF POLICY

Policies are developed according to the following main categories:

- Academic prefixed “A” followed by a number;
- Financial prefixed “F” etc;
- Generic Management prefixed “G” etc
- Library prefixed by “L” etc
- Students prefixed by “S”
- Human Resources prefixed by “H” etc
- Marketing prefixed by “M” etc
- Physical Resources (includes Information Technology and other assets) prefixed by “PR” etc
- ‘Atenisi Partnership prefixed by “AP” etc

Academic Policies

A3 Research

The following types of research are conducted at 'Atenisi:

1. Basic or fundamental: experimental or theoretical work undertaken primarily to acquire new knowledge without any particular application or use in view.
2. Strategic: work that is intended to generate new knowledge in an area that has not yet advanced sufficiently to enable specific applications to be identified.
3. Applied: work that develops or tests existing knowledge and is primarily directed towards either specific practical objectives or towards the evaluation of policies or practices.
4. Academic: work which is intended to expand the boundaries of knowledge and understanding within and across disciplines by the analysis, synthesis and interpretation of ideas and information, making use of a rigorous methodology.
5. Creative: the invention and generation of ideas hypotheses, images, performances or artefacts, including design, in any field of knowledge, leading development of new knowledge, understanding of expertise.

This policy applies to all research activities of staff and students at 'Atenisi. There are a number of scenarios in which students become involved in research, i.e.:

A3.1 courses require the student to complete individual, group or even class research projects as part of gaining course credit;

A3.2 student participating as research assistants in internal research projects carried out by staff that have been approved by the research committee;

A3.3 student participating as research assistants in projects carried out by staff members who are conducting research as part of their own post-graduate qualifications;

A3.4 students carrying out research projects within programmes run the other tertiary institutions; and

A3.5 students carrying out research for a Bachelor's honours dissertation, Master's or Doctoral thesis'

The Senate will ensure that appropriate advice, guidance, academic and operational procedures are in place to recognise and support the role of research within the institute. We will endeavour to comply with all legislation and will support research projects that have the potential to enhance the professional profile of staff, improve student performance, the content and delivery of educational programmes and develop or foster relations with the community.

The Senate will oversee research policy and function, including identifying the areas and disciplines of strategic importance to degrees and courses, as well as monitoring research funds when available.

All research involving human groups will be required to go through the requisite approval process. 'Atenisi will ensure ethical guidelines are in place to provide protection for faculty, students, and subjects. Further 'Atenisi will support staff researchers to disseminate their findings through publication and presentation, and where appropriate to incorporate such activities into their professional development.

A6 Academic Appeals

The purpose of this policy is to provide a framework for student appeals on any academic matter relating to a programme of study. The policy applies to all students studying in any academic programme.

A6.1 A student may appeal to the Faculty Senate on any decision, action or omission in respect to academic matters relating to their programme of study.

A6.2 The academic matter is initially discussed with the instructor; however, if the student remains unsatisfied, the matter is referred in writing to the Dean for a written response.

A6.3 If the matter is still unresolved after seven days, a written appeal is lodged with the secretary of the Faculty Senate and an appeal meeting convened.

A7 Student Entry, Selection and Withdrawals, Fees and Refunds

The purpose of this policy is to provide a system for the admission and withdrawal of students enrolled in courses including the setting, collection and refund of fees and the appropriate recognition of academic results.

Student Entry and Selection

A7.1 'Atenisi will establish and approve student entry requirements and selection criteria that are:

- Appropriate for the level of each course
- Documented
- Publicised
- Applied consistently and fairly to prospective and continuing students.

A7.2 'Atenisi will consider a student for special admission who does not satisfy standard academic requirements but who in the opinion of the Dean is capable of negotiating the course or programme.

A7.3 Late enrolments to a course may only be granted within the first four (4) weeks of a course commencement date. An exception may occur if the student has gained approval of prior learning and therefore enters the course at an agreed date.

A7.4 Before enrolling international students into a course of study, 'Atenisi will ensure that the student has authorised entry into Tonga and that the course and study programme is approved for accepting international students.

