City, University of London is committed to promoting equality, diversity and inclusion in all its activities, processes, and culture, under its Public Sector Equality Duties and the Equality Act 2010. This includes promoting equality and diversity for all, irrespective of any protected characteristic, working pattern, family circumstance, socio-economic background, political belief or other irrelevant distinction.

Where relevant to the policy, decision-making panels will ensure a reasonable gender balance (with at least one man and one woman) and will actively consider representation of other protected groups.
FRAMEWORK

1. Scope

The University’s academic policies and procedures provide the institutional framework through which we manage the standards of our award-bearing provision and enhance the quality of learning opportunities that we offer to our students. The Quality Manual and Validation and Institutional Partnerships (VIP) Handbook make up City's Quality and Standards Framework. The Quality Manual contains policies aligned with the Senate Regulations.

This framework sets out how policies published in the Quality Manual and VIP Handbook are developed, reviewed and updated for approval by Senate, with effect from March 2019.

2. Aim

The aim of this framework is to provide a clear institutional approach to the development, approval and regular updating of all policies within the Quality Manual and to ensure that these policies meet legislative and legal requirements (where necessary), support good practice and provide stakeholders with a consistent approach in relation to City, University of London expectations.

3. Definitions

- **Senate Regulations** - The Senate Regulations set out the specific rules and principles which govern the academic quality and standards of awards made in the name of City, University of London. All Senate Regulations require compliance to safeguard the quality and standards of City awards. Senate has ultimate responsibility for approving regulations.

- **Senate Policy** – Senate policy contains the key principles and overall approach to the management and governance of a specific part of the quality and standards framework. All policy requires compliance to underpin the quality and standards of City’s awards. Senate has ultimate responsibility for approving policy.

- **Guidance** – A guidance document provides additional detail on process and procedure to support the operation of a policy in practice. Additionally, standard forms and templates will normally accompany policy and guidance to support consistent implementation. Senate does not normally approve guidance; this is normally drafted by Student & Academic Services (S&AS) and reviewed through the relevant sub-committees.

4. Principles for Policy Development and Review

The following principles will apply to the development of a new policy or review of an existing one:

- The purpose of a policy and how it supports the maintenance of quality and standards
- Policy documents will be clear, concise and as short as is reasonably possible to fulfil their purpose
- Policy documents will be written in plain English.
- New or continued resource implications will be considered at an early stage. (The process for addressing this important part of change is under development).
- Policies will be developed with input from both staff and students.
- Development work will take account of existing policies to ensure alignment and consistency across the quality and standards framework.
- Sector research is undertaken prior to the proposal of a new policy, as well as during the review of an existing policy. The outcomes should be used to inform policy wording, changes and associated guidance.
- Equality and diversity will be considered during the development and review process. (See Section 17)

5. Timescales for Review and Updating of Existing Policy

All policies and associated guidance will be reviewed periodically to ensure that they continue to meet City’s needs, for ongoing legal compliance and to maintain relevance and accuracy.

Typically reviews will take place every 3 years. Where a policy would require annual review or an extended period of up to 5 years, a rationale will be provided in the ‘Policy Update’ cover sheet found in Appendix 1. No policy will exceed a review date of 5 years.

6. Ownership:

A database of all academic policies can be found in the Quality Manual: Introduction – Quality at City ‘Guidance’. The Quality Manual Policy Database outlines which policies are held within each section of the Quality Manual and includes details on the policy owner & author, date for review, version and relevant Board, Committee and ratifying body.

The policy directory is owned and monitored by the Quality & Academic Development department (QUAD) in Student & Academic Services and will be re-published following any key changes.

7. Identification Need (New Policy or Revision to Existing Policy)

Policy and guidance is developed to support the implementation of Senate Regulations. A new policy or revision(s) to an existing policy can be proposed by any committee or group. The reason identified for this can be due to but not limited to:

- Changes in regulatory environment
- Changes to University priorities
- A need which has been identified via committee, staff or student feedback

Once a need has been identified, the Quality & Academic Development department of Student & Academic Services should be informed via email (qualitypolicy@city.ac.uk) using a completed ‘Policy Update’ cover sheet found in Appendix 1.

