

Academic Policy Framework Procedures

Background and context

These Procedures supplement the Academic Policy Framework Policy (Academic Policy Framework). The Procedures clearly outline, step by step processes to be taken in the development, review and management of Kaplan's academic policies and academic policy related documentation, i.e. academic procedures, guidelines and forms. Intended users of these Procedures are staff members involved in or supporting Kaplan's academic policy lifecycle.

Scope

These Procedures apply to the development, review and management of all Kaplan academic policies, procedures, guidelines and forms. To avoid repetition, the term 'Policy' is used hereafter to refer to academic policy and academic policy related documents unless otherwise stated.

NOTE: Whilst procedures, guidelines and forms are typically approved and managed at Business Unit level (with minimal support from the Academic Quality and Governance team), these Procedures remain a useful reference for understanding how to appropriately develop, review and manage academic policy and policy related documents.

Purpose

These Procedures:

- increase staff awareness of process requirements in the development, review and management of Kaplan academic policy and academic policy related documentation
- help staff involved in the policy lifecycle to better understand their roles and responsibilities
- provide procedural consistency and integrity in the Kaplan policy lifecycle.

Kaplan's Academic Policy Lifecycle

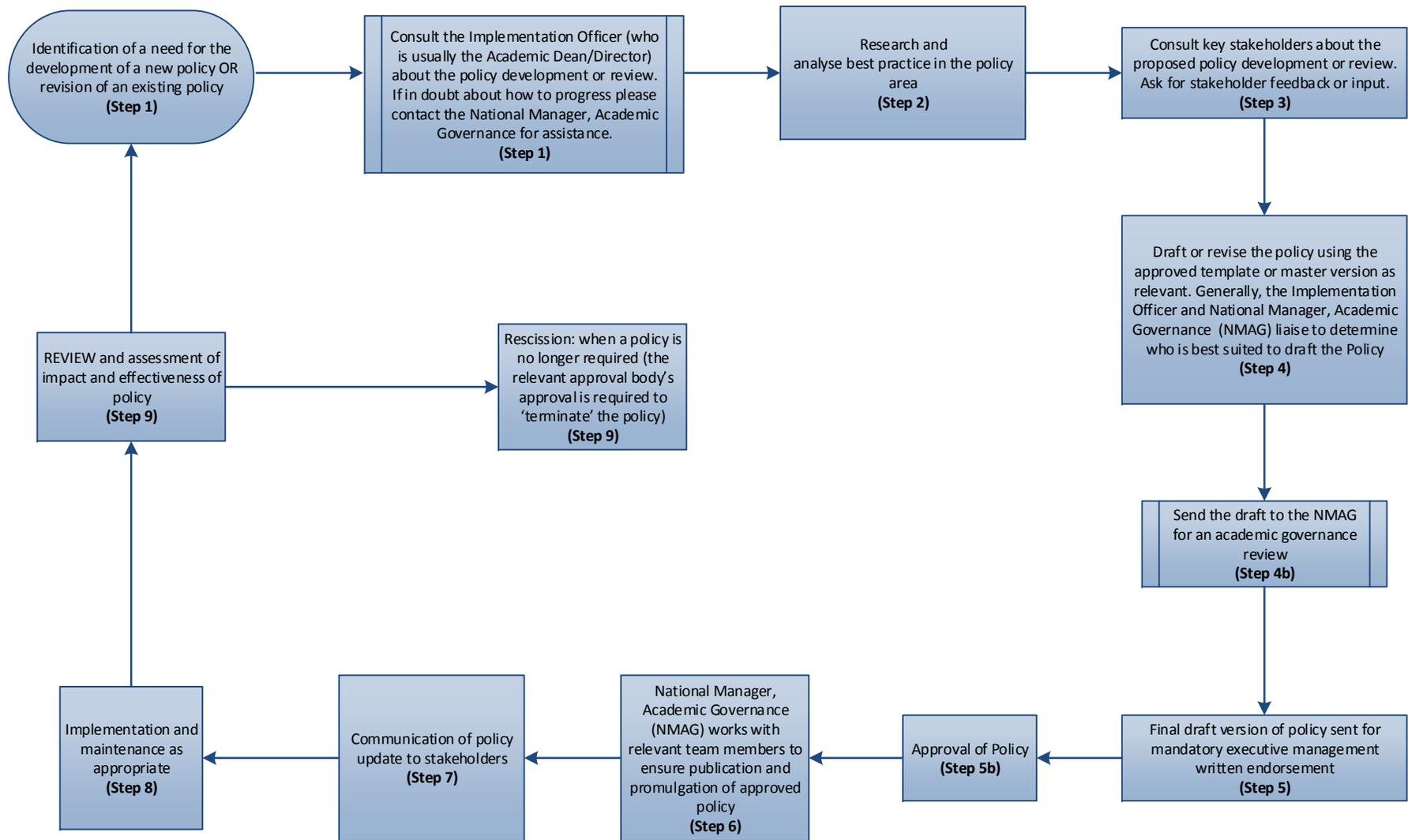
A policy lifecycle is a conceptual approach that identifies the different stages involved in the 'life' of a policy – which generally refers to the period ranging from the inception of a policy to its review and its eventual rescission. Kaplan's Academic Policy Lifecycle incorporates a number of distinct steps, which include:

