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

Tuesday 13 September 2016

Fiona Margetts
University of Southern Queensland
What policy?
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
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)
- Complex
- Organisation-wide

Procedures (Processes)
- Matrix-style
- High levels of accountability
Framework approval hierarchy

Source: USQ, 2015, Policy and Procedure Framework
Project deliverable #2

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

TEMC Auckland | 13 September 2016
Project deliverable #3.1

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

New or substantially revised Policy and Procedure
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
Organisational barometer
Policy Library use

Top 10 - July 2016

- 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

<table>
<thead>
<tr>
<th>Unique Pageviews</th>
<th>January 2015 - July 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 2015</td>
<td>25,000</td>
</tr>
<tr>
<td>February 2015</td>
<td>30,000</td>
</tr>
<tr>
<td>March 2015</td>
<td>27,000</td>
</tr>
<tr>
<td>April 2015</td>
<td>28,000</td>
</tr>
<tr>
<td>May 2015</td>
<td>24,000</td>
</tr>
<tr>
<td>June 2015</td>
<td>26,000</td>
</tr>
<tr>
<td>July 2015</td>
<td>40,000</td>
</tr>
<tr>
<td>August 2015</td>
<td>35,000</td>
</tr>
<tr>
<td>September 2015</td>
<td>32,000</td>
</tr>
<tr>
<td>October 2015</td>
<td>30,000</td>
</tr>
<tr>
<td>November 2015</td>
<td>28,000</td>
</tr>
<tr>
<td>December 2015</td>
<td>26,000</td>
</tr>
<tr>
<td>January 2016</td>
<td>30,000</td>
</tr>
<tr>
<td>February 2016</td>
<td>35,000</td>
</tr>
<tr>
<td>March 2016</td>
<td>32,000</td>
</tr>
<tr>
<td>April 2016</td>
<td>30,000</td>
</tr>
<tr>
<td>May 2016</td>
<td>28,000</td>
</tr>
<tr>
<td>June 2016</td>
<td>26,000</td>
</tr>
<tr>
<td>July 2016</td>
<td>24,000</td>
</tr>
</tbody>
</table>
Challenges

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

2 dimensions
- Project
- Business as usual

4 streams
- Governance & structure
- Management
- Communication & education
- Resourcing/budget/staffing
Critical success factors

- Environmental scanning
- Sponsor and senior management engagement
- Stakeholder identification and engagement
Stakeholder management

Policy Refresh Project Stakeholders

Partners

USQ International
USQ Sydney
Stakeholders

Informal groups

Communities of Practice
Senior Executive Officers

Informal groups

Staff groups

Staff Consultative Committee
Individual staff members

Staff groups

Student groups

Student Guild
Student Representatives
SROs
Individual students

Student groups

Indirect project personnel

Policy Library Access Group Members
Drafters
Corporate Records

Indirect project personnel

Operational

Faculty managers
Operations managers
Academic program managers
Student administration
SBM
Campus heads

Operational

Executive

University Program Management Committee
Vice-Chancellor’s Committee
Vice-Chancellor

Executive

USQ Connected Board
USQ Connected Sub-Project Managers

Organisational Governance

Policy Refresh Project Board

Policy Coordinator
Policy Support Officer

Project Team

Policy Refresh Project Board

ED (SBM)
Senior DVC

Project Governance

Policy Refresh Project Board

Senior DVC
SAF Project Coordinator
SAF support staff

Project Sponsors

UNIVERSITY OF SOUTHERN QUEENSLAND

TEMCK 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
  - ED (SBMI)
- Accountable Officers
  - 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

1. Project initiation
2. Objective & KPI identification
3. Milestone identification & adjustment
4. Monitor / adjust
5. Manage delivery / collect data
6. Plan / budget / resource
7. Objective & KPI delivery
8. Evaluation
9. Embedded outcomes = project success

TEMC Auckland | 13 September 2016
Success!

ATEM
2016 Mindhive Policy and Governance Award

AIPM
2015 Queensland Project Manager of the Year
Opportunities

Policy enables change

Opportunities & lessons
Change enabler

Policy and Procedure Change
January 2015 – June 2016

<table>
<thead>
<tr>
<th>Month</th>
<th>2015</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jan</td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Feb</td>
<td></td>
<td>16</td>
</tr>
<tr>
<td>Mar</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Apr</td>
<td></td>
<td>23</td>
</tr>
<tr>
<td>May</td>
<td></td>
<td>46</td>
</tr>
<tr>
<td>Jun</td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>Jul</td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Aug</td>
<td></td>
<td>7</td>
</tr>
<tr>
<td>Sep</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Oct</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Nov</td>
<td></td>
<td>19</td>
</tr>
<tr>
<td>Dec</td>
<td></td>
<td>55</td>
</tr>
<tr>
<td>Jan</td>
<td></td>
<td>7</td>
</tr>
<tr>
<td>Feb</td>
<td></td>
<td>13</td>
</tr>
<tr>
<td>Mar</td>
<td></td>
<td>7</td>
</tr>
<tr>
<td>Apr</td>
<td></td>
<td>38</td>
</tr>
</tbody>
</table>

- 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
Opportunities and lessons

Policy enables change
Policy generates cross-collaboration
Opportunities & lessons
Robust structured approach required
Robust structured approach

Deployment and communication

Engagement and consultation

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
Opportunities and lessons

Policy enables change

Policy generates cross-collaboration

Robust structured approach required

Effective project management underpins success

Opportunities & lessons
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


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
References


Engwall, M 2003, 'No project is an island: linking projects to history and context', Research policy, vol. 32, no. 5, pp. 789-808.


Freeman, B 2014b, *Evaluation of the University of Southern Queensland Policy Refresh Project*, The University of Melbourne, Melbourne, Australia,<.>
References (cont.)

Freeman, B 2015, 'Higher education policy technology and process innovation in four different worlds: Australia, United States, New Zealand and Papua New Guinea'.


References (cont.)

Kezar, A 2001, 'Understanding and Facilitating Change in Higher Education in the 21st Century. ERIC Digest'.


Mintzberg, H 1983, Structure in fives: Designing effective organizations, Prentice-Hall, Eagle Cliffs, NK.


References (cont.)


Rothwell, J 2013, *In mixed company: Communicating in small groups and teams*, 8th edn, Cengage Learning, Boston, MA.


University of Southern Queensland 2014a, *Structural Adjustment Fund - Policy Refresh Project Closure Report*, University of Southern Queensland, Toowoomba, Qld, <.>


University of Southern Queensland, *Risk Management Plan 2015-2016*, 2015a, University of Southern Queensland, Toowoomba, Qld.
References (cont.)


