

# Academic Policy Framework Procedures

Kaplan Higher Education Pty Ltd.





# Academic Policy Framework Procedures

## Background and Context

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

## Scope

These Procedures apply to the development, review, management and implementation 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 support from the Quality, Regulations and Standards Team), these Procedures remain a useful reference for understanding how to appropriately develop, review, manage and implement academic policies and policy related documents.*

## Purpose

These Procedures:

- Increase staff awareness of process requirements in the development, review, management and implementation of Kaplan academic policies and academic policy related documentation.
- Assist staff involved in the policy lifecycle to better understand their roles and responsibilities; and
- Provide procedural consistency and integrity in the Kaplan policy lifecycle.

## Principles

- Procedures address processes and actions aligned with the policy principles. They outline the operational steps required to implement the policy.
- Procedures will:
  - Provide clear instructions on the way the policy will be implemented:
  - Step through the actions required to implement policy principles
  - Assign responsibilities
  - Enable monitoring of policy implementation
- Procedures are to be reviewed every three (3) years.
- Procedures may be further supported by guidelines and internal local documents. Guidelines provide advice which assist in the establishment and implementation of effective practices to achieve quality outcomes. Guidelines provide a more specific level of operational details where clarity of processes in procedures is required. Local documents apply within a business unit, such as a school/college or administrative area.



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## Kaplan Academic Policy Lifecycle

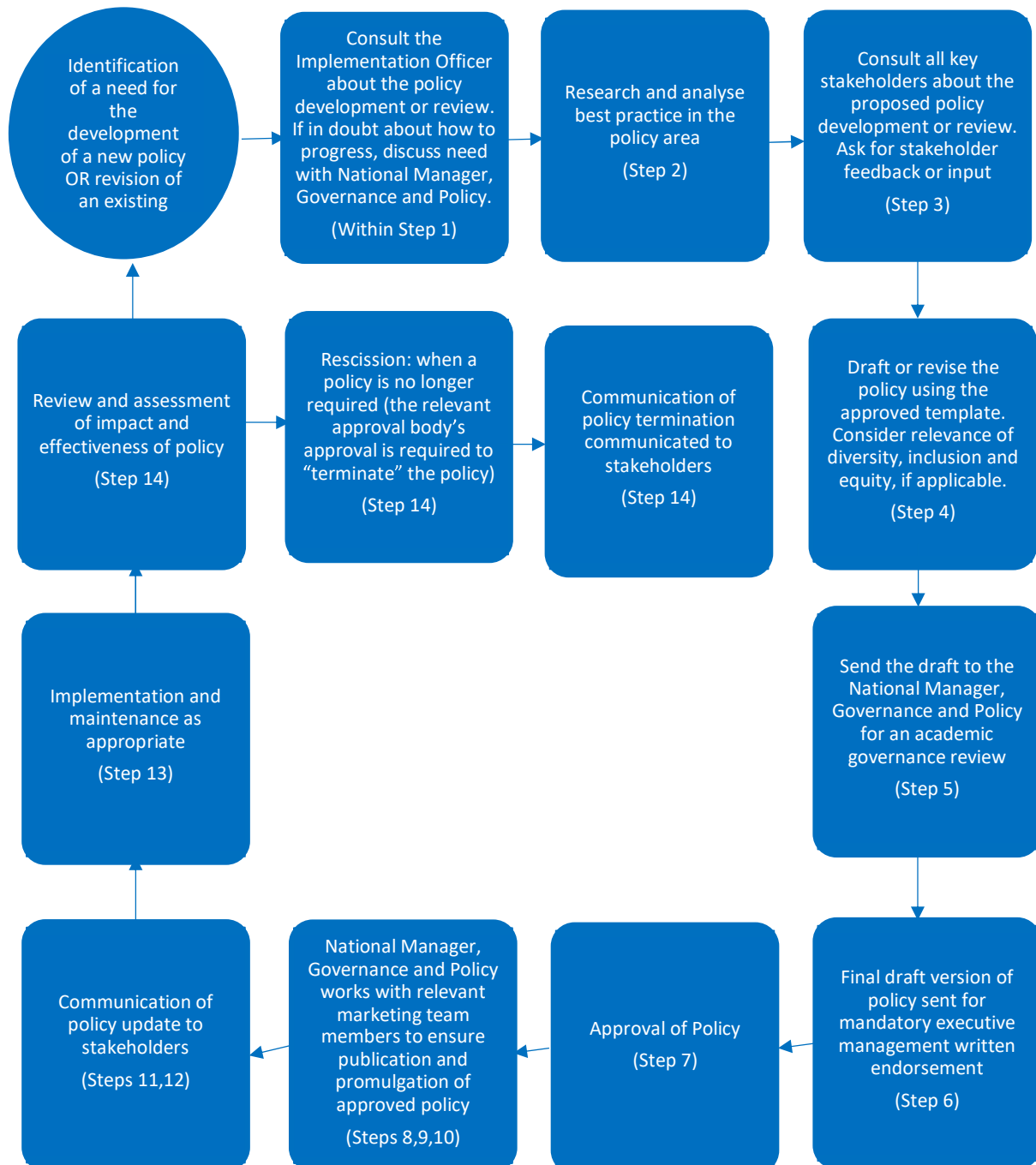
A policy lifecycle is a conceptual approach that identifies the different stages involved in the “life” of a policy – which generally refers to the period ranging from the inception of a policy to its review and its eventual rescission. Kaplan’s Academic Policy Lifecycle incorporates a number of distinct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

