

DIRECTORATE FOR THE STUDENT EXPERIENCE

Title:	Final report of the 'Implementation of Policy and Procedures' Steering Group.
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Background

1. The 'Implementation of Policy and Procedures' Group was established as part of the Directorate for the Students Experience's (DSE) 'Cross Cutting Themes' initiative. The group was established due to concerns raised with regards to the inconsistent implementation of policies and accompanying procedures across the University. The aims and more information on the group can be found within the Project Charter, which is included for information.
2. A key objective of the group was that the inconsistent implementation of policy and accompanying procedure in the University should be addressed, with recommendations made to address this issue in the future.

Context

3. A number of policies were highlighted to the group as being of particular concern. These were identified as a result of themes emerging from monitoring and review activities as well as Appeals and Complaints cases. They are listed as follows:
 - Personalised Learning
 - Feedback Policy
 - Policy on Mitigating Circumstances
 - Interruptions to Taught Programmes
 - Policy on Attendance Monitoring
4. In considering these examples, the group looked at how they had been developed, the drafting and consultation process and how they had been approved. In addition, they considered the implementation, monitoring and review and the roles and responsibilities of stakeholders at each stage in the process.
5. From the study of these individual case studies the group decided that in order to maximise consistency across the University the whole process from 'start to finish' must be formalised and this led to the development of a 'Framework' document and flow chart. These documents are attached for comment. The Steering Group noted that there are multiple 'risk' points in the 'long journey' through policy development, which could at any stage result in an ineffectual policy, being badly implemented with little or no stakeholder consultation or buy in. Failure at anyone of the risk points could result in inconsistent implementation of a policy and accompanying procedures.
6. At the recommendation of the Policy Implementation Group, in liaison with the Director of Teaching and Learning Support most of the previously mentioned policies and procedures are now being reviewed by TLG. Richard Reece, the Associate Vice-

President (Teaching, Learning and Students) is currently overseeing the review of the Feedback Policy, Personalised Learning Policy and the Policy on Mitigating Circumstances and Clive Agnew, Vice – President (Teaching, Learning and Students) is considering the consistent implementation of the Policy on Attendance Monitoring. Work is commencing in order to consider the effectiveness of the 'Principals for Granting Interruptions'. Initially, this work is being taken forward by the Appeals and Complaints Network.

7. The 'Framework' is currently being piloted on the 'Policy for Recording Lectures'. Although this was not developed under the framework, it will enable us to pilot the implementation plan and communication mechanisms.

Summary of the Stakeholder Consultation

8. Generally, the Framework and Flow Chart have received very positive feedback from the consultation, which took place in June 2013. Overall, Stakeholders feel it has provided clarity with regards the stages of policy development and provides a method for identifying roles and responsibilities.
9. As part of the consultation process it was pleasing to see references to the development of the new taught degree regulations, as examples of good practice. Stakeholder feedback suggested that the 'open meetings', designed to ensure the dissemination of a consistent message across the University and facilitation of two way feedback should continue.
10. A key aspect of the work of the group was the proposal that each new or amended policy and procedure is accompanied by an 'Implementation Plan'. This has been piloted with the implementation of the Degree Regulations as has proved to be a very useful document. The Implementation plan is attached to this report, as an example, and will form the basis of a template which will also be rolled out with the final version of the 'Framework'. Our Stakeholders agreed that this was a good way to provide details of the communication mechanisms which will be used to consult with stakeholders, disseminate a consistent message and articulate roles and responsibilities for implementation and approval and monitoring. The Stakeholders also agreed that the plan will be helpful in identifying any training, resource, or additional business processes required, particularly where these include adaptations or development of IT supported systems or Campus Solutions.
11. The Stakeholders also stated that there was a need to firmly articulate the roles and responsibilities in terms of the implementation and monitoring of policy. Although, these roles are already stated within job descriptions, the Stakeholders felt that it was necessary to clarify these, particularly in terms of making a clear distinction between the responsibilities for 'Implementation' from 'Monitoring and Review'. The consultation also raised concerns within the University that there is a perception that there are no sanctions for non compliance with institutional policy.
12. The Stakeholders also supported the findings of the Steering Group, by agreeing that the proposed 'Framework' would formalise the policy development process and strongly articulates the need for clear and transparent consultation with staff and students, getting buy in from all stakeholders at the very earliest stages. The Steering Group believes this will also help to ensure consistent implementation as there will be increased knowledge and support for the policy in the early stages, rather than it appearing to be a forced 'top down' approach.
13. The Stakeholders agreed with the Steering Group in recognising that there is confusion with regards 'terminology'. This will need to be carefully monitored as the framework develops and more work will be required in this area, which is contained within the action plan.

