Quality & Standards Policy Development and Review (Policy & Guidance)

This paper outlines the policy and procedure for the development and periodic review of all Quality & Standards policies. This is a new policy, which aims to: 1) provide clarity for the development of new policy, 2) provide clarity and procedure for the periodic review of existing policy, and 3) combine policy development, review and version control processes in one document.

This policy has also been drafted in consultation with the Associate Deans Education (ADE) Forum, Quality Forum and Schools in preparation for EQC consideration and Senate approval.

Key points to highlight:

- Policy Update Cover Sheet (Appendix 1) to be completed at the proposal stage of a new policy and for the proposed key changes for current policy in order to be presented to Senate for early input.
  (pages 5-6)

- Equality Impact Assessments (EIAs) to be used by staff to assess the likely positive or negative implications of a policy development or update.
  (page 9)

- The implementation of a version control numerical system in order to ensure that a consistent method of version numbering is used across all Quality Manual policies and to ensure that older versions of policies are archived to avoid confusion.
  (pages 10 - 11)

- In order to ensure compliance with regulations and legal requirements and maintain the accuracy of Quality Manual policies and relevant documents all policies will be reviewed periodically. Typically reviews will take place triennially. Where a policy would require annual review or an extended review of 5 years, a rationale will need to be provided in the (‘Policy Update’ cover sheet found in Appendix 1. No policy will exceed a review date of 5 years.
  (pages 3 & 7)

Recommended action

Educational Quality Committee is asked to:

a) consider the paper

b) recommend the policy to Senate for approval
Equality and Diversity statement

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.
POLICY

Scope

The University's academic policies, procedures and regulations 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 Assurance Framework. The Quality Manual contains policies aligned with the University's Regulations supported by accompanying guidance, forms and supplementary information.

Senate is responsible for the approval and oversight of policies developed to support the assurance of quality and standards at City, University of London.

This policy sets out how policies published to the Quality Manual and VIP Handbook are developed, reviewed and updated for approval by Senate, with effect from (approval date of this policy).

Aim

The aim of this policy is to create a clear cross departmental 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.

Development of New Policy

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

- The purpose of the policy, how it supports the University and how it aligns with wider strategic priorities will be clear
- New or continued resource implications will be considered at an early stage
- Stakeholders will be identified and consulted as part of the development process
- Development work will take account of existing policies to ensure alignment and consistency across the quality and standards framework
- Policy development and review will be informed by practice elsewhere in the sector and by national regulatory requirements and guidance
- 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 rationales, templates and key changes.

Timescales for Review and Updating of Existing Policy

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

The author and owner will receive notification from the Quality Manual Administrator in Term 2 of the academic year prior to the agreed policy review date in order to begin the review process. 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. Further guidance on process and implementation is provided within the ‘Guidance’ section of this document.
In order to ensure compliance with regulations and legal requirements and maintain the accuracy of Quality Manual policies and relevant documents all policies will be reviewed periodically. Typically reviews will take place triennially. Where a policy would require annual review or an extended period of 5 years, a rationale will need to be provided in the ‘Policy Update’ cover sheet found in Appendix 1. No policy will exceed a review date of 5 years.

Any policy approved prior to this Policy remains in effect until it is amended. All Version 0 policies shall be reviewed within three years of the last date of approval of this Policy. Further details on version control and numbering can be found within the guidance section of this document.

Policy Approval

City, University of London quality and standards policies are approved by Senate. ExCo is responsible for considering resource and management implications of policies.

Senate has oversight of the development, approval and review of all relevant policies as indicated within the ‘Guidance’ section of this document. Both Senate and ExCo can delegate authority to other recognised Committees for the development, formal recommendation for approval and review of policies where the terms of reference for that committee clearly align to the subject matter covered within a policy.

The policy approval process requires that the relevant ratification Board or Committee has the opportunity to consider, make final comment, and potentially make recommendations for amendments prior to it being formally approved as a Senate policy.

Policy Publication & Implementation

All new Quality Manual policies and those under review will be implemented in the academic year following the year of development / review.

