



Policy on ‘Policy & Procedure Development’

TU Dublin Guidelines on Policy & Procedure Development

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1. Document Control Summary

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Author	Andrew Kelso
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2. Introduction / Context

The TU Dublin strategy, mission and core values are underpinned by the policies and procedures of the University which are intended to meet local, regulatory, legal and governance requirements. University policies and procedures must promote governance, equality, diversity, and sustainability together with management practices and behaviours which are consistent with the University's core principles and strategic intent priorities.

In order to support the development of the TU Dublin organisation, there is a need to ensure consistency as well as a one university approach in the creation and development of university policies and procedures. Policies and procedures will

- a. Enhance the University's strategy, mission and core values.
- b. Promote equality, diversity and inclusion.
- c. Reduce institutional risk.
- d. Ensure compliance with applicable laws and regulations.
- e. Promote effectiveness and efficiency.
- f. Promote best practice in sustainability.
- g. Include core principles that are enforceable
- h. Ensure that policies and procedures are made freely available in a transparent way.

All policies should be empowering, flexible, inclusive and responsive. TU Dublin policies reflect the fact that the University operates in a highly regulated environment and in that context the University publications must be clear to ensure the University manages the expectations of staff.

3. Purpose

This policy document is intended to define a consistent set of principles to be used in the development of all university policies and procedures to help ensure a consistent outcome and user experience for all.

4. Scope

This policy outlines the core principles and structure that must be adhered to when creating or updating TU Dublin policies or procedures. This document applies to all current and future policies and procedures together with authors and approvers / approval body requirements for university policies and related procedures.

5. Definitions

The following are core definitions used in this document. These include:

- Stakeholders – anyone impacted by this policy. This includes the policy author and users of this policy e.g. staff members and our social partners.
- Policy Code – the designation of policy reference number and document code assigned.
- Procedure Code – the designation of procedure / standard operating procedure (SOP) reference number and document code assigned.
- Policy Classification – the designation that signifies the sensitivity of the information contained in the policy document.
- Procedure Classification – the designation that signifies the sensitivity of the information contained in the procedure document.
- Version control – a numeric numbering scheme defining the revision number of the document.
- Consultation – the engagement process with stakeholders and social partners.
- UET – University Executive Team.
- GB – Governing Body
- EIA – Equality Impact Assessment
- Policy - a set of core principles that are agreed by the University
- Procedure / Standard Operating Procedure – an agreed approach on how to implement a core set of principles from an associated policy.
- Process – a series of steps or actions to achieve a specific outcome.
- Core values for TU Dublin – Impact, Inclusion and Excellence

6. Policy Details

6.1 Overview

Successful policy and procedure development and implementation is centred on the foundation of a common and agreed set of general principles for creating and approving TU Dublin policies and procedures.

This set of principles serves as a framework for policy and procedure authors in the development of their documents. This document also sets out the requirements for policy and procedural approval, minimum review cycles as well as policy administrative management requirements including policy storage / file management, access and document control.

Process and procedural aspects of implementing the policy and procedure principles for creating new policy and procedure documents are detailed in the referenced 'Procedure for creating policies and procedures' document.

6.2 Policy Specifics

6.2.1 General Principles

- All policies should be able to demonstrate that they will enable and support the TU Dublin strategy.
- All policies must be TU Dublin wide in scope.
- Any legacy campus specific policies should, with agreement of stakeholders, either be transformed into TU Dublin wide policies, or they should be terminated if no longer relevant.
- TU Dublin procedures should be TU Dublin wide in scope, though there may be a requirement to have local campus procedures in exceptional circumstances.

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- Policy documents should contain the word 'Policy' in the title, while procedure documents should contain the word 'Procedure' or 'Standard Operating Procedure' so that the user is clear if the document is a university policy or procedure.
- All policies must be tested for viability to ensure a successful implementation.

6.2.2 Policy Associated Documents

- Policies and procedures should be separated into different documents. The policy should reflect agreed principles and the procedure should outline the standard operating procedure (SOP) requirements to implement the agreed policy principles. The related policy and procedure documents should reference each other in each associated document.
- Any other documents or procedures that the policy mentions should also be referenced in the policy.

6.2.3 Font and Layout Guide

All policies and procedures should have a consistent font and layout guide as described in the reference document 'procedure for developing policies and procedures'.

