Policy/project nexus: addressing an old problem in a new way

Tuesday 13 September 2016

Fiona Margetts
University of Southern Queensland

Local context

Why focus on policy?

- Inconsistencies
- Inefficiencies
- Not current
- Protracted change processes

= NEED
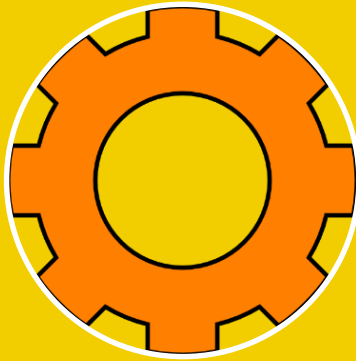
Opportunity

Commonwealth Structural Adjustment Fund

Role of policy

Governance standards

Academic quality standards

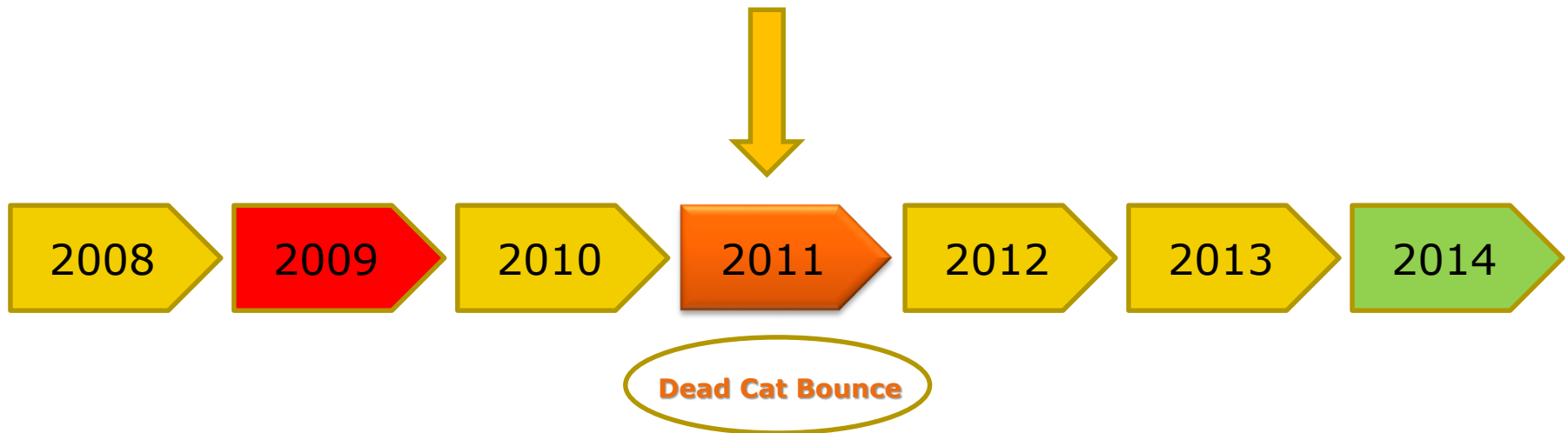**Management standards**

Quality assurance | Risk mitigation
Compliance | Continuous improvement

Why then?

Policy Timeline (to Project end)

2008 → 2009 → 2010 → 2011 → 2012 → 2013 → 2014

Dead Cat Bounce

Author: Mr Steve Ivey, Executive Director (Sustainable Business Management and Improvement) – adapted and used with permission

How?

Policy Refresh Project

Project aim:

to establish a flexible and sustainable framework for the management of policy

What?

Project objectives

1. Establish the guiding principles (framework)
2. Rework the technical infrastructure
3. Deploy the framework

Project deliverable #1

Policy & Procedure Framework
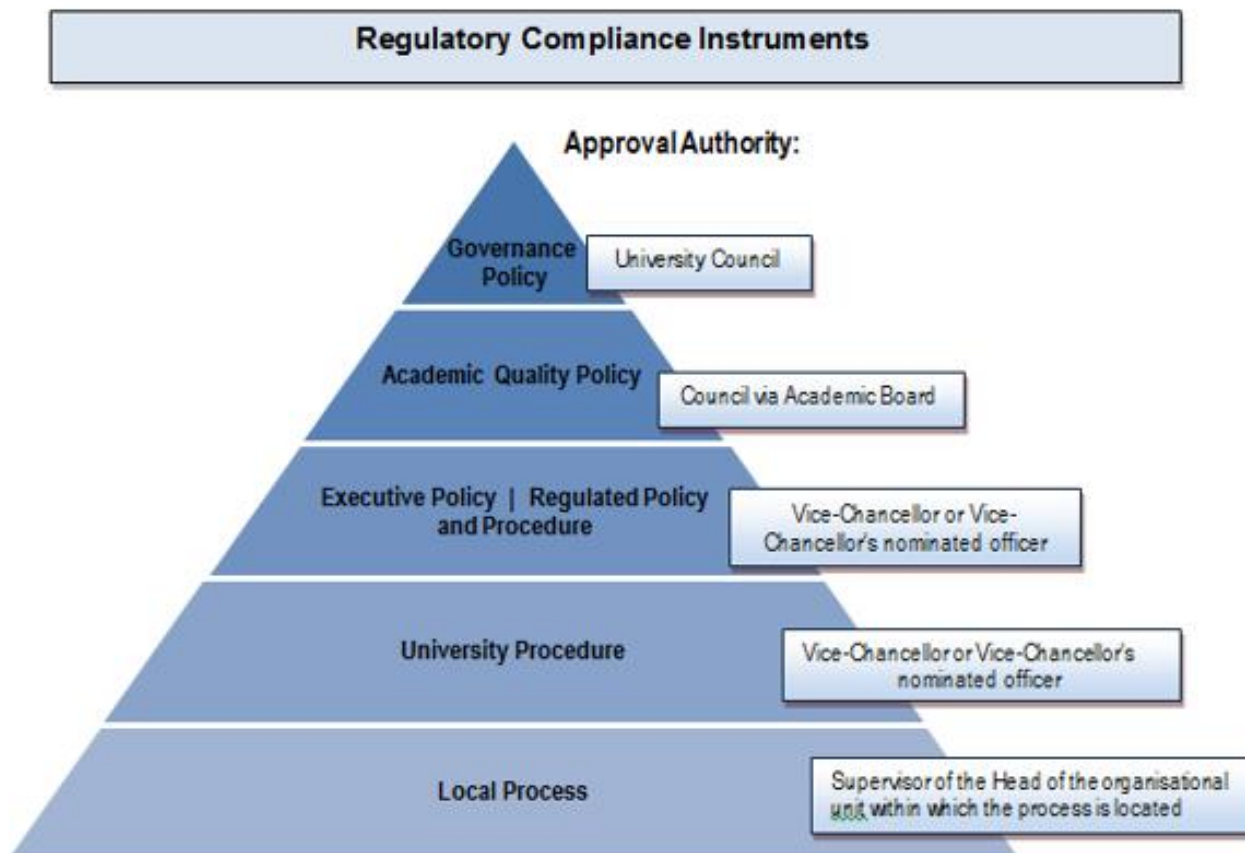
Policies (Principles)

