

## The University of Manchester Policy Framework

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### Introduction and Purpose

Good governance requires a robust framework of clear, informative, up to date and accessible policies which enable staff, students and others involved in University activities to understand their responsibilities and what is required of them. This is essential for legal and regulatory compliance, for efficiency in the University's operations and to enable colleagues and others involved to work together in a collegiate manner to promote the interests of the University and its stakeholders.

This document describes how the University is governed in terms of its framework for establishing, communicating, applying, monitoring and reviewing policies and supporting processes and documents. It is core to the University's operations, and compliance by all personnel is mandatory where applicable.

### Scope and definitions

A Policy is a statement of principles that staff, students and other applicable personnel must follow. A Policy commits the University to a definite method or course of action and provides a basis for consistent decision making and resource allocation. Policies may also be developed in order to comply with specific legislation and changes within the external regulatory environment. It is essential that all Policies have confirmed and documented arrangements for communication, application, review, the monitoring of compliance, as well as explicitly stated consequences for non-compliance.

A Procedure, subsidiary to a Policy, is an official way of doing something which must be followed, i.e. a mode of proceeding or a method of conducting business. A Procedure must always be linked to a Policy. Note that a Procedure supports a Policy not vice versa.

A Guidance Note or a Code of Practice is an advisory document that indicates a course of action that will usually be followed unless there is a good reason for not doing so. They provide protocols, practice and guidance to ensure that staff and others can comply with specific Policies and Procedures.

A Guidance Note or a Code of Practice can be introduced within a local area. This can include adaption to suit local circumstances provided that the link with the relevant Policy

or Procedure is retained and the University's regulatory framework is not compromised

If you wish to seek confirmation of the classification of the document you are working on, please contact [deputysecretary@manchester.ac.uk](mailto:deputysecretary@manchester.ac.uk) for advice and guidance.

## Roles and Responsibilities

Roles and responsibilities will be dependant on specific policies/procedures. See also reference in point 8 of the next section.

## Policy Development, Approval, Revision and Application:

1. The requirement for a specific policy could be determined by the Board, Senate or senior management, or in response to changes in legislation or the University's regulatory environment. Directors and managers have responsibilities to ensure that the University operates in accordance with this regulatory environment and should alert the Registrar and Secretary to any gaps in the policy framework that they identify. If a new policy is required, the Registrar and Secretary will determine the appropriate individual or office responsible for the policy's development. In the first instance, the Deputy Secretary will be able to provide guidance on the status of a policy (if applicable), and its justification
2. During the development of the policy, the document drafter(s) should consult with the Deputy Secretary, who will provide guidance on the wider consultation required as part of the policy's development. This will include consultation with any other colleagues that may have specialist knowledge regarding the subject being addressed and may require liaison with the Department of Legal Affairs and Board Secretariat and IT Services (for example, if there is an impact on business processes). All draft policies should be subject to an Equality Impact Assessment.
3. Policies and procedures must be concise and accessible and written in plain English, The approved template should be used, along with a standard font size and the University logo (<https://www.staffnet.manchester.ac.uk/brand/visual-identity/logo/logo-downloads/> ). The presentation should be structured so that the reader can focus quickly on the aspect relevant to the decision or task at hand.
4. Policies are high level documents and contain mandatory key principles and rules.
5. The implementation of the principles, as prescribed in policies, are described in procedures.
6. 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.
7. 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).
  - any 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.
8. Policies and accompanying procedures must be accompanied by an Implementation Plan which articulates roles and responsibilities, training and resource requirements, whilst also identifying support, advice and information available to staff and students.
  9. 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.
  10. Where a policy is linked to a specific Statute, Ordinance or General Regulation, this should be stated within the document control box.
  11. The Deputy Secretary, in consultation with the Registrar, Secretary and Chief Operating Officer and Director of Legal Affairs and Board Secretariat will determine the appropriate route for the policy's formal approval in accordance (with the hierarchy outlined in Appendix 1). Once this approval is granted the Deputy Secretary will arrange publishing on the Policies and Procedures web page, and for further publication and promulgation in line with the associated communication plan.
  12. The Deputy Secretary will be responsible for the oversight of the Policies and Procedures web page, and ensure that policies are properly monitored, renewed and reviewed as appropriate.
  13. Amendments to the University's regulatory framework at the level of Procedure or above (including rescinding of policies and procedures) must be notified to the Deputy Secretary, who will inform the Registrar and Secretary as appropriate. This is in order to ensure authority for changes by the relevant committee (where appropriate) and to minimise the possibility of any conflicts, ambiguities and inconsistencies.
  14. 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.

