

Policy Management Framework

The University of Wolverhampton requires the effective management of policies and procedures, and similar documentation in accordance with the processes outlined in this framework. The purpose of the Framework is to identify approval and dissemination mechanisms to ensure that all such documents have been authorised, published and disseminated. The Policy Framework takes into account quality standards, equality impact assessment and recommendations made under the provisions of the Freedom of Information Act 2000.

1 Definitions

As a legacy of their development over the years, the following terms are interchangeable in some circumstances although every effort will be made to achieve consistency in the future. Throughout this document the term policies and procedures is used to describe the range of documents listed below and any other documents of this nature.

1.1 Policies

Formal high level agreed approach to an issue specifying the direction to be taken in relation to the subject to which it relates

1.2 Procedures

Documented activities which must be performed in relation to the task to which the document refers

1.3 Regulation

Rules which must be adhered to by, and within, the University community

1.4 Code of practice

Contractual requirements such as a code of conduct

2 Principles

- 2.1 All policies and procedures will be formulated in a structured way (see **Structure** below) by those who have been assigned responsibility for their development
- 2.2 Policies and procedures will be clearly recognisable from their format, and will always include details of ownership, approval and review date
- 2.3 All policies and procedures will be subject to equality impact assessment
- 2.4 All policies and procedures will follow the formal approval process
- 2.5 Once approval has been obtained, policies and procedures will be disseminated to the appropriate audience
- 2.6 Policies and procedures will be monitored, reviewed and updated to ensure they remain fit for purpose
- 2.7 Policies and procedures will be retained in accordance with retention guidelines and stored in appropriate conditions to ensure they are accessible as long as necessary
- 2.8 The Policy Owner will submit the draft to the appropriate body for approval

3 Responsibilities

- 3.1 The Board of Governors will approve the Policy Management Framework
- 3.2 The Information and Records Manager will monitor and review the Framework
- 3.3 The University Secretary will approve minor amendments to the Framework
- 3.4 Senior Managers will be responsible for identifying the need for development/review of policies and procedures for their areas of responsibility and initiating change
- 3.5 New policies and procedures, or substantial revisions will be referred to the Board of Governors or, where appropriate, approval may be delegated to a sub-committee, Executive or individual see decision tree, **Appendix 1**, for determining responsibility for approval

4 Structure

- 4.1 The Policy Owner will identify the individual(s) with delegated responsibility for drafting/reviewing the policy
- 4.2 The individual(s) assigned with responsibility will gather relevant information and draft/revise the policy or procedure

- 4.3 The draft policy or procedure will be marked as draft, and shared with the Policy Owner and other stakeholders for comment/amendment
- 4.4 The Policy Owner will consider Financial/Environmental/Health and Safety Impact (both positive and negative) and include any relevant information when submitting the document for approval
- 4.5 The Policy Owner will submit the final draft to the requisite institutional approval
- 4.6 Once approved the document will be disseminated/published

5 Format

Policies and procedures should be on the approved template Appendix 2. Where exceptions are made, alternatives will include the necessary document control information as shown in the table at the end of the template. The document will be marked as “Draft” until it has been approved. PDF and HTML document types are the preferred formats for publication.

6 Equality Impact Assessment

All policies and procedures will be impact assessed before publication, Deans/Directors will be responsible for ensuring that all policies within their area of responsibility have been assessed. Any policies and procedures which have already been implemented will be assessed as part of the review process or sooner where possible.

7 Approval

Approval of the appropriate person/body, see **Appendix 1**, will be sought for all new documents and significant revisions (impacting on practice). It will not be necessary to submit minor changes such as spelling and grammatical amendments.

8 Dissemination

- 8.1 Policies and procedures which impact on a significant proportion of the University community e.g. all staff/all students will be posted on the Policies and Regulations webpage
 - 8.1.1 Documents should be submitted to the Information and Records Manager for confirmation of compliance with this Framework and publication, see publication process **Appendix 3**

- 8.2 Only one copy of the document will be held on the web server although earlier versions may be available where still relevant to parts of the community, further dissemination on the University web pages should be via hypertext links
- 8.3 Local procedures should be made available to the staff/students to whom they apply via departmental web pages or Intranet pages or in a place accessible by those to whom they apply
- 8.4 The Policy Owner should consider whether staff training will be necessary to promote understanding, and make the necessary arrangements
- 8.5 Awareness of policies and procedures will be part of induction processes and records of the documents relevant to a post should be readily identifiable
 - 8.5.1 Directors/Deans will be responsible for ensuring that line managers in their area identify the relevant procedures (see 8.5)
- 8.6 New or changed policies and procedures should be notified to Directors and Deans for dissemination to their staff or to appropriate representatives in Schools and Departments
- 8.7 Policy owners should be made aware of any local procedures developed in response to their policy to enable good practice to inform future versions

9 Review

- 9.1 All policies and procedures must be monitored to ensure that they remain relevant and applicable.
- 9.2 The review date must be included on the document.
- 9.3 It is recommended that Policy Owners review new policies and procedures 1 year after introduction, all other policies should be reviewed at least every 3 years
- 9.4 The Information and Records Manager will monitor review dates for policies and procedures posted to the Policies and Regulations web page, and notify the owner when a policy is due for review
- 9.5 Policies can be reviewed before the due date and this is recommended where there are changes in legislation, strategy or where problems are identified in relation to implementation
- 9.6 Deans/Directors will be responsible for ensuring that a list is maintained of policy documents for which they are responsible and ensuring that review dates are implemented