Procedures (Processes)

Complex

Organisation-wide

Matrix-style

High levels of accountability

Framework approval hierarchy

Regulatory Compliance Instruments

Approval Authority:

- Governance Policy — University Council
- Academic Quality Policy — Council via Academic Board
- Executive Policy | Regulated Policy and Procedure — Vice-Chancellor or Vice-Chancellor's nominated officer
- University Procedure — Vice-Chancellor or Vice-Chancellor's nominated officer
- Local Process — Supervisor of the Head of the organisational unit within which the process is located

Source: USQ, 2015, Policy and Procedure Framework

Project deliverable #2

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Technical Infrastructure

Content management system	Publishing system	Policy and Procedure Library

Records Manager	Approval date audit	In-house development	University supported	Definitions Dictionary	Policy/ procedure/ schedules	Resources

Project deliverable #3.1

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New or substantially revised Policy and Procedure

1. Confirm Requirement
2. Research
3. Initial draft
4. Preliminary consultation
5. Review
6. Consultation
7. Revise draft
8. Endorsement
9. Approval
10. Publication
11. Communication
12. Implementation

CRICOS: QLD00244B NSW02225M TEQSA: PRV12081

Project deliverable #3.2

Resources

- Flowcharts
- Manuals
- Checklists
- Templates
- Deployment Plan

Project deliverable #3.3

Student-facing policies

Tranche 1

Tranche 2

Project deliverable #3.4

Definitions Dictionary

- Legal basis
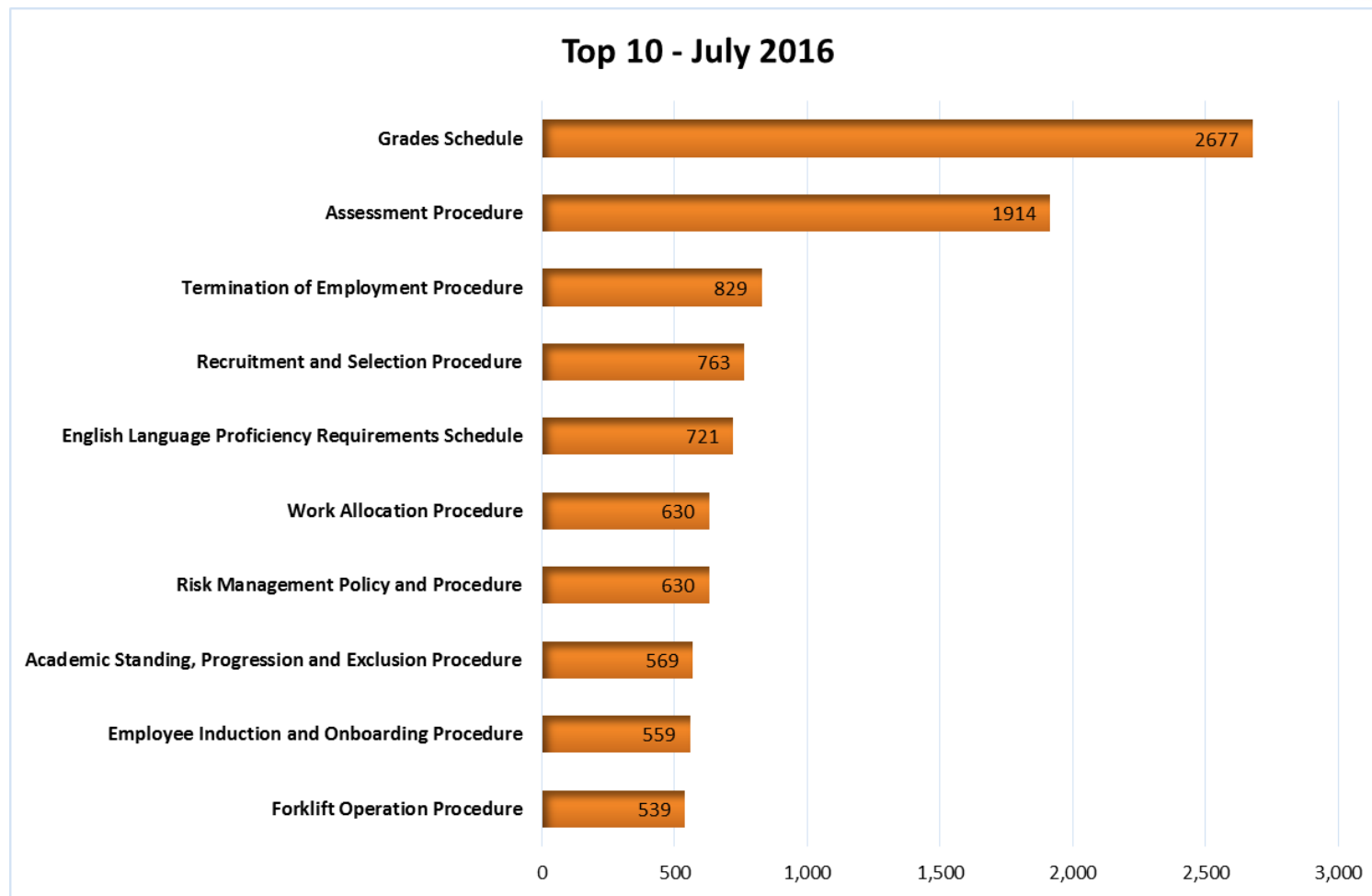- Proof of concept
- Options
- Baseline
- Content & system integration