A7.5 The Student Handbook defines entry criteria for admission. The requirement for special admission – including admission with advanced standing – is at the discretion of the Dean or his representative.

A7.6 Determination of student eligibility must:

- Specify who is authorised to confirm eligibility
- Identify the documentation required
- Identify whether there is any need to assess or interview the applicants
- Specify the format for confirmation

A7.7 When selection procedure is completed the student is to be advised of the outcome in writing. Copies of all documents is be retained for audit and academic appeal processes.

A7.8 All student entry requirement and selection criteria will be reviewed periodically to ensure that the requirements are fair and equitable. Review will include an analysis of programme retention, pass rates and withdrawals.

Setting Fees

A7.10 Each December, the university shall review student tuition costs and other fees.

A7.11 'Atenisi will publish costs and fees in the Student Handbook for the coming year; they shall also be posted on the website.

A7.12 'Atenisi will post its withdrawal/refund of fees policy.

Payment of Fees

A7.14 All enrolment must be accompanied by a registration fee of \$100.00

A7.14 Detail relating to payment options for full and part-time programmes is contained in the Student Handbook.

A7.15 Any fees which remain unpaid after 14 days of the commencement of the course, the student will enter the debt collection cycle. He/she shall not obtain any assessment results, certificates, or be permitted to enrol in any further course/programme until all outstanding debts, including library fines are paid or satisfactory arrangement for payment has been made with 'Atenisi.

A7.16 In selected cases student tuition fees may be discounted or waived to achieve a desired outcome that has been agreed between the student, dean and institute treasurer.

Cancellation

A7.18 All fees paid by the student will be refunded in the programme is cancelled by 'Atenisi.

A7.19 ‘Atenisi reserves the right to cancel programmes and limit student numbers in any course or programme. ‘Atenisi must give a full time student 2 weeks notice of the intention to cancel a course or programme. In the case of short causes the notice period is 24 hours.

A7.20 ‘Atenisi can cancel, postpone or reschedule classes without notice if variation is caused by a reason beyond its control.

Student Withdrawal/Modification from Programmes and Academic Consequences

A7.21 For course based enrolments, students withdrawn from one or more courses in the study programme may receive a letter grade “W” representing the withdrawal from that course, on their academic record.

A7.23 A student who wishes to modify their enrolment in a course is to notify the instructor or Dean in writing. The instructor will then meet with the student to discuss the modification.

Student Withdrawal and Financial Consequences

A7.24 All formal withdrawals must be made in writing, email or by text message to the course instructor or secretary for the institution. Evidence of the communication must be logged into the Student Management System.

A7.25 Where a student has not formally withdrawn they will be noted as “Withdrawn” in the Student Management System and charged an administration charge as follows:

1. when the course or programme was cancelled by ‘Atenisi the full fee shall be refunded or waived;
2. when proper notice is received by the commencement of the course or programme, 50% of the tuition fees paid less an administration charge of \$100.00 will be refunded. In the event of a student not having paid the compulsory registration fee a sum of \$100.00 an administration fee of \$100.00 will be charged.
3. in the event that notice is received up to 2 weeks after the start of the course or programme, 50% tuition fees less and administration fee of \$100 will be refunded. In the event of a student not having paid the compulsory registration fee a sum of \$100.00 will be charged.

A11 Evaluation of Academic Programmes

The purpose of this policy is to provide a framework for the evaluation of academic courses or programmes.

Moderation by Students

A11.1 Data collation and reporting shall be streamlined to provide fast response to student feedback.

A11.2 Students value the opportunity to provide these evaluations;

A11.3 Students need to feel secure in providing candid feedback;

A11.4 It is anticipated student feedback will be constructive, offering remedies to deficiencies;

A11.5 Survey instructions need to be written clearly and simply to ensure they are comprehended by students.

Questionnaire for internal moderation

The questionnaire is not compulsory, but students are encouraged to complete it carefully and honestly, so that instruction can be monitored and, where necessary, improved. Responses to the questionnaire will be retained, tabulated, and evaluated in strict confidence.