14. The Stakeholders echoed the Steering Group's concerns that University Policy is difficult to find and is not easily accessible on the web. The Steering Group made further recommendations in this area, contained in the action plan.

Recommendations

15. *That TLG/ MDC and SEMG approve the proposed Framework for the Development, Approval and Implementation of Policy and Procedure (Student Experience Related).*
16. *That the Framework is adopted by the University as the process by which policy and procedure, relating to the Student Experience be developed from now on. Specifically, this includes policy owned by the DSE and Graduate Education, within Business Engagement and Support Services.*
17. *That TLG/ MDC and SEMG approve the action plan, detailing further work to be undertaken to embed good practice in policy development.*

The University of Manchester

Framework for the Development, Approval, Implementation, Monitoring and Review of Institutional Policy and Procedure (Student Experience related)

Introduction

1. The foundation of an excellent student experience is a robust framework of clear, informative, up to date and accessible policies and procedures which are applied consistently across the University.
2. This document describes how the University develops, approves and implements policies relating to the student experience that are owned by either the Directorate for the Student Experience (DSE) or Research and Business Engagement Support Services (RBESS), specifically the Graduate Education Office (GEO).

Outline of the Framework Structure

3. This Framework relates only to those student experience related policies and accompanying procedures, which affect the whole population of either taught or postgraduate research students. The University's definition of a framework is '*a document which provides a broad overview, in support of a particular approach to a specific objective*'.
4. The University's definition of a policy is 'a statement of principles that staff, students and other applicable personnel must follow'.
5. The University's definition of a procedure is 'a procedure, subsidiary to a policy, is an official way of doing something which must be followed. Procedures must always be linked to a University Policy, Ordinance or Statute'. Procedures are approved by the appropriate University executive, which is the Teaching and Learning Group (TLG), the Manchester Doctoral College Committee (MDC) or the Student Experience Management Group (SEMG).
6. For further information on the development of policies please refer to the 'Policy Framework' at <http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=7927>.

Policy Development Principles

7. Policies and accompanying procedures relating to the student experience must be developed with the following principles in mind:
 - *Policies* must be clearly and concisely written and be easily available and accessible, using the approved template.
 - Policies are high level documents and contain mandatory key *principles*: they describe rules rather than their implementation.
 - The implementation of the principles, as prescribed in policies, are described in *procedures*.
 - Policies and linked procedures must support the University's vision and strategic values, as well as complying with relevant legislative and regulatory requirements, where appropriate.

- Every policy and accompanying procedure must clearly state:
 - its purpose (i.e. why the policy/procedure is necessary).
 - its authority (this can be via the document control box).
 - any roles and responsibilities (i.e. who must do what).
 - the consequences of non-compliance.
 - the identity of the owner (the person responsible for the development, maintenance and review of the policy or procedure, as identified in the document control box).
 - the 'effective from' date (date of implementation).
 - the date of the last editorial change.
 - the date of the next review.
- Policies and accompanying procedures must be accompanied by an Implementation Plan outlining the proposed method for consultation and detailing the process of implementation.
- The Implementation Plan should articulate roles and responsibilities, consultation arrangements, training and resource requirements, whilst also identifying support, advice and information available to staff and students.
- The agreed method for the development and approval of policies and related procedures must be followed. A flowchart illustrating this process follows in Appendix 1.
- A procedure must always be linked to policy. No procedure will contradict any policy and a procedure should support the policy, not vice versa. Procedures should be developed/ reviewed as appropriate at the same time as the policy.
- Policies and accompanying procedures should be written in plain English, in a standard font size, using the University logo (insert web link for logos/format info). The presentation should be structured so that the reader can focus quickly on the aspect relevant to the decision or task at hand.
- Where a policy is linked to a specific statute, Ordinance or General Regulation, this should be stated within the document control box.
- Policies and accompanying procedures may be rescinded at any time subject to approval by TLG, MDC or SEMG at the request of the policy owner, as indicated by the Document Control Box.

Application

8. All University staff must support the fair and consistent application of University policy and procedures in relation to their area of work. It is the responsibility of each individual to ensure they have a full understanding of those policies and procedures that directly affect their area of work.

9. It is the responsibility of every line manager to ensure that their direct reports are fully aware of the policies and procedures that affect their area(s) of work and understand the implications of inconsistent or poorly applied policy and procedure.