Policy and Procedure Library

- Live
- Accessible
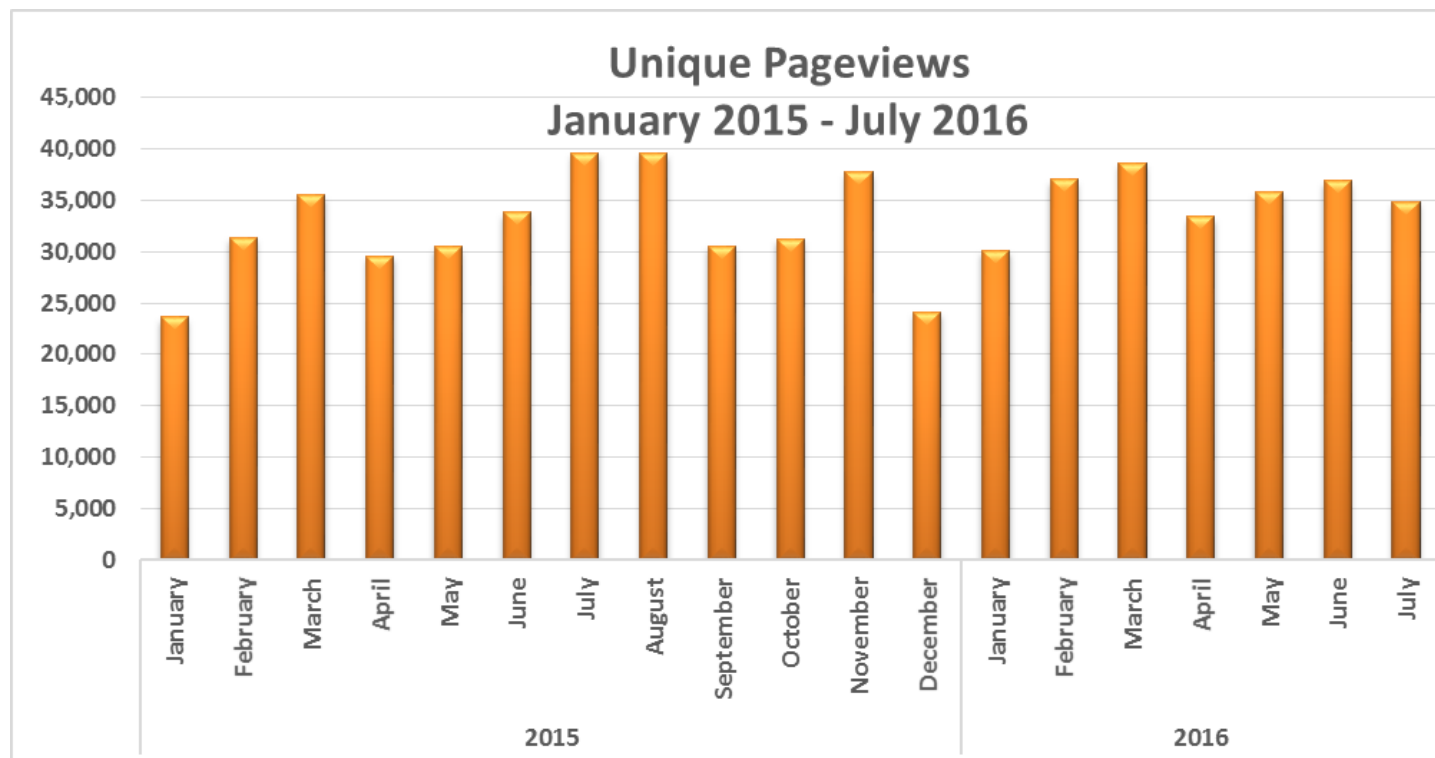- Mobile device friendly
- Well used

Policy Library use

Top 10 - July 2016

Policy	Count
Grades Schedule	2677
Assessment Procedure	1914
Termination of Employment Procedure	829
Recruitment and Selection Procedure	763
English Language Proficiency Requirements Schedule	721
Work Allocation Procedure	630
Risk Management Policy and Procedure	630
Academic Standing, Progression and Exclusion Procedure	569
Employee Induction and Onboarding Procedure	559
Forklift Operation Procedure	539