To avoid conflict of interest, responses shall neither be tabulated nor evaluated by any administrator or faculty member.

If a questionnaire contains allegations of misconduct or incompetence against a staff member, then the university dean shall launch an enquiry. If the dean finds that breaches of ethical and professional guidelines have occurred, then appropriate action will be taken in accordance with the institute constitution and, if necessary, law enforcement.

Questionnaire replies that contain criticisms of ‘Atenisi, rather than specific allegations against a staff member, will initially be evaluated by the Faculty Senate. The Senate will inform the institute director, who, in consultation with the university dean, shall decide appropriate action.

COMPETENCE

1. Is the instructor knowledgeable about the discipline at the level at which you are enrolled?
2. Do the lectures and/or seminars hold your interest?
3. Do you find it difficult to follow the instructor’s lectures and/or commentary?
4. Does the instructor repeat and then explain concepts the class appears to find difficult?
5. Is there opportunity to question the instructor in class?

GUIDANCE

6. Is the instructor accessible before or after class?
7. If and when you locate the instructor before or after class, does his or her guidance prove useful?

COURSE MANAGEMENT

8. Was a course outline distributed during the first two weeks of class?
9. Has a course outline ever been distributed?
10. Does the class progress too quickly for you to keep up ... or too slowly to retain your interest?
11. Are assignments at your level too complicated for you to complete on time ... or too simple for you to respect? Are there too many assignments in this class for you to complete on time ... or not enough for you to measure your progress?
12. Is too much reading required ... or too little for you to master the subject?

ACCESS TO SOURCES

13. Are textbooks, excerpts from textbooks, and/or other readings distributed in class?
14. Are textbooks, excerpts from textbooks, and/or other readings available in the library?
15. Are textbooks, excerpts from textbooks, and/or other readings accessible digitally?
16. Please make any other comments you would like, whether positive or negative, about the course you studied, or about other aspects of your experiences at 'Atenisi.

A11.9. Each questionnaire additionally contains the following supplementary questions regarding academic resources:

17. Is the 'Atenisi library sufficiently diverse, thorough, and contemporary to adequately support research you have undertaken for your courses? In what ways can it be improved?
18. Is access to the Internet on campus sufficiently accessible and robust to adequately support research? How can access be improved?
19. Once online on campus, do you have access to a sufficient number of databases and journals to adequately support research? How can access to databases and journals be improved?
20. Do you have access to the Internet off campus to support research? Is your access off campus at home and/or at a friend's and/or at an Internet café? If you access the Internet at a café, are you or your family able to afford the cost?

A11.10 Valid student criticism must be responded to in a timely action plan.

A11.11 Faculty must be reassured that evaluations of their instruction are not inappropriately shared;

A11.12 Evaluations of instruction are part of the institute's reflective practice and ongoing teaching development.

A12 Reporting Student Progress and Results

The purpose of this policy is to ensure consistency in the compilation, presentation and certification of student achievement. The University Data files or Student Management System are held at the Tau'olunga Komipiuta Centre at Fasi moe Afi and operated by Firitia Velt, former Associate Dean and institute treasurer.

A12.1 'Atenisi will provide students with effective, accurate and timely advice on their learning progress and final achievement. Students on full time full year programmes will be informed of their progress at least once at end of each semester.

A12.2 Assessment results will be approved under delegation by the Faculty Senate and the instructor of the particular student.

A12.3 The award of qualifications will be recommended for approval to Board of Directors by the Faculty Senate.

A12.4 Student results and records will be handled in a manner preserving the right of the students for privacy. It is displayed using student numbers.

A12.5 Written references can be provided on request by a student for a defined purpose. It will be prepared by the student's instructor and to be signed by the Dean.

A12.6 Each student is given a student number to access his/her records held at the Tau'olunga Komipiuta Centre.

A12.7 There is an opportunity to appeal the results of assessments in a manner which is fair and equitable and the appeal procedure is published in the Student Regulations.