6.2.4 Policy Development and Consultation

TU Dublin has particular regard for the requirement to have regular and meaningful consultation and engagement with Trade Union representatives in the development of the University policies and procedures as described in the reference document 'procedure for developing policies and procedures'.

- Policies and procedures should be developed by the relevant service area and subject matter experts together with the considered input of a broad range of stakeholders and end users.
- Policies and Procedures should, as determined by the policy or procedure sponsor, be developed with consultation and engagement of TU Dublin staff and with TU Dublin staff representative groups. In general, Policies that affect Terms and Conditions or Work Practices should go to social partners for consultation while other university policies should go to the social partners for their information only.
- The sponsor originating the document will determine the final consultation requirements with input /advice from Employee Relations.

6.2.5 Headings and Structure

All policies and procedures must contain the sections and headings outlined in the agreed policy and procedure template document as referenced in the associated procedure document of this policy. Some elements are indicated as optional, and when not identified as optional, are required. Some sections can be adapted and adjusted to meet the needs of the respective policies.

6.2.6 Policy and Procedure Review

All policies and procedures must be reviewed at least every three years, by the approver or approving body to ensure continued relevance. More frequent reviews may be needed if environmental factors require it and this will be determined by the sponsor of the policy. Any policies or procedures that are identified as no longer relevant should be removed from the Content Management System and archived as required.

6.2.7 Equality, Diversity and Inclusion Impact assessment:

All TU Dublin policies and procedures must be developed in a way that is consistent with the University's approach to equality, diversity and inclusion with due regard for all grounds for discrimination. The background of an equality, diversity and inclusion impact assessment is shown in Appendix 2.

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6.2.8 Sustainability Enhancement

All TU Dublin policies and procedures must be developed in a way that is consistent with the University's approach to sustainability (for example, as cited in the strategic objectives).

6.2.9 Policy and Procedure Publication, Storage and Access

The respective University Executive Team sponsors of each policy are the official custodian for TU Dublin policies.

- All policies and procedures should be published in accessible PDF format.
- Policies and procedures should be documented in such a way that they are clear, concise and contain relevant subject matter that meets the intent of the policy or procedure. They should, in general, be brief and focus on the topic in hand.
- Where possible, every effort should be made to keep them to a maximum of 4-5 pages (of core content) in length. Any required supplemental information should be placed in an appendix.
- Approved and released policies and forms are to be stored in the TU Dublin content management system media library in the Policies and Forms folder, while approved and released procedures are to be stored in the 'Procedures' folder in the staff intranet media library. No duplicates should exist on the CMS.
- All policies will be accessible on the internet, which means that these will be available for public review, unless the policy sponsor determines that it should not be publicly available for confidentiality reasons. This should be an absolute exception.
- All procedures will be placed, and accessible, in the first instance on the staff intranet, unless they are required to be placed on the internet, either legally or by statute.
- Any policy or procedure updates should be communicated to the impacted community that a new/revised policy has been approved together with providing a link to the document.
- All policies and forms can be viewed on the public internet under [explore/ policies and forms](#)

6.2.10 Policy and Procedure Codes and Document Classification

- Each university policy and procedure will be assigned a 4-digit number following the relevant three-letter alpha code, with the final 'P' / 'SOP' representing if the document is a university policy or university standard operating procedure (SOP) respectively, which is associated with the UET department classification system outlined in Table 6.1
- All policy and procedure documents for TU Dublin will be classified as "TU Dublin Public".

Department / Function	Policy Code	Procedure Code
Office of the President	OPP	OPSOP
Registrar & all Faculties	RGP	RGSOP
HR	HRP	HRSOP
Finance	CFP	CFSOP
Corporate Services – Other	CSP	CSSOP
Research and Innovation	REP	RESOP
Partnerships	PTP	PTSOP
Sustainability	STP	STSOP
Organisation Change & Culture	OCP	OCSOP

Table 6.1 Policy and Procedure Classification Codes

6.3 Policy and Procedure Approval

All policies should ultimately be approved by Governing Body while all procedures can be approved for implementation by the issuing policy sponsor.

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6.3.1 General approval principles:

- Final approval for all policies by Governing Body needs to be secured prior to policy publication and implementation.
- All policies must first be approved by the University Executive Team before being presented to Governing Body for consideration and approval.
- The author of a policy cannot approve their own policy.
- Procedures relating to specific policies can be approved by the appropriate Head of Service/VP with their UET manager being informed as a courtesy.
- The need for policies or procedures to be pre-approved by other committees or groups (prior Governing Body submission) e.g. Academic Council can be determined by the author's Head of Service/VP or University Executive Team sponsor, as needed.
- Each policy should outline the clear governance arrangements for the particular policy.
- All policies and procedures submit a clear communication plan, implementation plan and training plan, if needed, with approval requests to the relevant approval bodies.