Policy Library access

CRICOS: QLD00244B NSW02225M TEQSA: PRV12081

Challenges

- Organisational restructure
- System failure
- Contract variation
- Unclear accountability
- Complexity

The effect

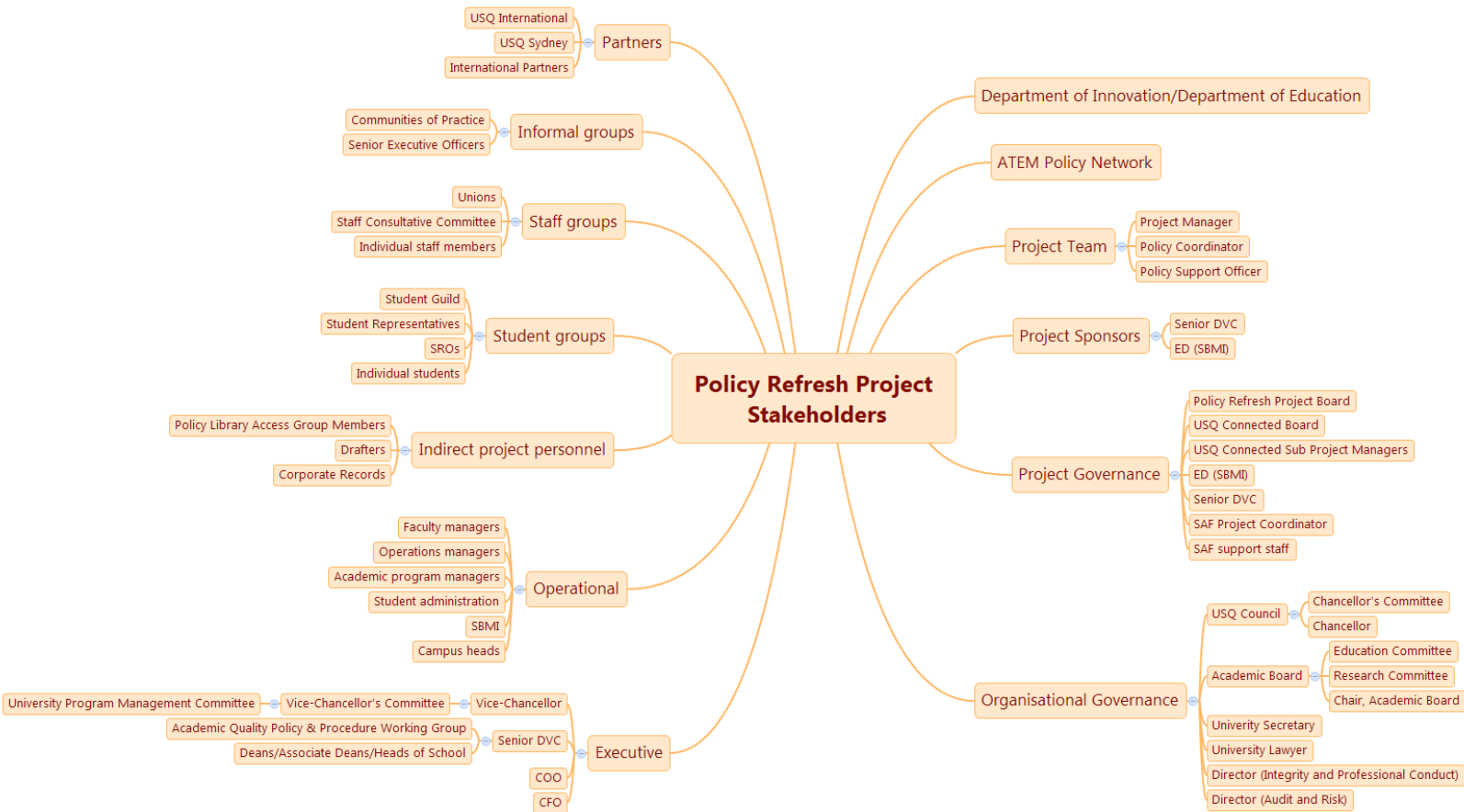| 2 dimensions	4 streams
• Project • Business as usual	• Governance & structure • Management • Communication & education • Resourcing/budget/staffing

Critical success factors

Environmental scanning

Sponsor and senior management engagement

Stakeholder identification and engagement

Stakeholder management

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Policy Refresh Project Stakeholders

Partners
- USQ International
- USQ Sydney
- International Partners

Informal groups
- Communities of Practice
- Senior Executive Officers

Staff groups
- Unions
- Staff Consultative Committee
- Individual staff members

Student groups
- Student Guild
- Student Representatives
- SROs
- Individual students

Indirect project personnel
- Policy Library Access Group Members
- Drafters
- Corporate Records

Operational
- Faculty managers
- Operations managers
- Academic program managers
- Student administration
- SBMI
- Campus heads

Executive
- Vice-Chancellor
  - University Program Management Committee
  - Vice-Chancellor's Committee
- Senior DVC
  - Academic Quality Policy & Procedure Working Group
  - Deans/Associate Deans/Heads of School
- COO
- CFO

Department of Innovation/Department of Education

ATEM Policy Network

Project Team
- Project Manager
- Policy Coordinator
- Policy Support Officer

Project Sponsors
- Senior DVC
- ED (SBMI)

Project Governance
- Policy Refresh Project Board
- USQ Connected Board
- USQ Connected Sub Project Managers
- ED (SBMI)
- Senior DVC
- SAF Project Coordinator
- SAF support staff