A13 Academic Records

The purpose of this policy is to establish a system for keeping and reporting records of student achievement in the programmes of study. The policy applies to all students and all programmes of study.

A13.1 Since 1992, 'Atenisi has recorded, stored, and maintained timely digital records of student transcripts. Collection, access, use and disclosure will be in accordance with the privacy principles. Any disposal of records will be in accordance with these same principles.

A13.2 Original or certified records as presented by the student relevant to prior learning experience, credit transfer, cross-credits and exemptions will be maintained by Tau'olunga Komipiuta Centre at Fasi moe Afi.

A13.3 Upon giving reasonable notice, students will be able to view all academic records relating to them that are held by 'Atenisi.

A13.4 'Atenisi will not disclose individual student results to a third person without the written consent of the student concerned.

A13.5 There will be an accurate interface between 'Atenisi's archive records and those currently required.

A17 Assessment Misconduct

There may be doubt about the authenticity of work submitted for reassessment or suggestions of misconduct during examinations. The purpose of this policy is to give a framework for effectively managing any instances of assessment misconduct

This policy applies to all instances of summative assessment.

A17.1 Students are expected to follow the principles of academic integrity in all assessment activities and are expected to submit assessments for marking on the basis that they are their own work, and that the assignment was prepared with integrity.

A17.2 Students will be required to provide assurance about the authenticity of any work submitted in their names for assessment. Students must ensure that any work that is not their own is acknowledged in the accepted manner for tertiary education.

A17.3 Academic staff will support students to reference sources appropriately, providing formative learning opportunities and materials to assist understanding of all aspects of correct referencing to ensure integrity of this work.

A17.4 For the future we must ensure that the website contains the conditions and guidelines regarding authenticity, referencing, plagiarism, copying, cheating, and copyright infringements. All academic staff will remain up-to-date with variants of cheating that emerge with technology.

A17.5 Instances of assessment misconduct will be managed following the principles of promptness, natural justice, impartiality, consistency, and fairness.

A17.6 Instances where a student freely acknowledges assessment misconduct will be managed by the immediate instructor. However, instances of serious and unacknowledged misconduct will be referred to the Faculty Senate and managed through the student discipline process.

A17.7 Where the students are suspected of assessment misconduct the following processes will be followed:

1. the tutor will assess the amount of suspected assessment misconduct and prepare evidence and discuss matter with Dean.
2. where the intent of the student is clearly innocent, the work will be assessed as is. If appropriate, advice on academic integrity may be given by the tutor to the student.
3. Where doubt persists, a meeting is to be arranged with the student, support person, relevant tutor and Dean and the evidence of allegation will be presented to provide the student with an opportunity to provide an explanation.
4. Where assessment misconduct is established and acknowledged by the student, the student may be instructed to resubmit the assessment. Other

actions can include awarding a reduced grade or awarding a failing/mark or grade with a note made on the file.

5. Where the assessment misconduct is serious or has not been acknowledged by the student, the relevant Dean of the University must discuss the situation with the Faculty Senate. This discussion will lead to a decision to either deal with the issue or initiate the student discipline process.
6. The tutor will inform the student of their rights to appeal the decision as in the Student's Regulations.

F5 Capital Expenditure

A policy on capital expenditure is being developed because there is a desire to ensure that all capital requests and approvals follow a process that will lead to maximizing the investment potential here at 'Atenisi and are approved within a long term strategic plan, a sustainable protocol, the financial funding availability and the financial viability.

F5.1 Capital expenditure relates to all assets whose life has a span greater than one year and a value greater than \$300 or is an item of any value if it is an electrical good, piece of furniture, or computer hardware or software.

F5.2 All capital expenditure requests and approval will follow the procedural processes as set out below. The institute treasurer shall:

- Receive all capital requests;
- Ensure the capital approval procedure below is adhered to;
- Review all business cases for funding and associated analysis;
- Prioritise the capital requests for expenditure;
- Recommend to the Board of Directors an appropriate capital budget and priority based on strategic priorities and available funding.

