



TUS Midlands
Midwest

Policy Framework Version 2



Document Control Summary:

Version Number/ Revision Number	Revision Date	Summary of Changes	Changes marked
1.0		New Policy	
1.1	22/01/2024	More clarity given in various sections	Yes
1.2	March 2025	Framework review and update	Yes
2.0	April 2025	Framework review and approved	Yes

Consultation History:

Version Number/ Revision Number	Consultation Date	Name of Committees in Consultation eg: PRC, ARC, GB	Summary of Changes
1.0	July to October 2022	VP Council; Joint VP and Deans Council; ARC, and Governing Body.	
1.1	January 2024	ARC and Governing Body	Policy Drafting and Development more clearly defined. Approval process more distinct. Name change to appendices
1.2	March/April 2025	Jt VP and Deans Council/nominees	Framework reviewed and updated.
	15 th April 2025	Audit and Risk Committee Governing Body	Recommended
2.0	28 th April 2025	Governing Body	Approved

Development Log:

Responsible for:	Title
Policy Developer:	Policy Unit in conjunction with Policy Owner
Policy Owner:	Vice President Finance & Corporate Governance
Recommended by:	Audit and Risk Committee
Approving Authority:	TUS Governing Body

Reference Documents:	N/A
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Approval Log:

Version	Approved By:	Date
1.0	TUS Governing Body	22/11/2022
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1. Definitions

- 1.1 **Policy:** a statement of the Technological University's principles, roles and responsibilities, and required authorisation levels established to provide guidance and assistance to the University in the conduct its business and to comply with national policy or guidance.
- 1.2 **Procedure:** a guideline or series of steps necessary to implement a policy. University procedures:
- should comply with best practice and relevant legal requirements;
 - should outline the sequence of steps necessary to carry out defined tasks;
 - should be reviewed and updated by the Policy Owner on an ongoing basis to ensure that the procedures are 'fit-for-purpose'
- 1.3 **Policy Unit (PU):** The unit with responsibility for the monitoring of the policy development process, keeping track of the status of each policy, and assisting the Policy Owner in these areas.
- 1.4 **Policy Owner (PO):** The person who has responsibility for the policy and for the development, implementation and review of the policy to ensure that it reflects current needs, practice, and legislation.
- 1.5 **Policy Developer (PD):** The person assigned responsibility by the Policy Owner for drafting and developing a policy.
- 1.6 **Policy Review Committee (PRC):** The PRC is a Management Committee comprising the Policy Owner, Policy Developer and other members of the Vice Presidents and Deans Council or their nominees. The PRC may also include an external subject expert proposed by the Policy Owner.
- 1.7 **Function Specific Committee:** A University committee comprised of stakeholders from a relevant area – e.g. Equality Diversity and Inclusion Committee; or Health and Safety Committee.
- 1.8 **Policy Issues Log:** A record of issues identified during the operation of the policy. This will inform the need for policy review and/or remedial action to the policy. The Policy Unit will be responsible for the creation and maintenance of the Policy Issues Log.
- 1.9 **Stakeholders:** Members of University and the wider community falling within the scope of a policy.
- 1.10 **Approving Authority (s):** The approving authority is the University body/person tasked with the final review and approval of a policy.

2. Purpose of the Policy Framework

- 2.1 The purpose of this Policy Framework ("the Framework") is to define the process by which University policies are to be developed, reviewed, approved, and maintained. A consistent policy development process - including format guidelines - has as its objective the

development of policies which are clear, concise, easy to understand, current, consistent with best practice, and compliant with national policy and guidelines.

3. Scope of the Framework

- 3.1 The Framework relates to all Stakeholders⁷ of the University, and will be applied to policies across the areas of Governance, Administration, Equality and Diversity, and Support Services.
- 3.2 The scope of the Framework does not generally include policies relating to academic administration, student services, research development and innovation, except where policies in these areas have a governance compliance requirement.
- 3.3 The Policy Unit will engage with the Academic Quality office to identify policies that meet the requirement in 3.2.
- 3.4 Specific policies can apply to some, or all members of the University, and to external Stakeholders associated with the University, including members of the public using the University facilities or attending University events.

4. Roles and Responsibilities

The following roles and responsibilities will apply to policies developed under the Framework.

Policy Owner

- 4.1 The Policy Owner is the person with overall responsibility for the development and implementation of the Policy, and with the staff of the Policy Unit will oversee the monitoring, review and communication of the Policy. The Policy Owner with the Policy Unit will assign the policy approval level for each policy in accordance with the provisions of section 9. The policy owner will approve policies with a Level 3 approving authority.

Policy Developer

- 4.2 Where relevant, the person assigned responsibility by the Policy Owner for drafting and developing a policy. The Policy Developer will be responsible for updating the policy following review. The Policy Owner/Developer will present policies to the approving authority.