Roles and Responsibilities

10. **Heads of School and Heads of School Administration** are responsible for ensuring compliance within the School with all policies and procedures of The University of Manchester relating to the student experience. They are also responsible for providing information to staff and students on University policy and procedure as well as ensuring consistent implementation across the School.
11. **Deans of Faculty and Heads of Faculty Administration** are responsible for ensuring that the policies and procedures of The University of Manchester relating to the student experience are understood and consistently implemented in Schools, across their Faculty.
12. **Associate Deans (Teaching and Learning, Postgraduate Taught, Postgraduate Research)** are responsible for ensuring that the policies and procedures of the University of Manchester relating to the student experience are monitored and that issues relating to their effectiveness, appropriateness and consistent implementation are raised at TLG/ MDC. They will also contribute to their development via their membership of TLG/MDC.
13. **Faculty Teaching and Learning/ Graduate Education PSS Staff** must ensure the effectiveness and consistent application of policies and procedures. The Faculty Officers will co-ordinate activities relating to the monitoring and review of policies and procedures, with oversight by the Associate Deans (members of TLG/MDC), in accordance with the arrangements indicated in the Implementation Plan.
14. The following post holders are responsible for the approval of institutional policy and procedure, relating to the student experience, via their respective advisory/management groups, subject to final approval by Senate where appropriate. They are also responsible for sponsoring the review of all institutional policies and procedures and reporting to Senate as required.
- Vice-President (Teaching, Learning and Students), Associate Vice Presidents (Teaching, Learning and Students)
 - Associate Vice President (Research)
 - Director for the Student Experience
15. To ensure that all post holders, mentioned previously, are fully briefed with regard to new policy and procedural developments, the following institutional level Directorate will take responsibility for the communication and Implementation Plans, as well as the co-ordination of reviews:
- Directorate for the Student Experience (DSE)
 - Research and Business Engagement Support Services (RBESS)

Policy and Procedure Development and Revision

16. The development of policy and procedure relating to student experience is a collaborative process including academic staff, PSS staff and students working in partnership.
17. The identification of the need for a policy or procedure (or an amendment) will be managed through existing Teaching and Learning/ Postgraduate Research communication/ Student Experience networks.
18. However, when the need for a policy or procedure is proposed it is the role of TLG, MDC or SEMG to decide if there is an actual need for it. TLG, MDC or SEMG may decide that what has been highlighted is, in effect the need for extra support, clarification, revision of an existing policy or procedure. This is particularly important when additional local (i.e. Faculty of School level) material is being considered.
19. The co-ordination of the drafting process is managed by the DSE or RBESS. Advice from University lawyers will be sought at the earliest stages of the development process, as required.
20. The DSE or RBESS must ensure all draft policies and procedures are reviewed in terms of the 'Equality Impact'. This is the responsibility of the policy or procedure owner, as indicated in the documents control box.
21. The DSE or RBESS must ensure all draft policies and procedures are reviewed by IT Services, the Students Systems Office and Student Administration Management Group (SAMG), when it is believed there will be a significant impact on business processes, in particular those which require IT systems support.
22. All draft policies and procedures must be accompanied by a draft Implementation Plan, which will include as appropriate: who was involved in the drafting process, how consultations will be conducted, how students have been engaged in its development and who else has contributed in the development process to date.
23. Draft policies, procedures and accompanying Implementation Plans are endorsed via TLG and MDC prior to wider consultation.
24. SEMG is able to approve procedures and accompanying Implementation Plans not requiring academic input.

Consultation

25. Consultation should be appropriate for the type of policy or procedure that is being developed, the details of which must be contained within the 'Implementation Plan'.
26. There are some types of policy and procedural development that will require an 'all staff' consultation, the details of which will be contained in the Implementation Plan.
27. Care should be taken to consider the appropriate method for engaging students in policy development. Students are represented throughout the University's committee structures.

However, consideration needs to be given to whether or not focus groups or specific student 'targeted' consultation might be appropriate.

Approval of Policy and Procedure Relating to the Academic and Student Experience

28. All Institutional policy and procedure relating to the student experience should be approved by either the TLG or the MDC. Where a policy and accompanying procedure impacts both taught and Postgraduate Research Students, it will need to be approved by both TLG and MDC.
29. The Student Experience Management Group (SEMG) has the authority to approve policy and procedure relating to the Student Experience, which does not require academic input. The Director for the Student Experience is the chair of SEMG and will make recommendations for what can be approved and what must be referred to TLG or MDC.
30. The Teaching and Learning Management Group (TLMG), Graduate Administrators Group (GAG), Recruitment and Admissions Management Group (RAMG) and the Student Administration Management Group (SAMG) can also approve minor amendments to existing procedure after feedback has been sought and documented via Faculty PSS networks. All amendments should be reported to TLG/ MDC or SEMG.
31. All policies and procedures, received for final approval must be accompanied by a final Implementation Plan.
32. After final approval by TLG/ MDC some policies may require approval by Senate. It is the responsibility of the chair of TLG/ MDC to decide which policies will be referred to Senate for final approval.