F5.3 All requests to spend must first conform to the formal procurement process which are:

- Dean to collect capital requests for the next two years by asking Heads of Departments to complete the data input form provided by the institute treasurer.
- Undertaking an initial review of requests and provide preliminary feedback to the Board of Directors.
- Prioritise the capital expenditure requests within the campus development plan, the academic plan, the capital asset management plan, the strategic plan and the strength of the business cases (if any).
- After provisional approval given, the treasurer is to undertake a detailed review of the proposals prioritised for the following year so feasibility, timelines and likely costs can be established before any final recommendations are made.

F12 Cash Handling

The purpose of this policy is to provide cash handling controls in the recording, administering and securing of cash receipts and transfer of cash to the treasurer in order to minimise risk of cash losses.

The policy applies to internal campus receipts of cash.

F12.1 The only approved points of cash collection are:

1. The outdoor café vending groceries and refreshments.
2. The dean or associate dean in their respective offices.

F12.2 All cash will be receipted immediately on acceptance using a manual receipt book with the top copy of the receipt to be given to the payer. The cash is then to be placed in a cashbox kept in a locked drawer or filing cabinet.

F12.3 All cash to be secured at all times. Cash must be transferred to the treasurer on a daily basis for banking. A transfer form for the internal cash is then signed by the treasurer.

F12.4 The treasurer must reconcile the cash with the receipt book. The treasurer must then take the cash and bank it in the nominated account.

F12.5 Once the institute's outdoor cafe is operational, all cash will be transferred to the administrative secretary on a daily basis using the same procedure as noted above under F12.3 and F12.4.

F12.6 The following transactions are not permitted under any circumstances:

- Cashing of cheques;
- IOUs, temporary loans or any other form of personal advance.

Generic Management

G1 Audit

'Atenisi is committed to a viable and sustainable organisation delivering quality and relevant tertiary education that meets the needs of students, industry and community. This goal is supported by internal audit. The policy applies to internal audits deemed appropriate to ensure continued quality improvement related to our Quality Management System.

G1.1 The following are significant definitions for this policy:

- *Audit* - is an official examination of the financial statements of the business of the institution. This form of audit will be carried out by the auditors appointed by the Board of Directors.

- *Internal Audit* - A systematic and documented process to determine whether the institution's practices comply with its QMS carried out by the institution's internal auditors with external assistance, where appropriate.
- *Self Evaluation*- A reflective process that focuses on improving the experience of stakeholders and supports a culture of ongoing improvement.
- *Risk Management*- Risk management is structured approach to reduce different risks presented to the organization to the level acceptable by the organization. It includes risk identification and assessment, strategies development to manage risk and mitigation using managerial resources. A category of risk, high, medium or low is assessed based on probability of occurrence and scale of impact or consequences, combining to a 'risk factor'.

G1.2 'Atenisi will ensure that sound accounting practices are in place and shall have accounts audited by approved auditors on an annual basis.

G1.3 Internal audit will be used to achieve sound managerial review including assurance that procedures are in place and operating effectively.

G1.4 The internal audit is overseen by the treasurer, who will ensure that:

1. appropriate financial reporting systems are in place;
2. staff performing the internal audit function have access to necessary information and resources;
3. the auditing is conducted and managed;
4. outcomes and issues are reported to the Board of Directors;

G8 Risk management

G8.1 The purpose of this policy is to ensure that risk management forms part of 'Atenisi's internal control and governance arrangements. Risk management is the culture, processes and structures that are directed towards the effective management of opportunities and adverse effects within 'Atenisi's environment.

G8.2 Risk is inherent in all academic, administrative and business activities. Every member of the 'Atenisi community continually manages risk. Adoption of a strategic approach to risk management improves decision-making, whilst enhancing outcomes and accountability.

G8.3 The aim of this policy is not to eliminate risk, but rather to manage it to maximise opportunity and minimise adversity. Risk management also provides a system for the setting of priorities when there are competing demands on limited resources.