Typically informal consultation would follow and proposals will be brought to Associate Dean (Education) Forum or Senior Tutors for Research Forum, Quality Forum, and relevant School committees and the Students’ Union as appropriate. The proposed new policy or revision to current policy should then be discussed at Educational Quality Committee (EQC), Graduate School Committee (GSC) (for research degree policies) or Collaborative Provision Committee (CPC) (for policies relating to partnerships or validation).

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1 Where proposals are initiated within S&AS, these will be communicated to the relevant member of QUAD directly.
8. Resource & Implementation Implications

In order to manage implementation, resourcing implications for new or revised policies, including any financial costs and implementation expectations, need to be thoroughly explored and clearly indicated within a Policy Implementation Plan (See Section 15 & Appendix 3).

Where EQC or CPC has identified policy proposals with resource and/or implementation implications, that Committee will refer these to Education and Student Committee (ESC). ESC will review the proposal and if appropriate make recommendations in support of its approval to Executive Committee (ExCo). The policy owner may be asked to develop a business case where relevant. Resource or implementation implications for research degree policies, will be referred by GSC directly to ExCo for consideration.

9. Development of New Policy

When a new policy is to be created, a timeline of development through to implementation should be provided and shared with Schools and the Students’ Union.

When a draft policy is in a reasonably advanced state (e.g. a detailed outline or completed first draft), it should be reviewed by EQC along with the ‘Policy Update’ cover sheet found in Appendix 1 in order to provide opportunity for scrutiny and suggested revisions. EQC will refer draft policies to Senate for feedback at this stage where relevant, e.g. where significant change to current practice is recommended.

Formal consultation should be undertaken with relevant stakeholders including but not limited to:

- Boards of Studies, which may in turn consult with their sub-committees
- Students’ Union
- Professional Services (where relevant)
- Trade Unions (where applicable)
- Partner institutions where City makes degree awards
9a. New Policy Development Process:

Policy Update Cover Sheet (Appendix 1) completed and presented to EQC/GSC/CPC / Senate for input

Sector research and informal scoping with stakeholders

Policy proposal is reviewed by EQC/GSC/CPC

Draft policy version 0.1* developed and reviewed at EQC/GSC/CPC - subsequent version of the draft policy may follow

Formal consultation with stakeholders such as Boards of Studies, the Students’ Union and relevant Professional Services as appropriate.

Draft Policy at its reasonably advanced stage Policy Update Cover Sheet is reviewed by EQC/GSC/CPC / Senate

Based on feedback, actions and recommendations made subsequent version of the draft policy may follow

Version 1.0 is developed

Senate for approval

*Please see ‘Version Control’ section of this framework (Section 16) for details on numerical allocations.
10. Existing Policy Review & Update

The policy owner is responsible for the review and update of the policy and must ensure all amendments are reviewed and approved before the revised policy is published.

Full review of a policy will be prompted by QUAD in Student & Academic Services in Term 2 of the academic year preceding the policy review date. This is to allow sufficient time for appropriate stakeholder consultation to be undertaken and approval of the updated policy for implementation in the academic year following the year of review.

It is recognised that updates, as defined below, may need to take place before the designated review date.

**Minor Updates** – A change which in the judgment of the owner does not fundamentally alter the principles of the policy, its implementation or procedures. These can include but are not limited to:
- Changes in Board / Committee names and structures or role titles
- Updates to the dates indicated within examples and guidance notes
- Change of logo or policy layout
- Changes to regulatory body names

When any minor update / amendment is made the owner of the policy is responsible for ensuring that the change does not alter the principles of the policy and does not impact on any other University policy, regulation or process. Where such an impact is recognised the owner should follow the process for a ‘Major Update’.

Minor updates will be managed by QUAD (qualitpolicy@city.ac.uk) and do not need to be approved by Senate. Minor updates will be noted by QUAD within the Quality Manual Database.