- Identification of gaps or policy requirements and designation of appropriate staff to oversee the policy review or development;
- Research and analysis of best practice in the policy area;
- Consultation of stakeholders;
- Drafting and/or revision of the policy;
- Approval by the appropriate authority;
- Publication of approved policy;
- Promulgation (communication) to stakeholders;
- Implementation and maintenance of the policy which includes, appropriate record management and review;
- Review and/or rescission of policy as appropriate.

**Note:** *These stages are described in detail in Kaplan’s Policy Review Process of these Procedures.*

## 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.



## Policy Development and Review Process

The following table provides information about the policy process, including explanations of the processes outlined in the preceding process map.

Developing and Reviewing an Academic Policy		
Role	Action	Detail/Explanation
<b>Implementation Officer,</b> <b>and/or</b> <b>National Manager, Governance and Policy (Policy Writer)</b>	<b>Step 1.</b> <u>Check</u> if there is an existing policy.  <i>Note: There will be an existing policy if a policy review is required.</i>	<p>Conduct an environmental scan to see if the policy already exists. The Kaplan Australia Policy Register is the source of truth for all Kaplan policies.</p> <ul style="list-style-type: none"> <li>○ If there is no existing policy, proceed to Step 2.</li> <li>○ If the existing policy is outdated and/or inadequately covers the policy area, proceed to Step 2.</li> <li>○ If the policy exists and sufficiently covers the identified policy gap, no further action is required.</li> </ul> <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>* 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 unsure about the status of a policy, contact the National Manager, Governance and Policy for assistance.</p>
	<b>Step 2.</b> <u>Conduct</u> preliminary research on the policy area	<p>When researching, consider the following:</p> <ul style="list-style-type: none"> <li>○ Research and review best practice in the policy area;</li> <li>○ Existing related policies and the implications the “prospective” policy may have on these and vice versa;</li> <li>○ 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;</li> <li>○ Resources required to implement the policy, such as how the policy will be communicated to the stakeholders and/or how it will be maintained.</li> </ul> <p>Early consideration of such factors promotes the development of effective policies, minimizes duplication of effort and ensures implementation matters are considered and addressed before work commences.</p>