G8.4 'Atenisi recognises that there will be a need to systematically manage and regularly review its risk profile at strategic, operational and project levels. We will develop a risk management and compliance framework that determines the process and identifies tools for realising this objective.

G8.5 Our systematic approach to risk management in the course of our academic, administrative and other business activities will require 'Atenisi to:

- Establish a context;
- Identify risks;
- Analyse risks;
- Research alternative solutions;
- Evaluate risks;
- Treat risks;
- Monitor and review risks;
- Communicate, educate and consult.

G8.6 All employees of ‘Atenisi are responsible for the effective management of risk, including the identification of potential risks. Management is responsible for the development of risk mitigation and the implementation of risk reduction strategies.

Students

S1 Concerns and Complaints

The purpose of this policy is to receive, acknowledge, register and act upon student concerns and complaints. It is to facilitate a speedy resolution of student concerns and complaints to the satisfaction of all parties.

‘Atenisi strives to maintain an environment in which tolerance, confidentiality, courtesy and mutual respect is fostered. Obtaining feedback can be used to continually improve our quality of education and level of service. We also focus on providing students with a safe, healthy and effective resources and facilities.

The policy covers student concerns and complaints about ‘Atenisi services in relation to academic policy and procedures, programme content, programme delivery, staff and student conduct, facilities and equipment-provision, maintenance and access and administrative and learning support. (Note: This policy does not cover complaints concerning harassment or academic appeals; these are covered under separate policies.)

‘Atenisi treats student complaints seriously and is committed to dealing with them fairly and promptly. Our goal is to resolve complaints quickly and appropriately. Complaints will be handled according to a clearly defined set of procedures as seen below. Malicious complaints will be addressed through the Student Discipline process.

Procedure

S1.1 This policy will be communicated to staff through the QMS.

S1.2 Students are initially advised of the complaints process and to contact the Dean.

S1.3 The complainant should be initially encouraged to clearly define the problem. He or she may enlist help or support from friends, family, another student, Associated Students, or faculty.

S1.4 The complainant or his/her support person may talk informally with the staff member concerned to reach resolution.

S1.5 If the staff member has not been able to resolve the complaint, the complainant or his/her support person may address the staff member's supervisor (see ORGANISATION CHART above).

S1.6 Failing resolution, the complainant should be invited to make a formal complaint in writing to the dean.

S1.7 All written complaints must be acknowledged in writing within five working days, including an estimated timeframe for response to the complaint.

S1.8 A complaint about a member of the 'Atenisi community shall be addressed to that member and the procedure in policy HR11 will be employed.

S1.9 All written complaints will be copied (if not made directly) to the dean who will fulfill the role of Complaint Officer. The dean is to keep a register of all complaints and their resolution.

S1.10 Should a complaint not be resolved to the satisfaction of the complainant, he or she shall have the right to appeal to the Faculty Senate and, if granted audience, the Board of Directors.

S2 Student conduct and discipline

The purpose of this policy is to give effect to the Student Regulations and to ensure all students know the standards of behaviour expected at 'Atenisi. The policy applies to both academic students and performing arts pupils.

S2.1 Students are to respect the rights of other students and staff as well as 'Atenisi's environment and property.

S2.2 Students will adhere to the Student Code of Conduct as outlined in the Student Regulations and observe directives pertaining to conduct during an academic course.

S2.3 'Atenisi proscribes student behaviour that is potentially unsafe, illegal or detrimental to the learning of others or the ability of staff members to perform their duties. All allegations will be dealt with in a prompt, equitable, considerate and consistent manner.

S2.4 Principles of promptness, justice, impartiality, consistency are applied by the institution in the event of a breach or suspected breach of the Student Code of Conduct.

S2.5 A Student Disciplinary Committee will hear and adjudicate allegations of serious student misconduct.

S2.6 A student subject to disciplinary action may lodge appeal with the dean and, if granted audience, the Faculty Senate.