Policy Unit

- 4.3 The Policy Unit will ensure that all policies within the scope of this framework are developed in accordance with the framework. The Policy Unit will be the point of contact for notification, by Policy Owners, for policy review and update. The Policy Unit is responsible for supporting the functional areas within the scope of the framework.

The Policy Unit will also have responsibility for:

- Reporting on all policy matters to the TUS Audit & Risk Committee (ARC).
- Providing policy reports and policy schedule to the VP and Deans Council.
- Seek nominations and determine membership on PRC.
- Advising Policy Owners on review requirements for policies.
- Managing the PRC process including scheduling and minuting of meetings.
- Maintaining the Policy Issues Log.

The Policy Unit will liaise with the Policy Owner/Policy Developer on the following phases of development as outlined in Appendix B to the Framework:

- Consultation
- Implementation

- Communication

The Policy Unit will publish policies on the Corporate Policy Webpage on the University's website.

Policy Review Committee (PRC)

- 4.4 The role of the PRC is to review draft policies in order to provide feedback to the Policy Owner/Developer. The PRC will:
- Identify omissions in the policy
 - Assess the readability of the policy
 - Assess the functionality of the policy
 - Assess the effectiveness of the policy
 - Act as the Approval Authority for Level 2 Policies

5. Policy Statement

- 5.1 The Framework provides a guideline for Policy Owners and Policy Developers to ensure that policies are:
- Developed according to the process set out in this document;
 - Presented in a standard and common format;
 - Formally approved by an appropriate authority as per 1.10 and section 9 herein prior to publication or issuing;
 - Accessible to all stakeholders and, where appropriate, the general public (as required), in usable formats in line with the Open Data Strategy 2017-2022;
 - Appropriately developed and regularly monitored, reviewed and revised/updated in line with the University Strategic Plan;
 - Compliant with applicable laws, national policy and guidelines, and national / international benchmarks of best practice. This includes but are not limited to the Technological Universities Act 2018, the relevant Code of Governance for Technological Universities and relevant Circulars;
 - Clearly marked as policies and separated from associated documentation such as procedures, guidelines and forms which provide specific instructions for carrying out defined tasks.

6. Reasons for Policy Development or Renewal

- 6.1 The reasons for a new policy development or a policy review may include:
- An identified need for a new policy, including mitigation of issues recorded on the Policy Issues Log.
 - A change to current legislation or to national policy and guidelines.
 - An update to an existing policy due to new requirements.
 - Policies identified for development under a national process involving management and trade union stakeholders.
- 6.2 The Policy Unit will be notified by the Policy Owner, at the commencement of any policy development, or review of any existing policy.

7. Policy Drafting and Development

The steps detailed in Section 7 will be followed by all Policy Owners and Policy Developers in the development and review of TUS policies.

- 7.1 The Policy Unit will contact the Policy Owners on an annual basis to determine collaboratively what – if any – new policies are required and whether any existing policies require review. Where the need for a new policy or review of an existing policy is identified at other times of the year the Policy Owner will contact the Policy Unit.
- 7.2 The Policy Unit will draft and manage a development and consultation timeline for the policy development or review in consultation with the Policy Owner.
- 7.3 The Policy Owner in consultation with the Policy Unit will ensure that the policy content is up to date, and aligns with legislation and best practice, and will reference any research material used in the development of the policy.
- 7.4 The Policy Unit will work closely with the Policy Owner throughout the development/review of the policy.
- 7.5 University policy templates should be used for all University policies to maintain consistency and standardisation. (Appendix A).
- 7.6 A standard naming protocol will apply to all University policies within the remit of this Framework. (Appendix E).
- 7.7 The Policy document should cover all the main requirements and be written concisely in plain, easy to understand, language.
- 7.8 Consideration will be given to how the proposed policy will impact on other University policies.
- 7.9 The Information and Data Compliance Office (IDCO) should have review of any policy at an early stage in the process, as there may be a requirement for a data protection impact assessment.
- 7.10 The Policy Unit will be contacted by the Policy Owner about any policies proposed for development under the national process. The Policy Unit will ensure that the development process aligns with the Framework.

8 Consultation

- 8.1 A Policy Development and Consultation Plan (Appendix C) will be developed for each policy by the Policy Owner with the Policy Unit.
- 8.2 Where possible, the Stakeholders, identified in the Policy Development Consultation Plan, should be consulted during the development of the draft policy. This consultation should be noted within the “Consultation History” in the policy format.
- 8.3 The length of time allowed for consultation will depend on the complexity of the policy and its Stakeholders, however the development plan should be well structured in order to finalise the policy in a timely manner.
- 8.4 Where additional members are required on a PRC, the Policy Unit will seek nominations through the VP and Deans Council.
- 8.5 The Policy Owner, with the Policy Unit, will determine the composition of the PRC. The PRC will comprise the Policy Owner, Policy Developer, and will incorporate subject matter experts and other relevant stakeholders. Stakeholders may include individuals, with knowledge of the policy area, nominated through the VP and Deans Council.
- 8.6 The Policy Unit will ensure that the PRC reflects appropriate stakeholder representation outside of the policy development area.
- 8.7 In certain circumstances a Function Specific Committee may be proposed to fulfil the role of the PRC. Policy Owners will inform the Policy Unit of this proposal. The Policy Unit will apply the development steps outlined in the Framework.
- 8.8 It is recommended that the normal membership of the PRC will be 5 to 7 members.