Organisational Governance
- USQ Council
  - Chancellor's Committee
  - Chancellor
- Academic Board
  - Education Committee
  - Research Committee
  - Chair, Academic Board
- Univerity Secretary
- University Lawyer
- Director (Integrity and Professional Conduct)
- Director (Audit and Risk)

TEMC Auckland |13 September 2016

Critical success factors

Effective team structures

The right people

Governance structures

Governance structures

Policy and Procedure Framework (BAU)

```
University Council
    Chancellor

Chancellor's Committee
    Chancellor

Vice-Chancellor's Committee
    Vice-Chancellor

Policy Implementation Team          Accountable Officers
    ED (SBMI)                           Senior Executive
```

Policy Refresh Project

```
Program Board
    Program Chair

Vice-Chancellor's Assurance Committee
    Vice-Chancellor

Policy Implementation Team
    Project Sponsor
```
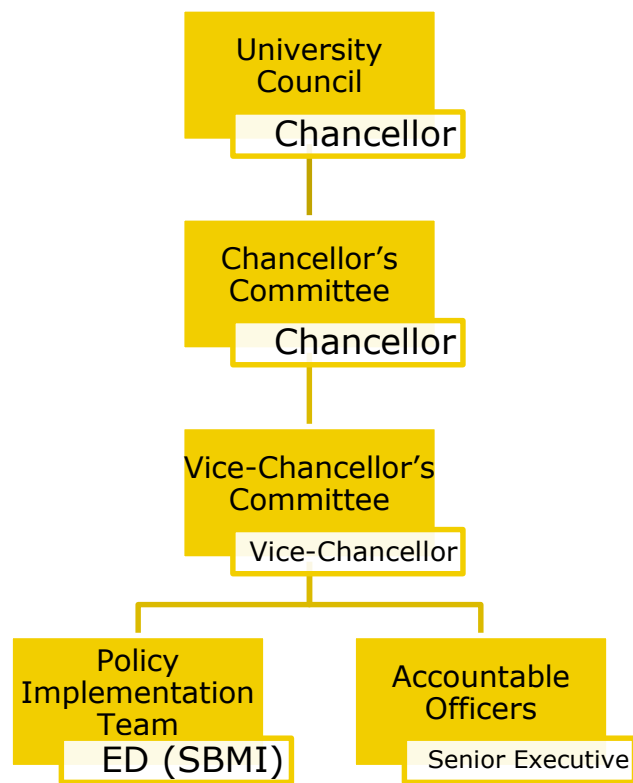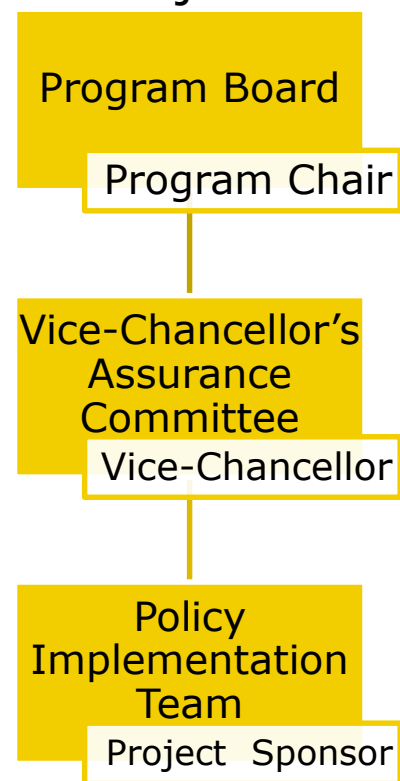
Critical success factors