Human Resources

HR1 Employee recruitment and selection

It is 'Atenisi's intention to fill vacancies as they occur, with the most qualified applicants available and to retain a reserve of skilled and competent employees. The institute complies with all relevant employment legislation and ongoing employment agreements.

HR1.1 A Human Resource team consisting of the dean and treasurer shall be responsible for the recruitment of both academic and non-academic staff.

HR1.2 This team will be responsible for providing a signed request to recruit, up to date job description and a worded advertisement to the Board of Directors to gain approval to recruit for the job. Thereafter, this team is responsible for:

- Advertising all vacancies;
- Acknowledging all applications;
- Shortlisting applicants for interview;
- Developing interview questions;
- Reviewing applications to ensure evaluation of qualifications, medical conditions, and criminal records;
- Co-ordinating, facilitating and attending interviews;
- Ensuring candidates are eligible to work in Tonga;
- Completing reference checks as appropriate and reviewing responses from referees;
- Notifying unsuccessful applicants;
- Maintaining and storing documentation;
- Creating and sending out offers of employment.

HR2 Performance Development

'Atenisi is committed to ongoing development of its employees and seeks to provide an environment and the resources to allow employees to develop within our organisation. All permanent academic staff members will have an evaluation carried out at least once a year. A copy of this evaluation will be given to the staff member concerned and copied to the dean. The evaluation is then to be discussed for development purposes with the staff member concerned.

Entitlement to professional development leave and expenses are outlined in the staff member's individual employment agreement. Accordingly, the policy does not restrict any entitlement contained in that employment contract.

Professional development needs will be determined for all new permanent staff in their first month of employment. Thereafter, professional development is planned on an annual basis for individuals through the performance development system and listed on individual performance review forms.

The appropriate activities for professional development shall be authorised by the dean.

The procedure for this type of leave is as follows:

1. Leave will be granted at the Dean's discretion;
2. A maximum of one continuous week's leave as contemplated by the attached employment agreement;
3. Timing of the leave will be discussed by the Dean and the applicant;
4. All leave must be appropriately recorded on leave forms;
5. Leave can be taken for course/conference participation, online courses, preparing for and sitting exams, completing course assignments, or visits to relevant institutes;
6. All applications for leave that relates to overseas travel and/or attendance at overseas conferences must receive the written approval of the dean;
7. Expenses will be discussed and agreed upon before any activity occurs.

HR7 Health and Safety

'Atenisi's Board of Directors is committed to meeting its obligations and will take continuous care to provide a safe environment for all students, employees, contractors and visitors. Effective health and safety management is only achieved under firm leadership. To that end, 'Atenisi will:

- Provide appropriate and proper teaching and study facilities;
- From time to time will upgrade teaching and studying facilities;
- Put in place processes for identification of hazardous incidents and health risks;
- Put in place processes for reporting health and safety hazardous incidents.

We have an expectation that every person who is affiliated with the institute will accept personal responsibility for ensuring the safety and well being of themselves and those that are involved in or affected by our activities. However, the institute director is responsible for reporting to the Board of Directors:

- The safety of the teaching environment;
- Identify hazardous and risk incidents that may affect any student or member of staff;
- Eliminate possible accident or risks that may affect any student or employee.

As the employer of institute staff, 'Atenisi shall:

HR7.1 meet all obligations under relevant and applicable legislation and regulations;

HR7.2 Ensure that appropriate resources are allocated to health and safety;

HR7.3 Maintain an effective programme to ensure that all workplace hazards are systematically identified and appropriate measures introduced to control these hazards;

HR7.4 Require the accurate and timely reporting and recording of all accidents and incidents;

HR7.5 Provide support, treatment and rehabilitation, procedures and plans as required to ensure a safe, early and sustainable return to work for injured employees

HR7.6 Actively encourage the early reporting of any pain or discomfort;

HR7.7 Source the services of a health clinician if required and to organise and transport for emergency attention to hospital.

HR7.9 Ensure the removal of rubbish and waste from the grounds of the institute.