10 Archiving

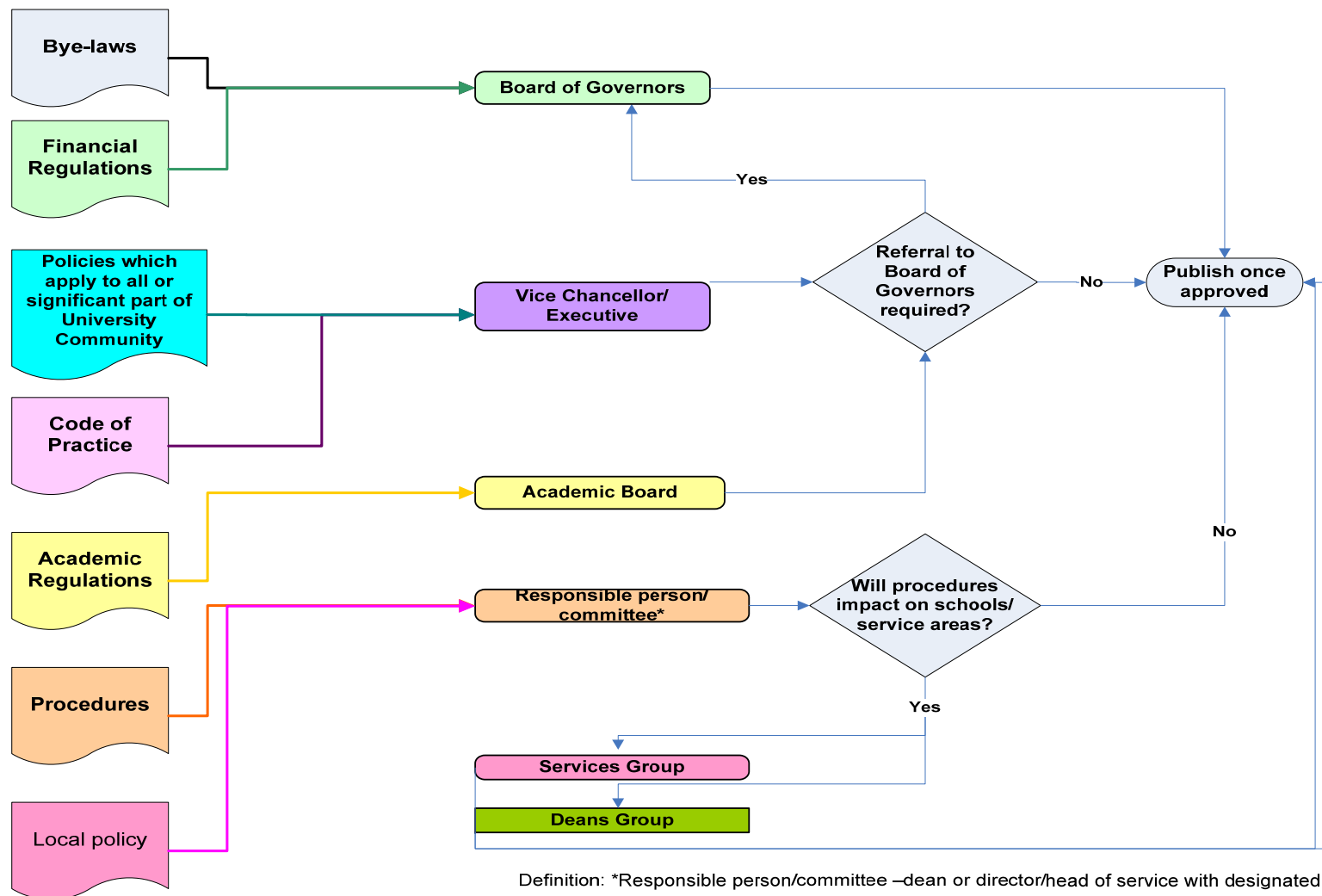
Policy Owners will ensure that copies of non-current versions, are retained in accordance with the retention schedule.

11 Related documents

- Records Management Policy - http://www.wlv.ac.uk/Docs/dp_rec_mgt_pol.doc
- Document Retention Schedule - http://www.wlv.ac.uk/Docs/dp_ret_sched_noimg.doc
- Policies and Regulations web page - <http://www.wlv.ac.uk/Default.aspx?page=6932>

Version	1.1	Author	Information and Records Manager
Approved date	16/02/09	Approved by	Executive
Review date	00/11	On behalf of	Audit Committee

Appendix 1: Decision Tree for Policy Approval



Definition: *Responsible person/committee –dean or director/head of service with designated accountability for the area, or committee where subject matter is part of their terms of reference

Appendix 2

Template format

Heading 1

Heading 2

Heading 3

Please use Arial 12 point for body text.

End of document

Version	2.0	Author	Job title
Approved date	02/08	Approved by	
Review date	02/10		

Appendix 3: Publishing Process

Publishing Process for Policies and Regulations