	<p><b>Step 3.</b> <b>Consult</b> stakeholders for feedback, input or comments.</p>	<p>Identify stakeholders affected by the policy. The business function affected by the policy should be consulted on the development/review/update of the policy.</p> <p><i><b>Note:</b> 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, Governance and Policy can provide more advice regarding when to seek legal assistance.</i></p> <p>In consulting stakeholders, strategies such as policy workshops, email consultations and meetings may be used to get stakeholder’s input.</p>
	<p><b>Step 4.</b> <b>Draft</b> the policy.</p>	<p>When drafting a new policy, use the applicable “Policy Template”. Contact the National Manager, Governance and Policy 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 a “Master” version is being used, ie. the last approved version of the policy. The National Manager, Governance and Policy maintains authoritative Word versions of Kaplan academic policies.</p> <p>Draft the policy in plain, clear and concise language, ensuring that the draft addresses stakeholders input and comments where relevant.</p> <p>Ensure that relevant policies are supportive of the “Diversity, Inclusion and Equity Policy”.</p>
	<p><b>Step 5.</b> <b>Send</b> the draft policy to stakeholders and/or to the National Manager, Governance and Policy for review.</p>	<p>If the policy document is a policy (as opposed to a procedure or related policy document) the National Manager, Governance and Policy will conduct a review of the draft policy to ensure that:</p> <ul style="list-style-type: none"> <li>○ formatting is consistent with Kaplan standards;</li> <li>○ the Kaplan policy development process has been followed;</li> <li>○ content is consistent with relevant Kaplan policies;</li> <li>○ it is written in plain English so it can be understood by stakeholders.</li> </ul>

		<p>At the completion of the review, the National Manager, Governance and Policy may advise the Implementation Officer to seek legal advice or that further revisions are required. If further revision is recommended, a revised draft will be prepared (in consultation with stakeholders where necessary). Once the draft is finalised, the Implementation Officer will re-send the draft to the National Manager, Governance and Policy for final review.</p>
<p><b>National Manager, Governance and Policy</b> <i>in consultation with the</i> Implementation Officer</p>	<p><b>Step 6.</b> Executive Management <b><u>Endorsement</u></b></p>	<p>Once a final draft has been finalised, written endorsement must be provided for the final draft of the academic policy (<i>as opposed to a related policy document</i>) before approval from the Academic Board is being sought.</p> <p>Written endorsement is required from:</p> <ul style="list-style-type: none"> <li>○ Business Unit Head or General Manager</li> <li>○ Vice President, Academic</li> <li>○ Academic Dean or equivalent</li> </ul> <p>The National Manager, Governance and Policy will ensure this process is applied for every policy development, review and approval.</p>
	<p><b>Step 7.</b> <b><u>Facilitate</u></b> policy approval</p>	<p>Once Executive Management endorsement has been received, the National Manager, Governance and Policy will facilitate the approval of the final policy with the appropriate approval authority.</p> <p>The approval pathway will vary according to the type of policy document. Therefore:</p> <ul style="list-style-type: none"> <li>○ <b>Academic policies</b> will be approved by the <b>Academic Board</b>.</li> <li>○ Academic policy related documents such as <b>procedures, guidelines and forms</b> are approved at Business Unit level by the <b>Business Unit Head or General Manager</b>.</li> </ul> <p><b>Note:</b> <i>When approving academic policy related documents, consultation with the National Manager, Governance and Policy is recommended to ensure consistency with the academic policy).</i></p> <p>When submitting an academic policy for approval, a coversheet briefly outlining the rationale for the policy development, intended outcomes and implementation matters will be included. When a policy has been reviewed and updated, the coversheet will also outline the policy changes.</p>

		<p>Recommended revisions to existing policies will be provided to the approval body, with tracked changes highlighting the changes to be approved. All major revisions and any rescissions of academic policies must be approved by the Academic Board.</p> <p><b>Note:</b> <i>Only substantive amendments to academic policies are approved by the Academic Board. For more information, refer to section 5 of the Academic Policy Framework or Section 6 in these Procedures, “Policy Management and Publication”.</i></p> <p><b>Potential Outcomes</b></p> <p>The approval body may recommend that:</p> <ul style="list-style-type: none"> <li>○ The policy be further revised before approval is granted. If this occurs, the Implementation Officer may consider the recommendation, revise and resubmit the policy for approval. The Implementation Officer may also consider to post-pone the development and approval of the policy. If this decision is made, it is prudent that a policy register be maintained for future actions on the policy. The National Manager, Governance and Policy will maintain the policy register.</li> <li>○ The policy to be approved (with or without amendment). The National Manager, Governance and Policy will embed the relevant amendments as outlined by the approval authority and prepare the policy for publication.</li> </ul>
<p><b>National Manager, Governance and Policy</b></p> <p><i>in consultation with the Marketing Team</i></p>	<p><b>Step 8.</b> <b>Prepare</b> policy for publication.</p> <p><b>Step 9.</b> <b>Submit</b> the policy to relevant business unit’s website administrator for publication</p>	<p>Once the policy has been approved, the National Manager, Governance and Policy prepares the policy for publication on the relevant business unit’s policy website.</p> <p>The National Manager, Governance and Policy provides the relevant Marketing Team with the final PDF version of the approved policy for publication. The National Manager, Governance and Policy also records the policy details in Kaplan’s Policy Register and maintains records of the latest approved and published version (the “<b>Master</b>” version).</p>
<p><b>Relevant Business Unit Marketing Team</b></p>	<p><b>Step 10.</b> <b>Upload and publish</b> the policy on the relevant policy website.</p>	<p>The Web Administrator uploads the approved policy on the relevant policy website and notifies the National Manager, Governance and Policy.</p>