HR7.10 Encourage a mentality for keeping ‘Atenisi clean and ensuring its natural environment is clean for all its occupants including the life in the ponds on campus.

HR16 Conflict of Interest

The purpose of this policy is to define a range of circumstances that may constitute conflicts of interest along with procedures for identifying and managing these to protect staff and to ensure compliance with the natural rules of justice and good practice guidelines adopting the following principles:

- Integrity
- Honesty
- Transparency
- Openness
- Independence
- Good faith; and
- Service to the students

The scope of this policy is that it will apply to all staff or employees of ‘Atenisi.

A conflict of interest will arise in any situation when a person has a financial interest, private or personal interest, or business interest sufficient to influence or appear to influence the impartial exercise of their official duties or professional judgement.

Hence:

HR16.1 Each employee must declare existing, actual and potential conflicts of interests.

HR16.2 The existence of a conflict of interest may not necessarily mean the declarant has violated professional ethics or that the interests of the institute have been compromised.

HR16.3 Employees must conduct themselves at all times under the following principles, ensuring

1. that self-interest or personal factors do not influence their decision-making;
2. that every precaution is taken to avoid a situation where a conflict of interest, or any perception of a conflict of interest could arise in carrying out their duties.

3. that financial, family, personal or business relationships or interests do not actually, nor appear to, unfairly advantage or disadvantage other employees or other individuals.

HR16.4 In the event that an employee considers a conflict arising, he/she must inform the dean as soon as practicable; the dean is then responsible for taking appropriate steps to address the situation.

HR16.5 Employees are not to be involved in the appointment process of people with whom they have a close personal or familial relationship; indeed, employees must ensure they declare prior relationships implicating these decisions.

HR16.6 Any gift that might attract the suspicion of improper motive or which obligates the individual is not to be accepted. In any event all gifts offered (received or not) must be declared in the gift register (see Gift policy).

HR16.7 All Directors of the Board, Heads of Department including the dean must disclose annually in the INTERESTS REGISTER, any and all significant interests they may have in organisations. Disclosure provides transparency and protects those concerned from allegations of duplicity and enables the avoidance of being unwittingly placed in situations that may lead to a conflict of interests.

HR16.8 All Directors of the Board, Heads of Department including the dean are responsible for applying this policy and for ensuring employees adhere to it and complete the declaration of employee conflict of interest form.

Marketing Policies

M1 Advertising, publications and student recruitment

The purpose of this policy is to ensure consistency in the planning format and implementation of all advertisements, publication, promotional material used in recruitment activities for ‘Atenisi. This policy applies to all staff involved in developing of advertisements, publications and promotional used in domestic and international recruitment of students.

M1.1 Educational programmes, services and benefits offered by ‘Atenisi shall be the primary emphasis of all recruitment advertising, publications, promotional material for ‘Atenisi.

M1.2 Secondary promotional material such as documents inviting external financial investment, sponsorship, scholarships shall be at the discretion of the institute director.

M1.3 All statements and representations made are to be clear, factual, legally accurate and current with factual supporting information available.

M1.4 Advertising and promotional material used for domestic and international student recruitment shall:

- Be produced in such a way that the character of 'Atenisi as a provider of quality educational experience is preserved and its standards and reputation are maintained.
- Adhere to 'Atenisi style guides to ensure that a professional and consistent image is maintained.

M1.5 Advertising and promotional material used for recruitment of partnership programmes shall adhere to agreed marketing protocols.

Evaluation & Review

The QMS shall be revised, if necessary, according to the following protocol:

- Associated Students shall submit proposed revisions, if any, to the Faculty Senate;
- The Senate shall consider said revisions;
- After considering this input, the Senate shall submit proposed revisions to the Dean;
- The dean shall consult with the Senate regarding modifications he/she deems necessary;
- After this consultation, the dean shall submit proposed revisions to the Board of Directors;
- Should the Board deem it necessary to revise the QMS, it shall advise the institute director to post a subsequent iteration.

END OF ITERATION 4 OF QUALITY MANAGEMENT POLICIES

June 2018