15. 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.

### Monitoring Compliance

The framework is recommended for all relevant documents and adherence to it will be periodically monitored by the Deputy Secretary's Office.

### Example Version amendment history template

All Policies and Procedures should include a completed amendment history box, as shown in the template below.

[Insert policy content here] <b>Version amendment history</b>		
Version	Date	Reason for change

### Example Document control box template

All Policies and Procedures should end with a completed document control box, as shown in the template below.

<b>Document control box</b>	
Policy / Procedure title:	
Lead contact email	
Date updated:	
Approving body:	
Version:	
Supersedes:	
Previous review dates:	
Next review date:	
Equality impact outcome:	
Related Statutes, Ordinances, General Regulations:	<b>State here if the policy is linked to a particular Statute or Ordinance etc</b>
Related policies/procedures/guidance etc	If your policy links to other documents at the University, list them here
Policy owner:	Who is responsible for the policy. Add job title here as well as name, as when people leave the University, it is useful to be able to contact the responsible office.
Lead contact:	May be the same as above, or their nominated representative

**Appendix 1 Definition of terms, approval levels and hierarchy**

Term	Definition	Approval	Hierarchy
Statutes, Ordinances & General Regulations	The constitution and supporting structures of the University.	Board of Governors	<pre> graph TD     A[Statutes, Ordinances &amp; General Regulations] --&gt; B[Policies]     B --&gt; C[Procedures]     C --&gt; D[Guidance notes and Codes of Practice]             </pre>
Policies	<p>A Policy is a statement of principles that staff and / or students <b>must</b> follow.</p> <p>A Policy commits the University to a definite method or course of action and provides a basis for consistent decision making and resource allocation. It is essential that all Policies have pre-agreed arrangements for communication, review, the monitoring of compliance, as well as explicitly stated consequences for non-compliance. To ensure integrity of the University’s regulatory framework Policies must be consistent with each other and each individual Policy must be linked to specific Statute, Ordinance or General Regulation.</p>	Appropriate Board committee (after consideration in all cases, by the University’s executive), then notification to the Board. Board approval should be obtained for major Policies.	
Procedures recommended by RSCOO via operational area	A Procedure is an official way of doing something which <b>must</b> be followed, i.e. a mode of proceeding or a method of conducting business. A Procedure must always be linked to a Policy. Note that a Procedure supports a Policy not vice versa.	University executive and, where appropriate, relevant Board Committee	
Guidance Notes & Codes of Practice	<p>A Guidance Note or a Code of Practice is an advisory document that indicates a course of action that will usually be followed unless there is a good reason for not doing so. They provide protocols, practice and guidance to ensure that staff and others can comply with specific Policies and Procedures.</p> <p>A Guidance Note or a Code of Practice can be introduced at a local area. Alternatively, a flexible approach to modification to suit local circumstances is acceptable but it is essential to retain the link with the relevant Policy or Procedure and must not compromise any part of the University’s regulatory framework.</p>	RSCOO by delegation to relevant Director or Head of Office, or Head of Faculty Administration.	

Document control box	
Policy / Procedure title:	<i>Policy Framework</i>
Lead contact email	<i>deputysecretary@manchester.ac.uk</i>
Date approved:	April 2022
Approving body:	Policy and Resources Committee
Version:	2.0
Supersedes:	Version 1.0
Previous review dates:	July 2013, June 2018
Equality impact outcome:	n/a
Next review date:	April 2025
Related Statutes, Ordinances, General	Statute XI, XII, XIII
Related policies/procedures/guidance etc.	<i>All Policy Template</i>
Policy owner:	<i>Deputy Secretary</i>
Lead contact:	<i>Deputy Secretary</i>

[Insert policy content here] <b>Version amendment history</b>		
Version	Date	Reason for change
1.0	July 2010	Original document
2.0	July 2018	Reviewed following Uniac Audit suggestions
2.1	April 2022	Reviewed, no further changes made at this stage