

# CIT Governance Effectiveness Framework

## 1. Purpose

The Governance Effectiveness Framework establishes CIT's approach to evaluating the effectiveness of its governance structures and governance systems. It provides a structured methodology to determine whether governance arrangements remain fit for purpose, support organisational integrity and quality, enable effective oversight and decision-making, and comply with the Standards for Registered Training Organisations (RTOs).

The Framework responds directly to ASQA's expectation that RTOs regularly evaluate their governance structures and systems and gather feedback on organisational integrity and quality to support continuous improvement.

## 2. Framework Objectives

The Framework aims to:

- evaluate the effectiveness of governance structures and governance systems;
- determine whether governance arrangements remain fit for purpose;
- strengthen organisational integrity and quality;
- support effective decision-making and oversight;
- identify governance improvement opportunities;
- embed continuous improvement into governance processes; and
- provide assurance to the Governing Board.

## 3. What Effective Governance Looks Like for CIT

Effective governance exists where **governance structures** and **governance systems** operate together to support organisational objectives, regulatory compliance, quality outcomes and public confidence.

## 4. Governance Structures

The Governance Effectiveness Review will assess the effectiveness of the following governance structures.

|                                       |
|---------------------------------------|
| <b>Governance Structures</b>          |
| <b>Governing Board</b>                |
| <b>Executive Management Committee</b> |
| <b>Academic Council</b>               |

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|                                                  |
|--------------------------------------------------|
| <b>Audit &amp; Risk Committee</b>                |
| <b>Business Engagement Committee</b>             |
| <b>Business Systems Transformation Committee</b> |
| <b>Campus WH&amp;S Policy Committee</b>          |
| <b>CIT Consultative Committee</b>                |
| <b>Investment and Expenditure Committee</b>      |

## 5. Governance Systems

The Governance Effectiveness Review will assess the effectiveness of the following governance systems.

|                                 |
|---------------------------------|
| Governance Systems              |
| Decision-making processes       |
| Governance reporting            |
| Risk management                 |
| Compliance management           |
| Performance monitoring          |
| Internal control framework      |
| Policy governance               |
| Information management          |
| Assurance processes             |
| Continuous Improvement Register |
| Governance review process       |
| Stakeholder feedback mechanisms |

## 7. Governance Effectiveness Assessment Methodology

### 7.1 Purpose

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The Governance Effectiveness Assessment Methodology provides a structured, evidence-based process for evaluating whether CIT's governance structures and governance systems are operating effectively, remain fit for purpose and support the achievement of strategic objectives, regulatory compliance, organisational integrity and quality outcomes.

The methodology provides assurance that governance arrangements are regularly reviewed, improvement opportunities are identified and governance effectiveness is continuously strengthened.

## 7.2 Methodology Principles

The methodology is based on the following principles.

| Principle                  | Description                                                                                                             |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------|
| <b>Evidence-based</b>      | All conclusions are supported by objective evidence.                                                                    |
| <b>Independent</b>         | Reviews are conducted objectively and free from undue influence.                                                        |
| <b>Risk-based</b>          | Greater attention is given to higher-risk governance areas.                                                             |
| <b>Consistent</b>          | The same assessment criteria are applied across governance reviews.                                                     |
| <b>Transparent</b>         | Assessment findings and ratings are documented and supported by evidence.                                               |
| <b>Improvement-focused</b> | Reviews identify opportunities to strengthen governance, not merely assess compliance.                                  |
| <b>Proportionate</b>       | The review is scaled according to the complexity and significance of the governance structure or system being assessed. |

## 7.3 Assessment Scope

Each review assesses both governance structures and governance systems.

## 7.4 Assessment Process

The assessment consists of eight stages.

### Stage 1 – Review Planning

Objective

Establish the scope and objectives of the review.

Activities

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- Confirm governance body or governance system being reviewed.
- Determine review objectives.
- Identify applicable legislation, standards and governance requirements.
- Confirm assessment criteria.
- Develop review timetable.
- Identify stakeholders.
- Prepare review documentation.

#### Outputs

- Approved Review Plan
- Assessment Schedule
- Evidence Request List

### Stage 2 – Document Review

#### Objective

Understand the governance arrangements before commencing assessment.

#### Activities

Review relevant documentation, including:

- Governance Framework
- Committee Charter
- Terms of Reference
- Delegations
- Board Instructions
- Policies
- Previous governance reviews
- Internal Audit reports
- Risk reports
- Performance reports
- Compliance reports

#### Outputs

- Document Review Summary
- Preliminary Findings

### Stage 3 – Evidence Collection

#### Objective

Obtain sufficient evidence to assess governance effectiveness.

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## Evidence Sources

### Documentary Evidence

- agendas
- minutes
- committee papers
- governance reports
- dashboards
- decision registers
- action registers

### Interviews

- Committee Chairs
- Committee Members
- Executive Management
- Governance Secretariat

### Stakeholder Feedback

- surveys
- workshops
- interviews
- governance observations

### Assurance Sources

- Internal Audit
- External Audit
- Risk Reviews
- Compliance Reviews

### Outputs

- Evidence Register

## Stage 4 – Governance Assessment

Each governance structure and governance system is assessed against the Governance Effectiveness criteria

### 1 – Purpose

Assess whether governance arrangements:

- have a clearly defined purpose;
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- remain fit for purpose;
- support CIT's strategic objectives;
- support the RTO Standards;
- avoid duplication with other governance bodies.

