DOCUMENT CLASSIFICATION GUIDANCE

Whilst document classifications are defined here in principle, such classifications are not set in stone. Individual document requirements will be formally sanctioned by the University Executive Team or relevant approving body, informed by any legal or regulatory requirements; external, legal or audit advice or issued guidance; and best practice in the sector and more widely as relevant.

Strategies

1. **Definition**: Strategies define the **direction** and **scope** of the University over the **long-term** to ensure continuous improvement and meet stakeholder expectations, supporting the University meet KPIs.

Frameworks

2. **Definition**: A framework enables the University to apply relevant standards, setting out overarching **context** and **values** by establishing a structure to **organise** policy documentation into groupings and categories.

3. **Purpose:** Frameworks draw together relevant standards and enable users to easily access associated policies as well as internal and external references.

4. **Ownership:** Formal approval should generally be made by a power held by a relevant senior-level University Board or Committee, as set out in its Terms of Reference.

Regulations

5. **Definition**: Regulations are formal, enforceable **rules** which govern the conduct of those engaged with the University. Regulations specify what must or must not be done by regulating action and ensuring those engaged with the University follow the desired code of conduct. Regulations tend to relate to the rules that govern the University's academic and financial operations.

6. **Purpose:** Effective regulation protects the interests of students and staff, and the wider University. It also provides accountability for public funds.

7. **Ownership:** Formal approval should be made by a power held by a relevant senior-level University Board or Committee, as set out in its Terms of Reference.

8. **Compliance:** Compliance with regulations is compulsory. Regulations have widespread application across the University.

Policies

9. **Definition**: Policies provide a set of formal principles, direction and guidance adopted by the University, establishing a commitment to addressing and complying with specific areas of risk in order to protect the University and those who with which we engage.

10. **Purpose:** Policies enable consistent action, conduct and effective decision-making in order to protect the integrity of the University and support the achievement of strategic aims and goals, whilst also reducing risk.

11. Reflecting the governance structure of the University, policies ensure compliance with law and regulation by setting out how the University will address specific regulatory or legal requirements.

12. **Ownership:** Each policy has a designated senior lead who is responsible for implementation and review of the policy. Formal approval should generally be made by a power held by a relevant senior-level University Board or Committee, as set out in its Terms of Reference.

    Policy documents should be on the [standard policy template](#), including key information in the cover page.

    Local policies may be approved by the senior lead for the respective School or Service.

13. **Compliance:** Compliance with policies is mandatory. Policies tend to have widespread application across the University, however there are a limited number of local policies that are relevant for specific areas.

Codes

14. **Definition**: Codes explicitly set out the University's position to comply with legislation and regulation. Codes set out clear and relevant principles to be followed in day-to-day operational matters and represents a shared understanding.
    - *Codes of practice* set out the standards for methodology, processes, procedures and organisational structures.
    - *Codes of conduct* set out a standard or commitment through a series of statements which guide behaviour and conduct, in line with our values and promoting the culture of the University.

15. **Ownership:** Each code should have a designated senior lead who is responsible for implementation and review.

16. Formal approval of a code should generally be made by a power held by a relevant senior-level, this may be locally by the Dean or Director, or depending on the Code, this may be a University Board or Committee, or Executive Group, as set out in relevant Terms of Reference.

Procedures

17. **Definition**: Procedures inform operational users how to efficiently and consistently enact, comply with or implement a specific policy, regulation, or code. This is achieved through a series of operational instructions or process steps necessary to deliver a standard practice.

18. **Ownership:** Procedures are managed locally by the area responsible for the implementation of the related policy, regulation, or code. Procedures are subject to more frequent change in order to accommodate updated standards or methods. Procedures do not usually require formal approval by Boards or Committees.

Guidance / Guidelines

19. Guidance documents recommend helpful information and administrative instructions about how to operate (e.g., best practice). Guidance documents should not conflict with formal University policies, regulations, or codes.