Policy Development and Review Policy and Procedures

Version 1.2

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Policy Approver	QAC	Effective Date	26/10/2021		

1   Policy Statement

1.1   The Institute for Education's (IfE) mission and values are expressed in and supported by its Policies and Procedures. The IfE's policies protect the integrity of the its mission, reputation and operations. They also promote compliance with laws and regulations. All the IfE's policies must be developed, modified, approved and published in accordance with the standards outlined in this Policy and must be published on the IfE's website. The IfE's policies must be kept current, reviewed on a regular basis, and made available to all relevant departments in a timely manner.

2   Principles

2.1   The IfE's policy process and review is guided by these principles:

- The IfE's policy process is well-defined, understandable, and transparent.
- The IfE's community's input and feedback are broadly sought, valued, and appropriately used.
- Policy authors are responsible for reviewing, updating, and rescinding policies as needed. At a minimum, policy authors should review their policies every five years.
- All employees/persons on a contract for service are responsible for understanding, implementing, and enforcing the IfE's policies and other governing documents.

3   Aims and objectives

3.1   The aims and objectives of this Policy are the following:

- Provide clear direction for the process of developing and maintaining the IfE IfE's policies;
- Promote shared governance by allowing employees to review academic and non-academic policies and procedures;
- To establish a process that promotes effective and timely policy development and review.

4   Definition of Terms

4.1   *Minor amendment* - an administrative amendment only such as changes to nomenclatures, position titles or formatting.

4.2   *Major amendment* - a change to policy which will impact on the intent of the policy and/or related policies, stakeholders, aligned procedures or systems. Major amendments include changes to policy title, scope, structure or content (unless deemed an administrative 'minor amendment' only).

4.3 *Policy* - a policy is a governance document that states a goal or purpose. A policy explains why the IfE is doing something and what it wants to achieve. It usually contains principles to guide decision-making and guidelines for achieving its intended outcomes. A policy designates and authorises individual employees or departments to implement the policy.

4.4 *Policy author* - an employee of the IfE responsible for the development and review of the policy, procedures, guidelines or other policy related documentation. Wherever possible, the Policy author should be the officer responsible for implementing or controlling operations governed by the policy.

4.5 *Policy reviewer* – an employee of the IfE responsible for reviewing the policy and providing feedback to the policy author.

4.6 *Procedure* – a procedure provides specific direction about how to implement a policy. Procedures normally assign responsibilities and include processes for day-to-day operational decision-making to achieve the IfE's goals and objectives as set out in the policy.

5   Criteria to determine if a new policy is appropriate

5.1 In order to determine if a new policy is appropriate, the following criteria have to be addressed:

- Supports the IfE's mission, vision, and values;
- Applies across the IfE;
- Endures across time and administrations, and sets the course for the foreseeable future;
- Supports equity, integrity, and simplicity in practices across the IfE;
- Promotes quality and operational efficiency, reduce bureaucracy, and provides guidance for managing the IfE;
- Helps ensure compliance with applicable laws and regulations;
- Is consistent with policies, rules, and regulations of the IfE;
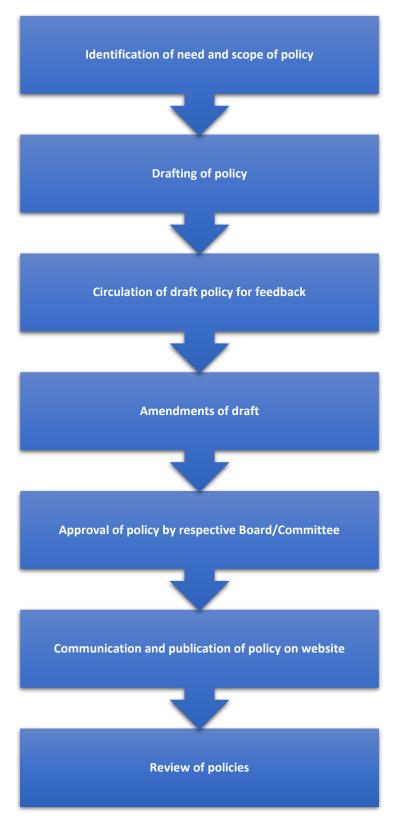- Is enforceable.

6   Procedures

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│    Identification of need and scope of policy │
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│              Drafting of policy               │
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│      Circulation of draft policy for feedback │
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│              Amendments of draft              │
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│  Approval of policy by respective Board/Committee │
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│  Communication and publication of policy on website │
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│              Review of policies               │
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Figure 1: A visual representation of the process

6.1 Identification of need and scope of policy

6.1.1 The first step in the process to develop a new policy for the IfE, or to amend an existing one, is to identify the need to do so. It is primarily the responsibility of the policy author to identify this need. Policy authors are responsible for the content of the policy documents and for promoting compliance with the policy. A new policy may be developed to set out the IfE's position in regard to a new issue or a new set of circumstances. Alternatively, an existing policy may need amendment if the circumstances on which it is based change, or where the existing policy is no longer appropriate for whatever reason.