When approval of the new/revised policy is confirmed by Senate it is vital that the Policy and all associated documentation are published in a timely manner and all out of date policies and documentation are removed from the Quality Manual in order to support dissemination and implementation.

Once a policy has been formally signed off and published, it must be adhered to.
GUIDANCE

1. Policy Ownership and Approval

Senate formally consider all Quality Manual policies prior to them being formally approved as a University policy.

Both Senate and ExCo can delegate authority to other recognised committees for the development, formal recommendation for approval and review of policies where the terms of reference for that committee clearly align to the subject matter covered within a policy.

Senate:

Senate has delegated authority from the Council in the Charter for the enhancement of academic quality and assurance of academic standards. Senate has the primary responsibilities listed below and approves regulations and policies covering these matters:

- To regulate the academic work of the University in both education and research.
- To approve related policies and procedures.
- To be responsible for assuring academic quality and standards.
- To assure itself that student satisfaction is appropriately monitored.
- To ensure that processes are in place to ensure that learning is continually enhanced.
- To regulate the approval of all educational programmes and collaborative provision.
- To regulate the integrity of academic qualifications.
- To regulate validation and other academic partnerships with other third parties.
- To approve the academic calendar.
- To approve regulations for student discipline.

Executive Committee (ExCo):

The purpose of ExCo is to advise the President on the oversight of the academic, strategic and financial performance of the University and the development and implementation of its Strategic Plans.

Once a policy has been approved the policy author needs to ensure that the new, or updated, policy is communicated to relevant stakeholders via the agreed publication method(s) that are outlined on the cover sheet of the policy document.

2. Identification Need (New Policy or Revision Existing Policy)

A new policy or revision(s) to an existing policy can be proposed by any individual, 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 Manual Administrator within Student and Academic Services (S&AS) should be informed via email (email address to add) 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, Quality Forum, School Learning and Teaching Committees etc. as appropriate. An outline proposal will then be discussed with relevant Senate/ExCo sub-committee.

2a. Development of New Policy

Consultation

When a draft policy is in a reasonably advanced state (e.g. a detailed outline or completed first draft) it is important to create the opportunity for others to scrutinise and make suggestions on the draft document. The draft policy along with the ‘Policy Update’ cover sheet found in Appendix 1 must be reviewed by the appropriate Board or Committee or Sub-Committee as indicated above.

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
- Trade Unions (where applicable)

During the development of a new policy it is essential to be clear about the purpose of the policy. The overall inclusivity and potential impact the policy may have on staff, students and other relevant stakeholders must be taken into account.
2b. New Policy Development Process:

Policy Development Cover Sheet (Appendix 1) completed and presented to Senate for input

Sector research and Informal scoping with stakeholders

Policy proposal is reviewed by the appropriate sub-committee

Draft policy version 0.1* developed and reviewed at appropriate sub-committee - 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 Development Cover Sheet is reviewed by the appropriate sub-committee

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 guidance for details on numerical allocations.
2c. Existing Policy Review & Update

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

In order to ensure compliance with regulations and legal requirements and maintain the accuracy of Quality Manual policies and relevant documents all policies will be reviewed periodically. Typically reviews will take place triennially. Where a policy would require annual review or an extended review of 5 years, a rationale will need to be provided in the (‘Policy Update’ cover sheet found in Appendix 1. No policy will exceed a review date of 5 years.

Full review of a policy will be prompted in Term 2 of the academic year preceding the policy review date. For example the author 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.

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

**Minor Updates** – Those that do not impact or change the principles of the policy, its implementation or processes. 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 regulator body names

When any minor update / amendment is made the author 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 author must liaise with all relevant departments to ensure the change is clearly communicated and implemented.

Minor amendment updates will be managed in conjunction with the Quality Manual Administrator (S&AS) (Email Address) and do not need to be approved by Senate.

**Major Updates** – Those that have a significant impact on the principles of the policy. Major updates that may be required prior to the next review date can include but are not limited to:

- Changes to regulatory or legal requirements
- The superseding of key elements within the policy by new information or policies

All major amendments must follow the full policy review process outlined in section 2d of this guidance. 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 the appropriate ratifying Board or Committee.