Performance indicators

Evaluation

Project management approach

Project management approach

```
┌─────────────┐      ┌─────────────┐      ┌─────────────┐
│   Project   │  →   │ Objective & │  →   │  Milestone  │
│  initiation │      │     KPI     │      │identification│
│             │      │identification│      │ & adjustment│
└─────────────┘      └─────────────┘      └─────────────┘
                                                  ↓
┌─────────────┐      ┌─────────────┐      ┌─────────────┐
│  Monitor /  │  ←   │   Manage    │  ←   │   Plan /    │
│   adjust    │      │ delivery /  │      │  budget /   │
│             │      │ collect data│      │  resource   │
└─────────────┘      └─────────────┘      └─────────────┘
      ↓
┌─────────────┐      ┌─────────────┐      ┌─────────────┐
│ Objective & │  →   │ Evaluation  │  →   │  Embedded   │
│ KPI delivery│      │             │      │ outcomes =  │
│             │      │             │      │   project   │
│             │      │             │      │   success   │
└─────────────┘      └─────────────┘      └─────────────┘
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Success!

ATEM
2016 *Mindhive Policy and Governance Award*

AIPM
2015 Queensland Project Manager of the Year

Opportunities

Policy enables change

Opportunities & lessons

Change enabler

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Policy and Procedure Change
January 2015 – June 2016