9 Approval

- 9.1 Each TUS Policy, within the scope of this Policy Framework will be assigned a policy approval level. The criteria for the policy level are set out in Table 1 below. The Policy Owner in consultation with the Policy Unit will assign the policy approval level noting the reason for the level in Appendix D. The Approval Level / Approving Authority will also be reflected in the Approval Log section of the policy.

Policy Approval Level	Approving Authority	Authority Rationale
1	Governing Body (GB) (via appropriate GB committee)	Legislative, Compliance or Governance Requirement for GB approval.
2	Policy Review Committee (PRC)/ Function Specific Committee	TUS wide Policy, not requiring GB approval
3	Policy Owner	Function Specific Policy, outside 1 & 2 above.

Table 1 – Policy Approval Level Criteria

The Policy Unit will maintain a full list (Appendix D) of TUS policies within the scope of this Policy Framework, and each policy will have an approval level and an approving authority. The Policy Unit will compile an updated list for approval by the Governing Body.

- 9.2 The final draft policy document will be submitted for approval to the relevant Approving Authority. The following documentation, relating to the development of the policy, should be provided to the Authority:
- The Implementation and Communication plan (Appendix B) and the Policy Development and Consultation plan (Appendix C) and checklist for the policy.
 - Confirmation that relevant consultation has occurred with all stakeholders to include the data protection/ information compliance unit, legal or staff representative bodies where applicable.
- 9.3 If the policy is approved by the relevant Approving Authority, it will be registered as 'Approved' in Appendix D of this Framework and in the Approval Log of the policy and published as outlined in Section 11.
- 9.4 If the policy is not approved, the Approving Authority will give appropriate feedback with reasons and return to the Policy Unit for further review.
- 9.5 All relevant information and documentation relating to the development and review process will be retained by the Policy Unit for the lifetime of the policy.
- 9.6 All policies must follow this Policy Framework for development, consultation, review, and approval.

10 Implementation and Communication

- 10.1 The Policy owner, with the Policy Unit, will develop a policy implementation and communication plan. (Appendix B)
- 10.2 The Policy Unit will publish and circulate the policy in accordance with the implementation and communication plan and maintain a log of progress against the plan.
- 10.3 Implementation of the policy will at first instance be the responsibility of the Policy Owner.
- 10.4 The Policy Unit will liaise with the Policy Owner to review the status of actions noted in Implementation and Communication Plan.

- 10.5 A policy issues log will be maintained by the Policy Unit. Stakeholders can submit issues through an MS forms link on the TUS Corporate Policy webpage.

11 Publication of Policies

- 11.1 To ensure that University policies and associated documentation are accessible, all relevant policies and associated documents will be available in a usable format on the University website and located in the Policy Unit repository of the website. Where other departments wish to make policies accessible, they should do so by providing a link to the Policy Unit webpage. These can include links from the Student Portal, and Staff Portal. The document location should be noted in the “Quality Assurance” section of the policy.

12 Monitoring, Maintenance and Review

- 12.1 An appropriate review timeframe for policies would not generally exceed four years.
- 12.2 The Policy Unit will ensure that any associated policies are modified or superseded and archived.
- 12.3 The Policy Unit will liaise regularly with the Policy Owner to review whether:
- There is an ongoing need for the policy in relation to its stated purpose and goals and that it remains consistent in relation to the University's overall strategic plan.
 - There is a potential need to change the policy to improve its effectiveness, or to ensure that it is up to date, and aligns with legislation and best practice.
- 12.4 This Policy Framework will be reviewed in four years unless otherwise deemed necessary: in national policy or guidance.
- 12.5 The Policy Unit will provide periodic reports to the Governing Body and GB committees on the operation of this Policy Framework and the approval, maintenance and review of TUS policies.
- 12.6 The Policy Unit will provide a bi-annual report to the VP and Deans Council on the up-to-date list of policies.

13. List of Appendices

- 13.1 Appendix A - Templates for University Policies
- 13.2 Appendix B - Policy Implementation and Communication Plan
- 13.3 Appendix C - Policy Development and Consultation Plan
- 13.4 Appendix D – Approval Level Listing for Governing Body
- 13.5 Appendix E – Policy Format and Naming Protocol
- 13.6 Appendix F – Policy Development and Drafting Process Flow