6.4 Policy and Procedure Change Control

All policies and procedures should have clear change control records, version control numbers, the date of the last update, authors listed, approvers listed, and document code recorded. Details of this process are described in the associated procedural document of this policy.

All policies and procedures should define the approach to be taken for updating the document, indicating how frequently the document should be updated.

7. Related Documents

The following documents are related to this policy document. They include:

7.1 Procedure for Policy and Procedure Development at TU Dublin.

Filename: OPSOP0001Rev 1.0 Procedure for Policy and Procedure Development.docx.

7.2 TU Dublin Equality Statement (2019-2022)

7.3 Accessibility document / requirements

8. Appendix

8.1 Equality Impact Assessment (EIA) Background

TU Dublin has a responsibility to ensure that all employees have access to equal opportunities. An EIA is designed to identify where a policy is promoting equality, diversity and inclusion in the University and it can also identify where a policy could be potentially discriminatory. As part of the review/development of HR policy an EIA is carried out to ensure the policy is non-discriminatory, fair and inclusive.

The EIA will guide reviewers to ensure that HR policy is reviewed against the nine grounds of discrimination and that because of the policy there is no adverse impact on one or more minority/under-represented or community groups¹.

The Employment Equality Acts 1998–2015 outlaws discrimination in a wide range of employment and employment-related areas. The legislation defines discrimination as treating one person in a

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less favourable way than another person based on any of the following nine grounds and refers to discrimination on the basis of:

- Gender (including gender identity): a person's gender identity including male, female, transgender or non-binary
- Civil status: a person's civil status be it single, married, separated, divorced, widowed, civil partnered and formerly civil partnered
- Family status: being a parent of a person under 18 years or the resident primary carer or parent of a person with a disability
- Sexual orientation: a person's sexual orientation including gay, lesbian, bisexual and heterosexual
- Religion: a person's religious belief, background, outlook or none
- Age: a person's age, this does not apply to a person aged under 16
- Disability: includes people with physical, intellectual, learning, cognitive or emotional disabilities and a range of medical conditions
- Race: includes race, skin colour, nationality or ethnic origin
- Membership of the Traveller community

9. Document Control

9.1 Version Control

VERSION NUMBER	VERSION DESCRIPTIN / CHANGES MADE	AUTHOR	DATE
<i>Draft 1.0</i>	<i>Initial Revision</i>	<i>Andrew Kelso</i>	<i>14th January 2022</i>
<i>Draft 1.1</i>	<i>Document updated with input from PMSS and TUI</i>	<i>Andrew Kelso</i>	<i>7th March 2022</i>
<i>Draft 1.2</i>	<i>Removal of section 6.3.2 from Rev 1.1 – no exceptional process, following additional alignment with HR & social partners</i>	<i>Andrew Kelso</i>	<i>14th March 2022</i>
<i>Rev 1.0</i>	<i>Update in UET approval date following consideration of Draft 1.2 above. Updated revision numbers to show Rev 1 is final UET approved document and versions before this were draft. Updated grammar for readability.</i>	<i>Andrew Kelso</i>	<i>17th May 2022</i>
<i>Rev 1.1</i>	<i>Added in next review date into document control summary at request of ARC</i>	<i>Andrew Kelso</i>	<i>22nd June 2022</i>

9.2 Document Approval

VERSION NUMBER	APPROVAL DATE	APPROVED BY (NAME/BODY AND ROLE)
Rev 1.0	18 th May 2022	University Executive Team
Rev 1.1	22 nd June 2022	Governing Body

9.3 Document Ownership

Accountability to defining, developing, monitoring and updating the content of this document rests with the Office of the Chief Operations Officer.

9.4 Document Review and Approval

The Chief Operations Officer is accountable to review this document in consultation with relevant stakeholders. This document should be approved by both the Chief Operations Officer, the University Executive Team and Governing Body.

9.5 Document Storage and File Naming

This document will be stored on the TU Dublin content management systems under the Policies and Forms media folder / Office of the President sub-folder. The file will be called: "OPP0001Rev1_TUDublin Policy for Policy and Procedure Development.pdf" once released.