Implementation of Policy and Procedure

33. The consistent implementation of policies and accompanying procedures is the responsibility of the Heads of School, supported by the Heads of School Administration (HOS, HOSA), as detailed in paragraph 10 of this framework. Therefore, all communications with regards to the implementation of new policies and procedures will be addressed to HOS and HOSA.
34. Post approval communications to the HOS and HOSA will be via email and include confirmation of approval by TLG/ MDC/ SEMG (and Senate if applicable) and a copy of the Implementation Plan. These communications will also be copied to the Vice-President, Associate Vice-President, Deans, Associate Deans, Heads of Faculty Administration and other PSS Faculty staff with an interest in the policy area.

Monitoring and Review of Policy and Procedure

35. There are two distinct aspects to the monitoring of policies and procedures. The first is the need to monitor the implementation to ensure that policies and procedures are being implemented appropriately and consistently. The second aspect is the need to monitor the effectiveness of the policies and procedures on an ongoing basis.

36. Faculties are responsible for both aspects of monitoring and this is the responsibility of the Dean's nominees in the areas of Teaching and Learning and Postgraduate Research, normally the Associate Deans.
37. Issues with regards to the 'interpretation' of new/ existing policies or procedure will be collated by Faculties and referred to TLMG, GAG, RAMG or SAMG for consideration, to ensure a consistent approach.
38. It is expected that the existing quality assurance mechanisms will continue to allow the University to identify areas of concern or gaps in the policy and procedural framework. These concerns or gaps will be identified through the annual monitoring of learning activity, which will then be prioritised for review by TLG/MDC.
39. TLG and MDC are responsible for reviewing institutional policy and procedure (Student Experience) related. They may devolve the co-ordination of these reviews to offices within the appropriate Directorate.

Action Plan: Policy Implementation Group

Recommendation	Action	By	Date
1. The Framework for the Development, Approval and Implementation of Policy and Procedure (Student Experience Related) should be adopted.	<ul style="list-style-type: none"> • Consult stakeholders June 2013. • Sign off at SG, Approve TLG, SEMG and MDC July 2013. • Implement Sept 2013 	EHW/ HB	Sept 2013
2. The DSE and RBESS should provide clarity on the use of terminology used in policy and procedural development, with a view to providing a more consistent use of terminology across the University.	<ul style="list-style-type: none"> • Review of current titles against definitions of policy, procedure and guidance. • Review the use of codes of practice. • Recommend title changes and communicate changes via T&L and GE networks. • Process will support affirmation of definitions and provide clarity with regards terminology. 	EHW/ HB	Ongoing
3. The DSE and RBESS should consider how policy and accompanying procedures are accessed by staff with a view to making them more accessible.	<ul style="list-style-type: none"> • Review websites and consider the user perspective. • Seek staff use feedback. • Seek student user feedback. • Recommend developments to TLG, TLMG, MDC and GAG, for discussion and approval. 	EHW/ HB	Ongoing
4. The Chairs of Teaching & Learning Group, Manchester Doctoral College and Student Experience Management Group should review the Terms of Reference of their Groups to ensure the roles and responsibilities, as detailed in the 'Framework' are appropriate.	<ul style="list-style-type: none"> • Once approved, contact chairs and summarise the expectations of the framework on the approving groups. 	EHW	October 2013
5. The DSE and RBESS should consider School and Faculty level Policy and Procedure and if these are still appropriate in light of the Frameworks definitions.	<ul style="list-style-type: none"> • See related item (2). • Produce guide for Faculties and Schools with regards the development of local policy. • Liaise with Martin Conway on this aspect. 	EHW/ HB	

	<ul style="list-style-type: none"> Develop a policy and procedure template, for approval by TLMG, SEMG, SAMG, RAMG, GAG. 		
6. The DSE and RBESS should consider the relationship and linkages between the 'Framework' and the 'Policy Framework' overseen by the Deputy Secretary, Martin Conway.	<ul style="list-style-type: none"> Meet Martin Conway to discuss, once Framework is approved. 	EHW	October 2013
7. Consider the use of 'Road shows' and briefings for all new policies.	<ul style="list-style-type: none"> Pilot with the Recording Lectures policy. 	EHW	October 2013
8. Commence review of the Interruptions process.	<ul style="list-style-type: none"> Initial work to be done by the Appeals and Complaints Network, overseen by TLSO. 	EHW/ HB	Ongoing

Flow Chart – Process for the ‘development’ of Institutional Policy and Procedure in the University of Manchester (Student Experience Related)