1. Identification of issues or policy requirements and designation of appropriate staff to oversee the policy's review or development.
2. Research and analysis of best practice in the policy area.
3. Consultation of stakeholders.
4. Drafting and/or revision of the policy.
5. Approval by the appropriate authority.
6. Publication of approved policy
7. Promulgation (Communication) to stakeholders.
8. Implementation and maintenance of the policy which includes, appropriate record management and review.
9. Review and/ or Rescission of policy as appropriate.

Note: these stages are described in greater detail in Table 1 of these Procedures.

The Policy Review and Development Process Annotated Policy Process Map

The Process Map below outlines each step in the policy development and review process. It also specifies who does what, and when. Staff members involved in the policy lifecycle are encouraged to use this process map as a point of reference.



Descriptive Table of Kaplan’s policy review processes

The following table (Table 1) provides supplementary information about the policy process, including explanations of the processes outlined in the preceding process map.

Table 1

Developing and reviewing an academic policy ¹		
Role	Action	Detail/ Explanation
Implementation Officer and/ or Policy Writer	1. Check: if there is an existing policy. (There <i>will be</i> an existing policy if you are reviewing a policy)	<p>Conduct an environmental scan to see if the policy already exists. The relevant Kaplan business unit’s Policy website is the source of truth for academic policy.</p> <ul style="list-style-type: none"> • If there is no existing policy proceed to step 2. • If the existing policy, is outdated and/ or inadequately covers the policy area, proceed to step 2. • If the policy exists and sufficiently deals with the identified policy issue, no further action is required. <p>For policies under review due to the expiration of time, if the Implementation Officer considers that a revision is unnecessary, a recommendation should be made to the <i>approval body</i>² that the existing policy be maintained and that the review date be extended for a further 3 years, being the maximum length of time in a Kaplan policy review cycle, as per Kaplan’s Academic Policy Framework.</p> <p>If you are unsure about the existence of a policy, contact the National Manager, Academic Governance (NMAG) for assistance.</p>
	2. Conduct: preliminary research on the policy area	<ul style="list-style-type: none"> ○ Research and review best practice in the policy area ○ Consider existing related policies and the implications the ‘prospective’ policy may have on these and vice versa ○ Consider policy implementation needs such as, who needs to be consulted as part of the policy’s development, the approval process and/ or how the policy will be effectively communicated to stakeholders ○ Consider the resources required to implement the policy, such as how the policy will be communicated to stakeholders and/ or how it will be maintained. <p>Early examination of such issues promotes the development of effective policies, minimizes duplication of effort and ensures implementation issues are considered and addressed before work commences.</p>

¹ These Procedures assume that the development and review of policy occurs following the identification of a policy gap, i.e. a need for policy to guide a particular area. However, it also deals with policies under review due to the expiration of time.