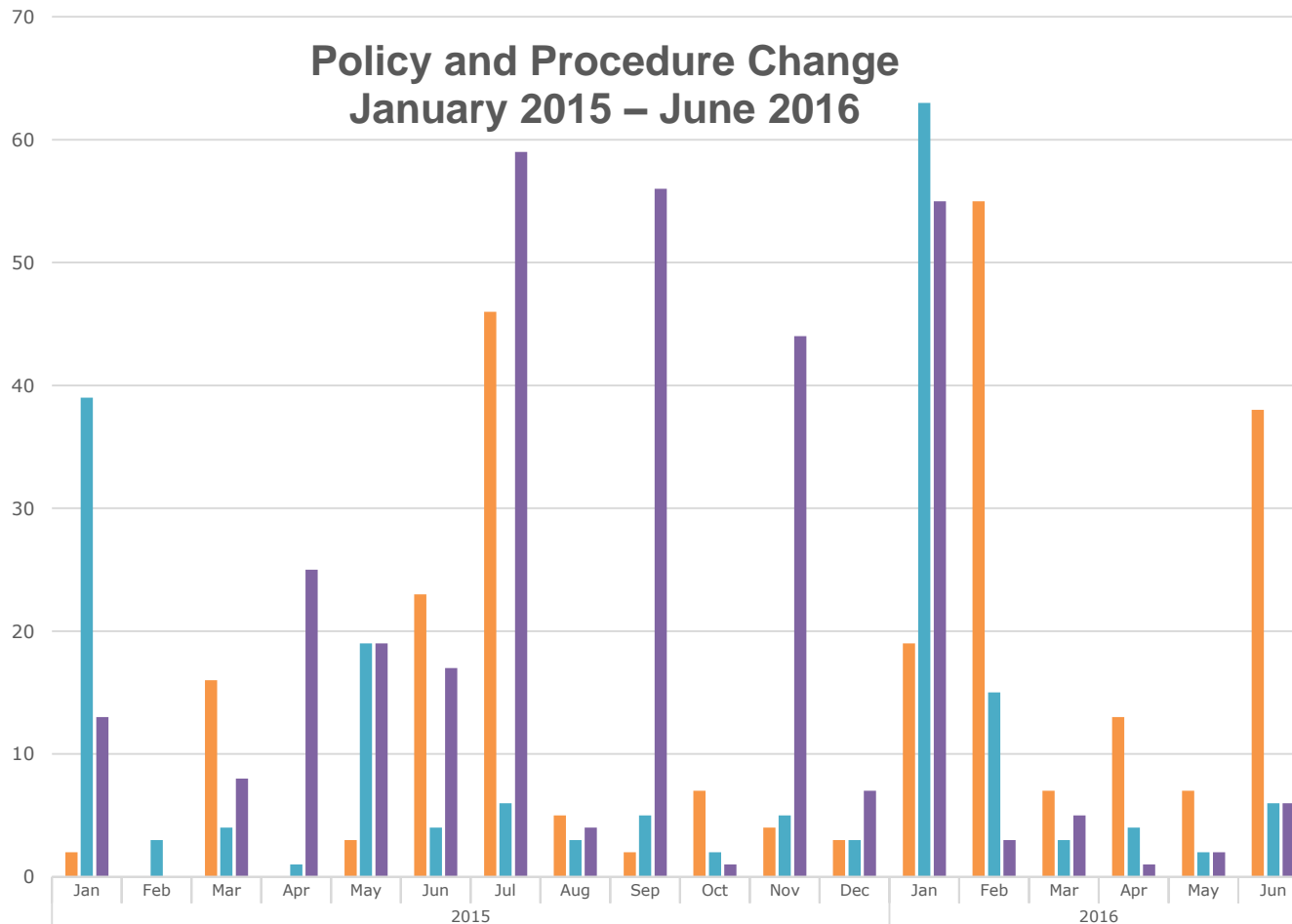
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
						2015										2016		
Editorial Changes	2		16		3	23	46	5	2	7	4	3	19	55	7	13	7	38
Minor Reviews	39	3	4	1	19	4	6	3	5	2	5	3	63	15	3	4	2	6
New & Major Reviews	13		8	25	19	17	59	4	56	1	44	7	55	3	5	1	2	6

Opportunities

Policy enables change

Policy generates cross-collaboration

Opportunities & lessons

Cross-collaboration

CRICOS: QLD00244B NSW02225M TEQSA: PRV12081

Robust structured approach

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Deployment and communication

Engagement and consultation

1. Confirm Requirement

2. Research

12. Implementation

3. Initial draft

11. Communication

New or substantially revised Policy and Procedure

4. Preliminary consultation

10. Publication

5. Review

9. Approval

6. Consultation

8. Endorsement

7. Revise draft
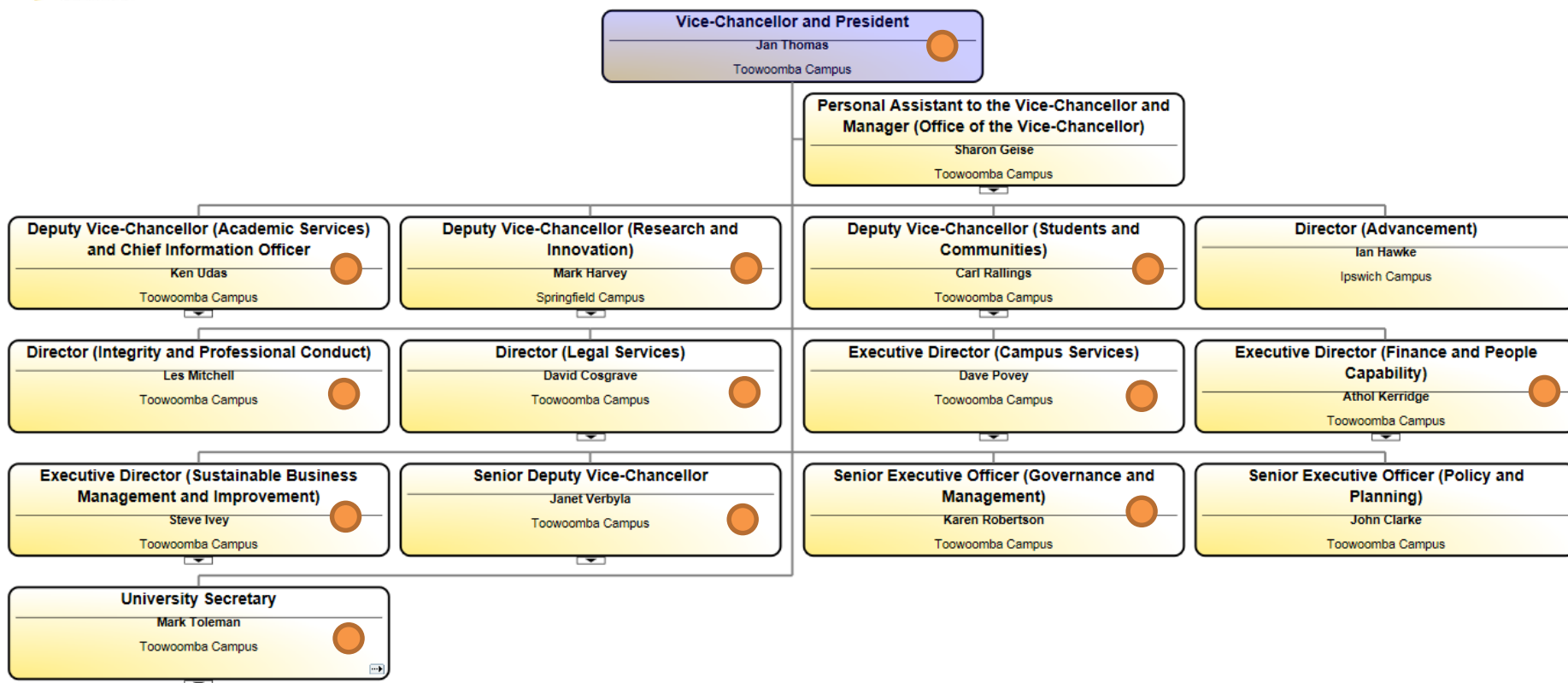
Opportunities and lessons

Policy enables change

Policy generates cross-collaboration

Opportunities & lessons

Robust structured approach required

Effective project management underpins success

Project management
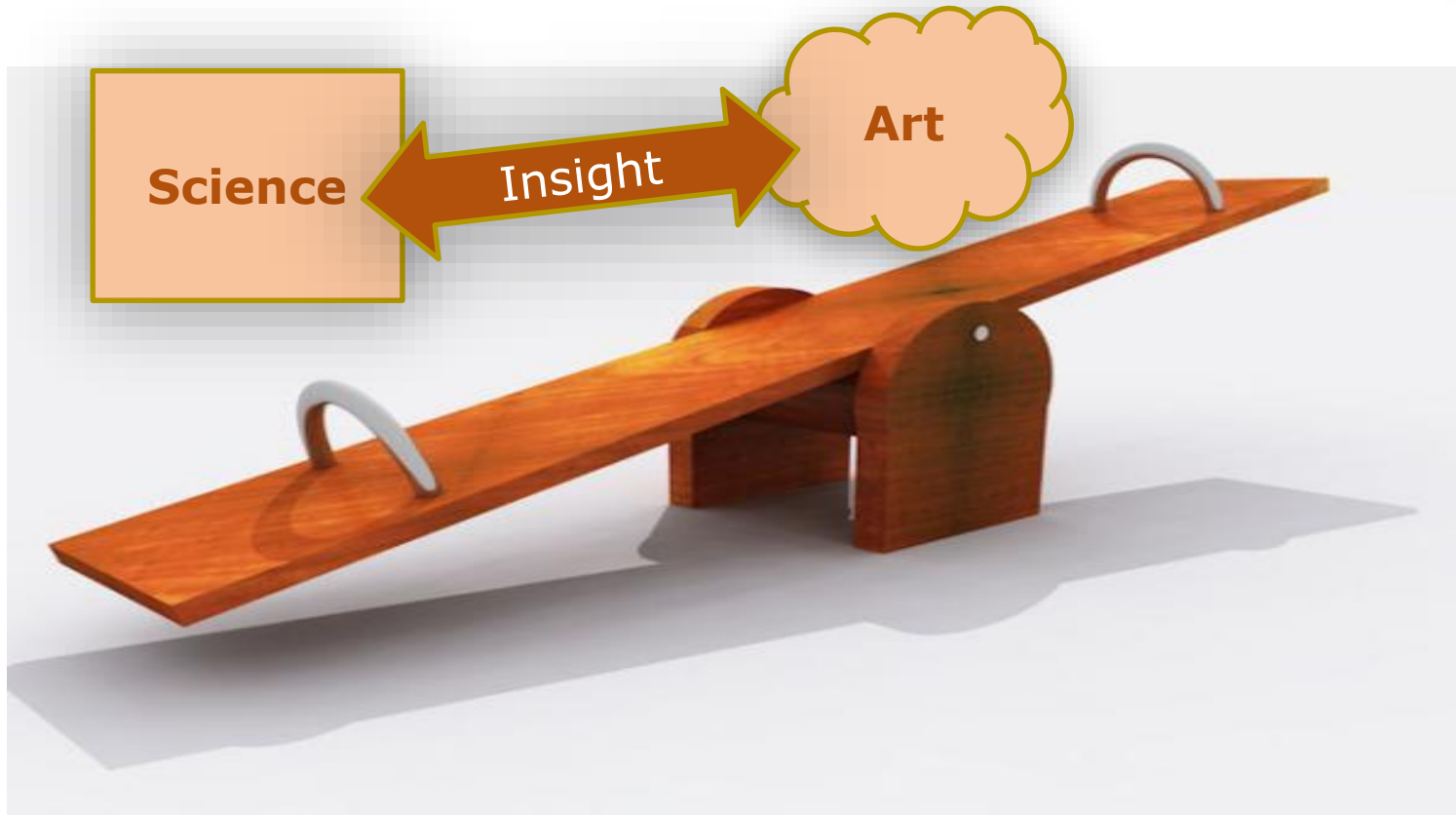
Project benefits realised

✓ Engaged accountable officers
✓ Cross-organisational collaboration
✓ Enhanced governance and management reporting capability
✓ Modern, compliant, robust system
✓ Definitions Dictionary baseline
✓ Compliance integration
✓ Risk mitigation

Business as usual benefits realised