**Major Updates** – Any change that does not meet the definition of a minor change or that has a significant impact on the principles and procedures of the policy. These can include but are not limited to:
- Changes to regulatory or legal requirements
- Changes to the internal procedure(s) established within the policy
- The superseding of key elements within the policy by new information or policies

**All major amendments must follow the full review process outlined in section 9a.** Once a major update has been made the revised policy along with the ‘Policy Update’ cover sheet found in Appendix 1 must be approved by EQC.

Policy documents should not contain specific details such as dates and staff names. Such details should be established within guidance documentation.

QUAD is able offer further advice and guidance for any queries about minor and major updates.
10a. Current Policy Update Process:

- **Current Policy Update Process:**
  - Policy Update Cover Sheet (Appendix 1) completed*
  - Sector research as appropriate and consultation with Schools and other relevant stakeholders
  - Amendments made from any actions arising from stakeholder feedback
  - Proposed changes are reviewed by EQC/GSC/CPC
  - Based on feedback and recommendations subsequent amendments may follow
  - New version of the policy is developed**
  - EQC/GSC/CPC recommendation to Senate for approval

*This process only applies to major changes
**Please see ‘Version Control’ section of this framework (Section 16) for details on numerical allocations.
11. Policy Guidance and Associated Documentation

All documentation associated with Quality Manual policies including guidance notes and forms must be developed and updated as appropriate alongside or directly following the new/revised policy approval.

Consultation for this documentation must take place with:
  a) the policy owner
  b) key relevant stakeholders
  c) relevant Senate sub-committees

Following initial approval, guidance documents and other associated documentation (e.g. forms) to support a policy do not need to be approved at Senate unless changes are made which substantively impact on how the policy is implemented. Minor changes and updating to guidance and associated documentation can be managed by the policy owner and author and relevant sub-committees. Once the documentation has been updated/developed it should be published in the Quality Manual in a timely manner.

12. Policy Development and Approval Responsibilities

Policies that form part of the quality and standards framework are approved by Senate.

Senate has ultimate responsibility for the development, approval and review of all academic policies. Educational Quality Committee (EQC) oversees the development, formal recommendation for approval and review of policies on behalf of Senate for taught provision. Policy development and review for research degrees is overseen by GSC for recommendation to Senate. Development and review of policies related solely to collaborative provision overseen by CPC, with advice sought from EQC or GSC as appropriate in relation to the type of provision.

EQC, CPC or GSC (as appropriate to the policy) should have the opportunity to consider, make final comment, and potentially make recommendations for amendments prior to a policy being recommended for approval to Senate.

13. Publication

When approval of the new/revised policy is confirmed by Senate all associated documentation will be published in a timely manner and all previous versions of the policy and associated documentation will be removed from the Quality Manual in order to support dissemination and implementation.

Once a policy is published:

- Only the website / intranet link (as appropriate) provided within the ‘Policy Details Table’ (Appendix 4) can be used within other documents and webpages to make reference to the Policy.
- Only the most up to date Policy will appear within the Quality Manual and will not be published in any other location in order to avoid duplication and help avoid confusion. All draft and older copies must be archived within the relevant Drive that is not accessible to the public.

Once a policy has been formally signed off and published, it must be adhered to from the date that it comes into effect.
13a. Publication Process:

Approval from Senate  
**With No Actions**

Committee secretary and policy owner finalise documentation for publication

Policy, cover sheet and relevant documents submitted to QUAD in the correct format

QUAD to publish new/revised versions and inform policy owner

Dissemination & Implementation process to be followed by Policy Owner  
***(Sections 14 & 15)***

Approval from Senate  
**With Actions**

Policy owner to ensure amendments are made in accordance with actions raised
14. Dissemination

Following approval, the policy owner is responsible for disseminating the new/revised policy (with the attached cover sheet indicating a summary of key changes for current policy) and associated documentation to all relevant staff, students and other stakeholders in a timely manner as well as supporting its implementation.