² **Approval body** refers to the Academic Board of the relevant Kaplan Higher Education Provider (HEP) and in the case of procedures, guidelines and forms, the relevant Business Unit Head.

Developing and reviewing an academic policy		
Role	Action	Detail/ Explanation
Implementation Officer and/ or Policy Writer	3. Consult: stakeholders for feedback, input or comment	<p>Identify stakeholders affected by the policy. As a general standard, the business function affected by the policy should be consulted on the development of the policy.</p> <p>Note: The length and extent of the consultation process will largely be determined by the complexity of the policy area. In some instances it will be prudent to consult Kaplan's Legal Office for advice. The National Manager, Academic Governance (NMAG) can provide more advice regarding when to seek legal assistance.</p> <p>In consulting stakeholders, strategies such as policy workshops; email consultations and meetings may be employed to get stakeholder input.</p>
	4. Draft: the policy	<p>When drafting a new policy, use the applicable Policy Template. Please contact the NMAG for assistance if required.</p> <p>If an existing policy is being revised, use track changes to identify the changes being made and ensure that you are using the Master version, i.e the latest published version of the policy. The NMAG maintains authoritative word versions of Kaplan academic policy.</p> <p>Draft the policy in plain, clear and concise language, ensuring that the draft addresses stakeholders input and comments where relevant.</p>
	4b. Send: the draft policy to the National Manager, Academic Governance (NMAG) who reviews it.	<p>If the policy document is a policy (as opposed to a procedure or other related policy document), the NMAG will conduct a review of the draft policy to ensure that:</p> <ul style="list-style-type: none"> • formatting is consistent with Kaplan standards • the Kaplan policy development process has been followed • content is consistent with relevant Kaplan policies • it is written in plain English so it can be understood by stakeholders <p>As an outcome of this review, the NMAG may advise the Implementation Officer to seek legal advice or that further revisions are required. If further revision is recommended, a revised draft should be prepared (in consultation with stakeholders where necessary). Once the draft is finalised, the Implementation Officer should re-send the draft to the NMAG for final review.</p>
	5. Executive management endorsement	<p>Once a final draft has been finalised, the following people must provide written endorsement of the final draft academic policy (as opposed to a related policy document) before Academic Board approval is sought:</p> <ul style="list-style-type: none"> • Vice President, Academic • Business Unit Head • Academic Dean or equivalent <p>The NMAG may assist the Implementation Officer with this process where requested.</p>

Developing and reviewing an academic policy		
Role	Action	Detail/ Explanation
National Manager, Academic Governance (NMAG) in consultation with the Implementation Officer	5b. Policy approval	<p>Once Executive Management endorsement has been received, the NMAG will facilitate the approval of the final policy with the appropriate approval authority. The approval pathway will vary according to the type of policy document. For instance, academic policies will be approved by the Academic Board. Whereas academic policy related documents such as procedures, guidelines and forms are approved at business unit level by the Business Unit Head. Note: In the case of academic policy related documents, consultation with the NMAG is recommended to ensure consistency with academic policy).</p> <p>When submitting an academic policy for approval, a coversheet briefly outlining the rationale for the policy's development, intended outcomes and implementation issues should be included. In the case of a revision, the coversheet should also outline the policy changes.</p> <p>Recommended revisions to existing policy should be provided to the approval body, with tracked changes highlighting the changes to the approved, published version. All major revisions and any rescissions of academic policy must be approved by Academic Board.</p> <p>Note: only substantive amendments to academic policy are approved by Academic Board. For further information refer to section 5 of the Academic Policy Framework or section 6 in these Procedures, "Policy management post publication."</p> <p>Potential Outcomes The approval body may recommend that:</p> <ul style="list-style-type: none"> the policy be further revised before approval is granted. If this occurs, the Implementation Officer may decide to comply with the recommendation, revise and resubmit the policy for approval. The Implementation Officer may also decide to put the policy development on 'hold' for a later date. If the Implementation Officer decides to put the policy on hold, it is prudent that a policy issue log be maintained for future action on the policy. The NMAG maintains a policy issue log, a version of which can be locally maintained by the relevant Implementation Officer. the policy be approved (with or without amendment). The NMAG will embed the relevant amendments as outlined by the approval authority and prepare the policy for publication.
NMAG in consultation with relevant marketing team	6. Prepares policy for publication.	Once the policy has been approved, the NMAG prepares the policy for publication on the relevant business unit's policy website.
National Manager, Academic Governance (NMAG)	6b. Submits: the policy to relevant business unit's web administrator for publication	The NMAG provides the relevant marketing team with a pdf of the approved policy for publication. The NMAG also records the policy details in Kaplan's Policy Register and maintains a record of the latest approved and published version (the 'master' version).