Following approval the policy owner is responsible for disseminating the new/revised policy and associated documentation to all relevant staff, students and other stakeholders in a timely manner as well as supporting its implementation.
2d. Current Policy Update Process:

- Policy Update Cover Sheet *(Appendix 1)* completed*

  - Sector research as appropriate and consultation with stakeholders

  - Amendments made from any actions arising from stakeholder feedback

  - Proposed changes are reviewed by the appropriate sub-committee

  - Based on feedback and recommendations subsequent amendments may follow

  - New version of the policy is developed**

  - Sub-committee recommendation to Senate for approval

*This process only applies to major changes

**Please see ‘Version Control’ section of this guidance for details on numerical allocations.
3. Equality & Diversity and Impact

- 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:
  o To eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
  o To advance equality of opportunity between people who share a protected characteristic.
  o 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) [Link to be added to the framework once approved], 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.

- 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

4. Resource & Implementation Implications

In order to mitigate the risk of implementation issues, it is vital that during the development of new policy or review of existing policy resourcing implications including any financial costs and implementation expectations are thoroughly explored and clearly indicated within the ‘Policy Update’ cover sheet. The viability of these will be scrutinised by the ratifying Board or Committee and any other relevant boards and committees in order to make a fully informed decision at the approval stage.

5. Draft Versions

During the policy development process the policy author should retain all draft versions in a file where general access is prohibited. Once any recommendations made have been reconciled the revised policy must be approved by the appropriate ratifying Board or Committee.

6. Version Control

Having versions identified and easily accessible allows the development of the document to be easily understood and it is also essential particularly when dealing with University policies and procedures which are communicated with the public, our students and stakeholders. 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 the effective date of this Policy.**

The following guidance establishes the version control numerical system in order to ensure that a consistent method of version numbering is used across all Quality Manual policies.

The following procedure is to be applied when allocating and tracking document versions:

- All polices approved prior to this policy 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.

7. Publication

When approval of the new/revised policy is confirmed by Senate it is vital that the Policy and all associated documentation are published in a timely manner and all out of date policies and documentation are removed from the Quality Manual in order to support dissemination and implementation.

Publication Process:

- Approval from Senate
  - With No Actions
  - Committee secretary and policy owner finalise documentation for publication
  - Policy, cover sheet and all associated documentation to be shared with S&AS Quality Manual Administrator using the correct format
  - Quality Manual Administrator to publish new/revised versions and inform policy owner
  - Dissemination & Implementation process to be followed by Policy Owner
    - (Section 5 & 6)

- Approval from Senate
  - With Actions
  - Policy owner ensures that amendments are made in accordance with actions raised
Once a policy is published:

- Only the website / intranet link (as appropriate) provided within the ‘Policy Details Table’ (Appendix 3) can be used within other documents and webpages to make reference to the Policy.
- Only the most up to date Policy must appear within the Quality Manual and must 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.

8. Dissemination

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:**

a) Direct Email  
b) Dissemination of Quality Manual link  
c) Annual summary report to Schools  
d) Moodle  
e) Student Hub  
f) Boards of Studies (BoS) or any other relevant Boards / Committees

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 Quality and Academic Development on an annual basis for communication within Schools and relevant professional services.

9. 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.

It is the responsibility of the policy owner to ensure that the dissemination process (Section 5) is followed and that any training needs are identified and acted upon to support the timely and successful implementation of any new / revised processes and procedures within the policy. Once a policy has been formally signed off and published, it must be adhered to.

All new Quality Manual policies and those under review will be implemented in the academic year following the year of development / review.

For example the author of a policy with 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.

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 can be attributed to the policy.
- Comparing relative impacts of policies with different components such as equality and diversity, mental health.
- Equality & 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 Development Cover Sheet for existing policies, and a separate report provided where applicable.