✓ Embedded policy development and review

✓ Business process improvement

✓ Policy and procedure change efficiencies

✓ Reduced complaints

✓ Reduced audit issues and risk profile

✓ Improved staff survey results

✓ Improved student experience

Current state

Policy Timeline at June 2016
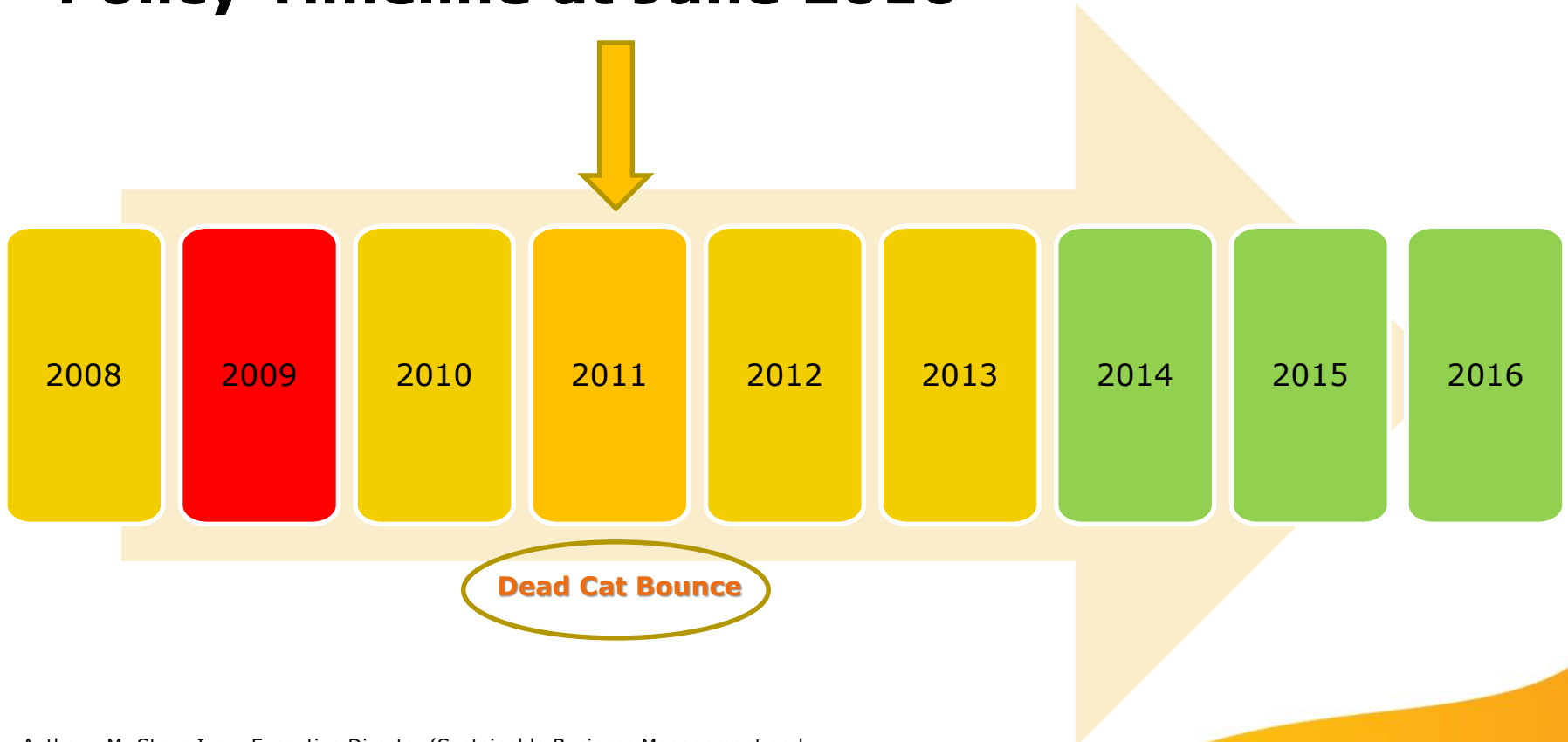
| 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 |

Dead Cat Bounce

Author: Mr Steve Ivey, Executive Director (Sustainable Business Management and Improvement) – modified and used with permission

The future

- Further develop organisational change capability
  - Embed
  - Integrate
  - Improve processes
- Enhance evaluation capability
  - Use data wisely
  - Get creative

Discussion – policy as a change driver

- Is policy used as a change driver in your institution?

- How is it integrated into the business?

- Does it drive business process improvement?

- How could policy development capability be enhanced at your institution?

Discussion – policy as an evaluative tool

- Is policy evaluation actively undertaken at your institution?

- Is it embedded in practice - how?

- What data informs policy evaluation?

- What does policy evaluation inform?

Contacts

Fiona Margetts MPM, MAIPM, MATEM, AFAIM, JP(Qual)

Manager (Policy Services)

University of Southern Queensland

Fiona.Margetts@usq.edu.au

USQ Policy Library

www.policy.usq.edu.au

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