## 2 – Authority

Assess whether:

- delegations are appropriate;
- authority is clearly defined;
- accountability is understood;
- governance responsibilities are documented.

## 3 – Membership

Assess whether governance bodies have:

- appropriate membership;
- appropriate skills;
- appropriate experience;
- appropriate independence;
- sufficient attendance and participation;
- succession planning.

## 4 – Decision-Making

Assess whether governance:

- considers relevant information;
- considers risks;
- makes evidence-based decisions;
- documents decisions;
- monitors implementation.

## 5 – Oversight

Assess whether governance oversees:

- strategic objectives;
- organisational performance;
- financial performance;
- risk;
- compliance;
- quality;
- audit findings;

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- implementation of recommendations.

## 6 – Reporting

Assess whether reporting is:

- timely;
- accurate;
- complete;
- relevant;
- useful for decision-making.

## 7 – Stakeholder Feedback

Assess whether governance:

- gathers feedback;
- analyses feedback;
- responds to concerns;
- promotes organisational integrity;
- supports quality improvement.

## 8 – Continuous Improvement

Assess whether governance:

- undertakes regular reviews;
- identifies improvement opportunities;
- assigns actions;
- monitors implementation;
- evaluates completed improvements.

## 9 – Accountability

Assess whether governance:

- fulfils its responsibilities;
- reports appropriately;
- complies with delegations;
- provides assurance;
- demonstrates transparency.

### 7.5 Assessment Rating

Each domain is rated using the following scale.

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| Rating                     | Description                                                                                 |
|----------------------------|---------------------------------------------------------------------------------------------|
| <b>Highly Effective</b>    | Governance consistently demonstrates mature governance practices and continual improvement. |
| <b>Effective</b>           | Governance operates effectively with only minor opportunities for improvement.              |
| <b>Partially Effective</b> | Governance generally operates effectively but improvements are required.                    |
| <b>Needs Improvement</b>   | Governance arrangements require significant improvement to achieve intended outcomes.       |

Each rating must be supported by documented evidence.

## 7.6 Overall Governance Effectiveness Assessment

Following completion of all domain assessments, the reviewer will determine:

- overall governance effectiveness;
- governance strengths;
- emerging governance risks;
- governance maturity;
- opportunities for improvement;
- priority actions.

## 7.7 Improvement Planning

For every improvement identified:

- describe the issue;
- identify the root cause;
- recommend improvement actions;
- assign an owner;
- establish implementation timeframes;
- determine success measures;
- record the action in the Continuous Improvement Register.

Progress is monitored quarterly and validated when complete.

## 7.8 Reporting

The review culminates in a Governance Effectiveness Report.

The report includes:

1. Executive Summary.

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2. Review Scope.
3. Assessment Methodology.
4. Assessment Findings by Domain.
5. Strengths.
6. Areas for Improvement.
7. Governance Maturity Assessment.
8. Improvement Action Plan.
9. Overall Governance Effectiveness Conclusion.
10. Assurance Statement.

The report is provided to:

- Governance Committee Chair.
- Executive Management Committee.
- Audit and Risk Committee.
- Governing Board.

### 7.9 Governance Review Cycle

| Stage                      | Description                                                 | Timing                      |
|----------------------------|-------------------------------------------------------------|-----------------------------|
| <b>Planning</b>            | Develop annual governance review program                    | Annual                      |
| <b>Evidence Collection</b> | Gather documentation and stakeholder input                  | Annual                      |
| <b>Assessment</b>          | Assess structures and systems against the nine domains      | Annual                      |
| <b>Reporting</b>           | Issue Governance Effectiveness Report                       | Annual                      |
| <b>Action Planning</b>     | Record improvement actions                                  | Following review            |
| <b>Monitoring</b>          | Monitor actions through the Continuous Improvement Register | Quarterly                   |
| <b>Validation</b>          | Confirm actions have achieved intended outcomes             | Six-monthly or as scheduled |
| <b>Board Assurance</b>     | Report governance effectiveness and improvement progress    | Annual                      |

| Review Objective                    | Purpose                                                                                                   |
|-------------------------------------|-----------------------------------------------------------------------------------------------------------|
| <b>Assess governance structures</b> | Determine whether governance bodies, reporting relationships and accountabilities remain fit for purpose. |

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|                                           |                                                                                                     |
|-------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <b>Assess governance systems</b>          | Determine whether governance processes support effective governance, decision-making and oversight. |
| <b>Assess governance effectiveness</b>    | Evaluate governance against the approved assessment domains.                                        |
| <b>Assess governance maturity</b>         | Determine the maturity and effectiveness of governance arrangements.                                |
| <b>Identify improvement opportunities</b> | Recommend actions to strengthen governance structures and systems.                                  |
| <b>Provide assurance</b>                  | Provide assurance to the Governing Board that governance arrangements remain effective.             |