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 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 policy owner and author and relevant sub-committees. Once the documentation has been updated/developed it should be published on the Quality Manual in a timely manner.
<table>
<thead>
<tr>
<th>Policy Title</th>
<th>QUALITY &amp; STANDARDS POLICY DEVELOPMENT AND REVIEW</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Enabling Owner and Department</td>
<td>Responsible for Implementation and Department</td>
</tr>
<tr>
<td>QUALITY &amp; ACADEMIC DEVELOPMENT (QUAD)</td>
<td>STUDENT &amp; ACADEMIC SERVICES (S&amp;AS)</td>
</tr>
<tr>
<td>Approving Body</td>
<td>Date of Approval</td>
</tr>
<tr>
<td>SENATE</td>
<td>TBC</td>
</tr>
<tr>
<td>Last Reviewed &amp; Version</td>
<td>Review Due Date</td>
</tr>
<tr>
<td>V0.4</td>
<td>TBC</td>
</tr>
<tr>
<td>Publication of Policy <em>(tick as appropriate)</em></td>
<td></td>
</tr>
<tr>
<td>For public access online (internet)?</td>
<td>For staff access only (intranet)?</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Website Link: TBC</td>
<td>Intranet Link:</td>
</tr>
<tr>
<td>Storage of Policy <em>(Previous versions of the policy must be stored in the drive by the author)</em></td>
<td></td>
</tr>
<tr>
<td>Drive Address: reg-dev (shares0) (S:) &gt; QUAD &gt; Georgia &gt; Policy Review &gt; Policy &amp; Guidance</td>
<td></td>
</tr>
<tr>
<td>Queries about this policy should be referred to</td>
<td></td>
</tr>
<tr>
<td>Georgia Moustaka</td>
<td><a href="mailto:georgia.moustaka@city.ac.uk">georgia.moustaka@city.ac.uk</a></td>
</tr>
<tr>
<td>Quality &amp; Academic Development (QUAD)</td>
<td></td>
</tr>
<tr>
<td>Student &amp; Academic Services (S&amp;AS)</td>
<td></td>
</tr>
</tbody>
</table>
## Appendix 1

**Policy Development Cover Sheet**

| Type of Policy                  | ☐ New Policy Development  
<table>
<thead>
<tr>
<th></th>
<th>☐ Existing Policy Update</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Name</td>
<td></td>
</tr>
<tr>
<td>Scope / Rational / Key Changes</td>
<td></td>
</tr>
<tr>
<td><em>(As appropriate)</em></td>
<td></td>
</tr>
<tr>
<td>External Legislation / Regulations that must be considered</td>
<td></td>
</tr>
<tr>
<td>Author</td>
<td></td>
</tr>
<tr>
<td>Owner</td>
<td></td>
</tr>
<tr>
<td>Date of Origin</td>
<td></td>
</tr>
<tr>
<td>Version</td>
<td></td>
</tr>
<tr>
<td>Date of next review</td>
<td></td>
</tr>
<tr>
<td>Stakeholders for consultation</td>
<td></td>
</tr>
<tr>
<td>Ratified by</td>
<td></td>
</tr>
<tr>
<td>Resourcing &amp; Financial Implications</td>
<td></td>
</tr>
<tr>
<td>Implementation Expectations</td>
<td></td>
</tr>
<tr>
<td>Evaluation of impact (for existing policies)</td>
<td><em>See section 10 of Guidance</em></td>
</tr>
<tr>
<td>Publication</td>
<td>Website <em>(If published)</em></td>
</tr>
<tr>
<td></td>
<td>Intranet <em>(For internal policies only)</em></td>
</tr>
<tr>
<td></td>
<td>Other <em>(please specify)</em></td>
</tr>
</tbody>
</table>

*For further information and queries please contact:*
Appendix 2

Policy Cover Template for Title & Logo

INSERT POLICY TITLE
Appendix 3

Policy Details Table

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

<table>
<thead>
<tr>
<th>Policy Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>--------------</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Policy Enabling Owner and Department</th>
<th>Responsible for Implementation and Department</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Approving Body</th>
<th>Date of Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Last Reviewed &amp; Version</th>
<th>Review Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Publication of Policy (tick as appropriate)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

For public access online (internet)? [ ]  For staff access only (intranet)? [ ]

<table>
<thead>
<tr>
<th>Website Link:</th>
<th>Intranet Link:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Storage of Policy (Previous versions of the policy must be stored in the drive by the author)

Drive Address:

Queries about this policy should be referred to

(Insert contact name, email address and department)