



## Guidance on developing policies and procedures

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Department	Directorate
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Last Reviewed	N/A
Equality Impact Assessment undertaken	N/A
Accessibility Checked	7 <sup>th</sup> October 2019

## 1. Introduction and Purpose

All organisations require clear, consistent, unambiguous and easily accessible policies and procedures. The purpose of this Guidance is to set clear expectations in relation to the development, implementation and management of all University of Worcester policies and procedures. This Guidance seeks to ensure that members of staff who are involved in policy development are clear on their roles and responsibilities so that all University policies and procedures are developed and maintained in a consistent and coherent manner.

## 2. Key Policy Development Stages

### 2.1 Justification of the Policy

The first stage in developing a policy is to set out the justification for having such a policy, what the policy should achieve, and who the target audience should be. Depending on the nature of the policy, this initial stage could be completed by an individual member of staff, a team or a small working group tasked with delivering the policy objectives.

At this stage, it is important to identify who the 'Policy Officer' for the document will

'Policy' is a principle or set of rules approved by the University's Board of Governors, Academic Board or the Vice Chancellor's Executive Board to guide decisions and achieve rational outcomes.

'Procedures' define how a policy will be implemented. They provide the objectives, functions, and tasks to accomplish the policy, and explain the circumstances in which the policy is to be implemented. They should include areas of responsibility for policy and procedural implementation, such as who decides on policy exemptions, who holds relevant forms etc. It is recommended that they include a flowchart to explain any complex processes. Procedures may be incorporated into an overarching Policy.

## 2.4 Drafting the Policy

Once the nature of the document has been identified the policy should be written following the Guidance on Writing an Accessible Document (Appendix 4)

In addition, the policy needs to:

- Be clear, easy to read, and non-technical;
- Keep to the right level of information for individuals to act upon and follow successfully;
- Be clear who the policy relates to i.e. is it the whole University community; or students (undergraduate and/or postgraduate); staff (all, permanent, Associate Lecturers etc); sub-contractors; consultants.
- Be factual, with checks made for accuracy, as well as for consistent use of terminology and spelling checks;
- Avoid implying choice i.e. use 'must' instead of 'should not';
- Be succinct and avoid loopholes
- Be written in the third person, and generally in the present tense and active choice i.e. "Staff must comply with this policy";
- Spell out acronyms in the first usage, with the abbreviation following it in parentheses (). The abbreviation can be used thereafter;
- Keep to gender and politically neutral language i.e. 'they' instead of 'he or she'

## 2.5 Managing Version Control

All versions of a draft policy should be numbered in order to be clear as to what stage the document is at (either at draft or approval stage). A first draft of a policy will be Draft version 0.1, Draft Version 0.2, with the zero indicating that the policy is in draft stage. When a policy is approved, the policy must be numbered as Approved Version 1.1 and so on.

## 2.6 Consultation

be carried out through staff training; weekly All Staff email; notification to Heads of Departments; notification on student Sole Page; in departmental meetings.

## 6. **Appendices/Related Documents**

Appendix 1 - How to write a policy: structural overview

Appendix 2 - Key information about the policy (Cover Page)

Appendix 3 – Guidance on Equality Impact Assessment

Guidance on writing an accessible document

## Appendix 1

# Policy Template

### University logo

Insert the University logo in the top left hand corner of the front page of the document. You can add the department name to the logo. Further advice on this is available in the [University's branding guidelines](#)

### Policy Title

The title of the policy must use Calibri or Arial font, 16pt, Bold, Capitals only at the start of words, left aligned.

### Approval Table

Information about the policy approval and review should be included at the bottom of the cover sheet of the document (see Appendix 2)

### Purpose

This should provide a clear and succinct statement of the reason for the policy.

### Overview

An overview of the policy, including any background information that provides a context for the document.

### Definitions

If necessary, for the purposes of clarity, a list of key definitions should be included.

### Scope

Clearly identify who the policy applies to. If it relates to students is this 'All Students' or a specific group of students i.e undergraduate or postgraduate, a specific course. If it relates to staff is this 'All Staff' or a specific group of staff i.e. permanent, full time, part-time, temporary, Associate Lecturers, agency staff, consultants, sub-contractors, honorary appointments.

### The Policy/Policy Statement

This is the core section of the policy document. It should outline the underlying principles that constitute the policy. It should include:

- What situations are covered by the policy
- The major conditions and restrictions of the policy
- What is expected of the individuals within the scope of the policy
- Exclusions or special circumstances, areas of risk, and why these are identified as such

- responsibilities for carrying out the policy, and what happens if the policy is breached.

### **Related Policies or Documents**

List the title and effective date of any policies referred to and include a hyperlink.

### **Procedures**

- These can either be a separate document or be part of the policy document. When



## Appendix 2

### Approval Table

Each document needs to include an Approval/Review Table. This should be included on the bottom of the cover sheet or on the last page of the document and should be updated each time the document is reviewed.

If the policy is new or a substantial revision of a former document add an additional line which articulates 'policy/procedures superseded by this document'

Item	Notes
Version Number	See 2.5 above
Date of Approval	Date document approved
Approved by	Title of Approval Body
Effective from	This may the same as the approval date or a later date
Policy Officer	Post holder who is responsible for the Policy (job title not an individual's name)
Department	The name of the department which administers the policy
Review date	Date of next review
Last reviewed	Include date and detail of any significant amendments
Equality Impact Assessment	Date the EIA was undertaken
Accessibility Checked	Date the Accessibility Check was undertaken





result of the Provisional Assessment should be considered in the further development of the policy or procedure. Once the final draft of the policy or procedure has been completed and full EIA should be undertaken and the outcome noted and provided to the Approval Body as part of the policy or procedure approval process.

#### **4.4 Valuing Differences**

EIAs are about making comparisons between groups of individuals, whether they are groups of staff or students or external stakeholders, to identify differences in their needs and/or requirements. If the difference is disproportionate, then the policy may have a detrimental impact on some and not others.

#### **4.5 Evaluation Decision**

Having undertaken the EIA (see Section 5) the following options are available to the Policy Officer.

1. Policy or procedure will be recommended for approval
2. Decision to not proceed with the policy or procedure because the evidence shows bias towards one or more groups
3. Adapt or change the policy or procedure in a way which eliminates the bias
4. Proceed with caution, providing justification for this decision.

In most cases, where disproportionate disadvantage is found by carrying out an EIA, policies are usually changed or adapted.

#### **4.6 Recording the EIA**

## Equality Impact Assessment for Policies and Procedures Questionnaire

1. Name of policy or procedure being assessed
2. Summary of aims and objectives of policy or procedure

Protected Characteristic Group

Is there a potential for positive or negative impact?

Please explain and give examples of any evidence/data used

Action to address negative impact (e.g. adjustment to the