Dissemination to Staff, Students & Stakeholders is encouraged to take place via the following as appropriate:

- Direct Email
- Dissemination of Quality Manual link
- Annual summary report to Schools
- Moodle
- Student Hub*
- Boards of Studies (BoS) or any other relevant Boards / Committees

*The Student Communications Officer will advise on communication with students where appropriate.

In order to support the dissemination of information a summary report regarding all new and revised policies to be implemented in the following academic year is developed by QUAD on an annual basis for communication within Schools and relevant professional services. The Programme Handbook template will also be updated on an annual basis to ensure any policy updates are reflected.

15. Implementation

The implementation of all new/revised Quality Manual policies is the process by which the policy is put into effect and is the vital final step in the policy development and review process.

All new policies and those under review will normally be implemented in the academic year following the year of development/review. For example the owner of a policy with a review date of July 2019 will be notified in Term 2 of the academic year 2018-19 in order to review the policy during the academic year 2019-20 for implementation in 2020-21.

15a. Implementation Plan

The purpose of an implementation plan is to assist policy developers to document the key steps and resources that are necessary to implement the requirements described within the new or revised policy.

It is the responsibility of the policy owner to ensure that the implementation plan (Appendix 3) is developed and monitored as appropriate.

An implementation plan should be used at three key stages:
- when drafting a new policy or making revisions to current policy
- when completing documentation to request approval of the new or revised policy
- after the approval of a new/revised policy, when the implementation plan is activated and monitored.
15b. Completing an Implementation Plan (Appendix 3):

- Identify and insert details of the implementation tasks and actions, who will they be
  assigned to, any comments (e.g. contingencies) and the timelines.
- Identify any implementation issues that may arise, including:
  - barriers to acceptance, such as system or environmental constraints
  - additional costs/resources that may arise as a result of implementation
  - contingency plans to offset any difficulties that may arise
  - whether implementation could unwittingly marginalise any groups, such as
    people with a disability, those who have caring responsibilities, and/or people
    who identify as LGBTQ.
- Consider whether staff or student training or development is required or whether
  changes are required to built or work environments. Include information about the
  categories of training, development or change and who will be responsible.
- Consider who needs to support the requirements set out in the implementation plan?
  Have the relevant people been consulted?
- Propose timelines, including checkpoints to monitor implementation success and
  effectiveness over time.

16. Version Control

Version control provides assurance around which procedure, form or guidance is in force at
a particular time.

**Version control as detailed below will be applied to all Quality Manual policies from March 2019.**

- All policies approved prior to this framework will be numbered as Version 0 with the
  exception of any policies that have been updated within the academic year 2017-
  2018 which will be numbered as Version 1
  
  *(If a policy numbered as Version 0 must be updated in any way including minor
  updates a full review must take place and the policy must be updated to
  Version 1)*

- All new draft policies will be initially numbered Version 0.1
- After each revision the number to the right of the dot point increases by 0.1 (version
  0.2, 0.3)
- When the document is authorised, the number converts to Version 1.0 and the
  document is published
- Once published the number to the right will increase with each minor amendment
  approved (Version 1.1, 1.2)
- A full review of a document will result in the number to the left of the point increasing
  by 1 and the number to the right of the dot point returning to 0 (Version 2.0)
- There may be circumstances when a document may require immediate and
  significant change, such as to comply with new legislation or other external factors. In
  these circumstances, a change from Version 1.3 to Version 2.0 will need to be made
  in order to show that the new version is a major revision from the previous version
17. Equality & Diversity

City, University of London aims to create a cultural environment that is welcoming and encourages all individuals to strive to the best of their ability. We believe that the more diverse our community the greater our potential for innovation and excellence in our education, teaching, research, learning, all areas of academic activity and work. We are proud to be at the heart of London and of our international community.

As a public sector institution, the University, and all of its policy, is subject to the Equality Act 2010 and the Public Sector Equality Duty (PSED). The PSED places the three following duties onto the University:

- To eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- To advance equality of opportunity between people who share a protected characteristic.
- To foster good relations between people who share a protected characteristic and those who do not.