6.2 Drafting of policy

6.2.1 Following extensive research, analysis and consultation with key stakeholders, the policy author drafts the policy using the standard Policy Template. Unless otherwise indicated, all sections in the template should be included. Policies should be drafted so that they are clear and concise and contain sufficient information on the subject without being excessive in length.

6.2.2 When drafting a policy, the following criteria have to considered:

- The policy is current. It aligns with legal requirements and best practices in higher education.
- The policy clearly communicates the IfE's values as well as the general purpose for the policy.
- The proposed policy been thoroughly edited for adherence to the template and grammatical and typographical errors.
- The proposed policy is written using clear and concise language.
- Specialised or unfamiliar terms in the policy are defined.
- The terminology is consistent with related policies of the IfE.
- Forms, procedures, and guidelines (or associated documents) have been created as needed to support policy implementation.
- Consultation with stakeholders has taken place.
- Relationships between the proposed policy and other related policies, laws, or regulations have been made clear.

6.3 Circulation of draft policy for feedback

6.3.1 The draft policy is circulated by the policy author with the heads of department (policy reviewers) who have particular interest in the policy. The policy has to be sent also to the Head Quality Assurance for their review. The policy reviewers are normally given between two to three weeks to provide feedback in comments and track changes based on the criteria mentioned in 6.2 – Drafting of Policy.

6.4 *Amendments of draft*

6.4.1 All feedback provided by the policy reviewers should be assessed as to whether it is appropriate to include in the draft. Sometimes it may be best to hold off a suggested change until the next version. All feedback provided should be acknowledged and the policy reviewer providing the feedback should be told as to whether their feedback has been incorporated or not and why.

6.4.2 Following analysis of feedback received and any amendment to the policy document, a final draft for approval should be prepared. The final draft may be referred back to the Head/Senior Manager of the respective department for final perusal.

6.5 *Approval of policy by respective Board/Committee*

6.5.1 After the feedback provided by the policy reviewers has been addressed, the policy author will place the matter on the agenda for the next meeting of the respective Board/Committee for discussion. The Chairperson of the respective Board/Committee may request the policy author to attend the meeting to present the policy and answer any questions. The Board/Committee members may then indicate their formal recommendation that the policy be approved or may request additional revisions or information.

6.6 *Communication and publication of policy on website*

6.6.1 Once the new or revised policy has been approved, the policy author will ensure that the policy is published on the IfE's website. It is therefore saved in PDF and renamed 'Policy Name V1.0 – IfE' and then sent to the Senior Manager IT so that it is uploaded on the website.

6.6.2 After a new policy is published, the policy author will ensure that the IfE's community is notified via email that a new policy has taken effect. The policy author has to ensure that an archive of digital copies of old versions of revised policies is maintained.

6.7 *Review of Policies*

6.7.1 Policy authors are expected to monitor the ongoing implementation of any policy over which they have authority. The policy author should stay abreast of any changes in related internal or external policies, laws, or regulations that may necessitate change to a policy of the IfE. The ease of implementation of each policy should be monitored by the policy author and make the necessary revisions to ensure a policy's clarity and effectiveness.

6.7.2 In addition to ongoing monitoring, policy authors need to initiate a formal review process of policies of the IfE for which they are responsible every five years at a minimum. It is highly recommended that policies based on external policies, laws, or

regulations that change frequently be reviewed more often. The review process may result in either revision of the policy; or rescission and archiving of the policy

6.7.3   The process for the review (where the policy requires major amendments), revision and rescission of existing policies generally follows the same guidelines as above, with the following exceptions:

Minor Amendments
Policy authors may request the Head Quality Assurance so that minor amendments to a policy are carried out. If the Head Quality Assurance agrees that the proposed changes are non-substantive in nature, the policy author will make the changes and send the updated version to the Senior Manager IT/Manager System Administrator so that it uploaded in the policies section on the IfE's website.

Rescinding Policies
Following the process described in the Policy Development and Review Policy and Procedures, a policy may be rescinded if:

- It has become inconsistent with legal or policy requirements;
- It no longer reflects the IfE's practice;
- It is incorporated into other policies and/or procedures.

7   Related Procedures

7.1   Policies may be supplemented with procedures that describe policy implementation practices, subject to the policy development process described above. These supplemental procedures may be included in the policy and/or linked as appropriate. The respective Board/Committee will review procedures and guidelines to assure consistency with other policies of the IfE.

8   Effective Date

8.1   A policy of the IfE takes effect on the date it is formally approved by the respective Board/Committee or at a later date specified by the same Board/Committee. The procedures take effect on the same date as the policy with which they are associated.

9   Related Documents

- Policies and Procedures
- Policy Template

10   Version history

Originator	Version	Date	Changes Done
QA Dept.	1.0	26/10/2021	Initial Release
QA Dept.	1.1	8/04/2024	Updated articles 6.3 and 6.7.3
QA Dept.	1.2	23/04/2024	Updated links