		<p><b>Note:</b> As websites can be audited by the Registering Body at any given time, and from compliance perspective, it is recommended to have the website updated as soon as practicable from the receipt of publication supplied by the National Manager, Governance and Policy.</p>
<p><b>National Manager, Governance and Policy</b></p>	<p><b>Step 11.</b> <u>Communicate</u> the policy publication to the Implementation Officer.</p>	<p>Once the web administrator notifies the National Manager, Governance and Policy of successful publication, the Implementation Officer will be advised about the publication – a brief overview outlining the development(s).</p>
<p><b>Implementation Officer</b></p>	<p><b>Step 12.</b> <u>Communicate</u> to all staff the policy.</p>	<p>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.</p>
	<p><b>Step 13.</b> <u>Implement and maintain</u> the policy.</p>	<p>The Implementation Officer is also responsible for ensuring that staff employed within the business unit follow the policy. This can be done by providing policy information sessions to key stakeholders.</p> <p>The National Manager, Governance and Policy may assist with delivery of workshops or information sessions, if required.</p>
<p><b>Implementation Officer</b> <i>in consultation with the National Manager, Governance and Policy</i></p>	<p><b>Step 14.</b> <u>Review</u> and/or rescission of academic policy</p>	<p>Kaplan’s academic policies and academic policy related documents are reviewed every 3 years. However, an academic policy may require amendments as and when changes occur that affect the relevance and application of the policy. For information about reviewing an academic policy refer to the steps outlined in this policy.</p> <p>An academic policy may be rescinded where the policy is deemed obsolete. For this to happen, the initial approval authority is required to rescind the document. Once a policy is rescinded, it ceases to be in effect as of the date of rescission.</p> <p>An academic policy can only be rescinded by the relevant Academic Board.</p>

## Policy Management Post Publication

The Implementation Officer acts as the primary contact for a policy related document and is responsible for communicating the policy to stakeholders (staff and students), ensuring business level compliance and the ongoing, pro-active review of the current policy.

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

Where administrative and/or consequential changes occur, the Vice President's, Academic approval should be sought in writing and appropriate records of the change and its approval are to be maintained by the National Manager, Governance and Policy for future reference.

## Version Control and Accountable Officers

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

<b>Policy Category</b>	Corporate			
<b>Responsible Officer</b>	Vice-President, Academic			
<b>Implementation Officer</b>	General Manager Teaching and Learning			
<b>Review Date</b>	May 2022			
<b>Approved by</b>				
Corporate Board				
<b>Version</b>	<b>Authored by</b>	<b>Brief Description of the changes</b>	<b>Date Approved</b>	<b>Effective Date</b>
2.0	Quality, Regulations and Standards Team	New Procedures.	30.04.2019	01.05.2019
2.1	Quality, Regulations and Standards Team	Updated procedure to ensure when reviewing or developing policies, that, if relevant, policies will be supportive of the "Diversity, Inclusion and Equity Policy" (see Step 4 in the process).	05.09.2019	09.09.2019
2.2	Quality, Regulations and Standards Team	Updated provider category to <i>Institute of Higher Education</i> Updated role titles.	N/A	13/07/2021