The Protected Characteristics identified within the Act are: Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Belief, Sex, Sexual Orientation.

City has a responsibility to ensure that our policies are inclusive of, and not discriminatory (either directly or indirectly) toward, those who identify with one or more of the Protected Characteristics, and so it is crucial that we can demonstrate that we are giving due regard to the needs and experiences of those with Protected Characteristics in the ways in which we develop, manage and review our policies, as well as in the content and subject matter of these policies.

To support this, City has developed a framework for Equality Impact Assessments (EIAs) which can be used by staff to assess the likely positive or negative implications of a policy development or update, on protected groups, and to identify actions to try to mitigate for these impacts where required.

We advise the use of EIAs as a recognised tool for ensuring that equality and diversity have been adequately considered and incorporated into the development and review process of any City policies.

City’s guidance and framework for the completion of EIAs can be accessed here.
18. Policy Impact & Evaluation

18a. Impact

In addition to Equality & Diversity considerations it is essential when developing a new policy to also consider the short term and long term impact the policy may have on all staff, students and stakeholders.

In order to mitigate any negative impact and to support positive outcomes from the policy implementation all relevant resource implications must be considered at the development stage and measures for reviewing the impact of the policy should be agreed.

Such measures could include but are not limited to:
- Equality & Diversity
- Staff and Student Mental Health
- Workload
- Implementation Implications
- Resource Implications

18b. Policy Impact Evaluation

Policy impact evaluation examines changes in key indicators that have occurred since the implementation of a policy and the extent to which changes can be attributed to the policy.

Policy impact evaluation can have multiple aims or purposes, these can include but are not limited to:
- Demonstrating the impact of the policy, by measuring relevant changes in short-term, intermediate and long-term outcomes.
- Determining whether the changes in outcomes, quality & standards and/or the student experience can be attributed to the policy.
- Comparing relative impacts of policies with different components such as equality and diversity, mental health.
- Identifying the relative cost-benefit or cost-effectiveness of a policy
- Determining whether the policy as it stands continues to be fit for purpose

A summary of relevant impacts will be captured on the Policy Update Cover Sheet for existing policies, and a separate report provided where applicable.
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<th><strong>Title</strong></th>
<th>FRAMEWORK FOR DEVELOPMENT AND REVIEW OF ACADEMIC POLICY &amp; GUIDANCE</th>
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<tr>
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## Policy Update Cover Sheet

| Type of Policy          | □ New Policy Development  
|□ Existing Policy Update |
|------------------------|---------------------------|
| Policy Name            |                           |
| Scope / Rational / Key |                           |
| Changes                |                           |
| (As appropriate)       |                           |
| External Legislation / |                           |
| Regulations that must  |                           |
| be considered          |                           |
| Author                 |                           |
| Owner                  |                           |
| Date of Origin         |                           |
| Version                |                           |
| Date of next review    |                           |
| Stakeholders for       |                           |
| consultation           |                           |
| Ratified by            |                           |
| Resourcing & Financial |                           |
| Implications           |                           |
| Implementation         | (Brief summary of        |
| Expectations           | implementation implications, full details to be completed within implementation plan; see section 15 and appendix 3) |
| Evaluation of impact   | See section 17           |
| (for existing policies)|                           |
| Publication            | Website (If published)   |
|                        | Intranet (For internal   |
|                        | policies only)           |
|                        | Other (please specify)   |

For further information and queries please contact:
Appendix 2 (for word version please click here: https://www.city.ac.uk/about/education/quality-manual/introduction-quality-at-city#tab=tab-2)

Policy Details Table

-This table must be completed and included at the end of each policy document.

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Appendix 3 (for word version please click here: https://www.city.ac.uk/about/education/qualitymanual/introduction-quality-at-city#tab=tab-2)

Policy Cover Template for Title & Logo

INSERT POLICY TITLE
Policy Implementation Plan Template

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<th>Date due for completion</th>
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