Developing and reviewing an academic policy		
Role	Action	Detail/ Explanation
Relevant business unit marketing team	6c. Uploads and publishes: the policy on the relevant policy website.	The web administrator uploads the approved policy on the relevant policy website and notifies the NMAG. Note: A one week window is generally required for publication. This one week period commences from the receipt of publication draft supplied by the NMAG.
National Manager, Academic Governance (NMAG)	6d. Communicates: the Policy's publication to the Implementation Officer	Once the web administrator notifies the NMAG of successful publication, the NMAG advises the Implementation Officer about the publication – with a brief overview outlining the development(s).
Implementation Officer	7. Communicates: the policy.	The Implementation Officer is responsible for communicating policy developments to stakeholders. Effective communication of policy developments is essential in ensuring stakeholders are familiar with their obligations and responsibilities.
	8. Implement and maintain the policy	The Implementation Officer is also responsible for ensuring that people within their business unit follow the policy. This can be achieved by providing policy information sessions to key stakeholders. The NMAG may be able to assist with delivery of such workshops.
Implementation Officer and/ or Writer in consultation with NMAG	9. Review and/ or rescission of academic policy	Kaplan academic policies and academic policy related documents are usually reviewed every 3 years, however, an academic policy can be amended as and when changes occur that affect the relevance and application of the policy. For information about reviewing an academic policy refer back to step 1 of these Procedures. An academic policy may be rescinded where the policy is deemed obsolete. For a rescission to be effected, the initial approval authority is required to rescind it. Once a policy is rescinded, it ceases being in effect as of the date of rescission. An academic policy can only be rescinded by the relevant Academic Board.

Policy management post publication

The Implementation Officer acts as primary contact for a policy or policy related document and is responsible for communicating the policy to stakeholders, ensuring business level compliance and the ongoing, proactive review of the currency of the policy.

From time to time, the Quality and Standards Group may make minor, administrative and/ or consequential changes to academic policy without Academic Board approval. Kaplan's Academic Policy Framework delegates authority for such change to the Vice President, Academic who has such changes to academic policy and similar documents.

Where minor, administrative and consequential changes occur, the VP, Academic's approval should be sought in writing and appropriate records of the change and its approval maintained by the National Manager, Academic Governance.

Version Control and accountable officers

It is the joint responsibility of the Implementation Officer and Responsible Officer to ensure compliance with this policy.

Policy Category	Academic			
Responsible Officer	Vice President, Academic			
Implementation Officer	Academic Dean or relevant Business Unit Head in the case of KHE			
Review Date	March 2019			
Approved by				
KBS and KHE Academic Boards				
Version	Authored by	Brief Description of the changes	Date Approved	Effective Date
1	Academic Quality and Governance Group	New Procedures.	02.03.2016 & 10.03.2016 respectively.	17.03.2016