Template for University Policies

Italicized instructions shown in this template are for guidance only and should be deleted as soon as the policy’s text is inserted.

This template is designed to assist Policy Owners in organizing the content of a policy according to the ‘Policy on the Formulation and Issuance of University Policies’ (also known as the “Policy on Policies”). The sections of a formal policy are indicated below in non-italicized bold text. Some sections are mandatory while the inclusion of others is optional. Additional issues to consider when drafting a policy are included in a separate document titled ‘Guidelines on Policy Development’ which is also available at the same website location as this template.

Introduction (Optional)

This section may be used to further expand upon the context of, or on any issues related to, the policy under development.

Purpose (Mandatory)

This section will state the reason or rationale for the policy or the problem or conflict that the policy will seek to resolve. It may also refer to any legal, regulatory or other requirements that the policy seeks to meet and to the possible impact if the policy is not followed.

Scope (Mandatory)

This section will state which sections of the university community the policy will apply to i.e. which parties must be aware of and comply with its provisions. In general, all policies apply to all units of the university community unless specific units or sections of the university community are identified within the relevant policy as being excluded.

Where no exceptions are identified the scope may be described as:

‘This Policy applies to all units of the university, both academic and support, including the campus companies and research centres. These are all hereinafter collectively referred to as the ‘university’.

Alternatively you may wish to state that the policy applies to staff. You may also need to clarify which staff. Examples of this are:

‘All references to staff or employees shall be understood to include emeritus staff’

‘Academic staff refers to all staff working in a faculty or school and includes research centres staff and administrators.’

Policy Owners must give sufficient attention to setting out the scope of a policy in an accurate and clear manner. They may need to consult with management to ensure that all relevant parties are included, or in some cases, that certain parties are excluded from the remit of the policy under development.
Policy Statement (Mandatory)
This section will state the policy and/or the principles on which it is based. It should address, where applicable, what is permitted or prohibited, what is required or how issues will be handled. The statement should be concise, definite and without ambiguity. Additionally it should also state that compliance with the policy is mandatory as this is one of the defining attributes of a policy. Do not place procedures and/or guides within this section as they can be referred to in the “Related Documentation” section below.

Ideally a reference should be made as to which unit and/or postholder is responsible for ensuring policy compliance. In general, the responsibility for checking for compliance with a particular policy will rest with the Policy Owner unless as specified otherwise within the policy.

Roles and Responsibilities (Mandatory)
This section may be used to outline the various roles and responsibilities of all the individuals involved in the implementation of a policy. Only formal titles or positions held by individuals should be listed. An individual’s personal name is not to be used.

Sanctions (Optional)
This section may be used to outline the sanctions which may be taken in the event of non-compliance with the policy.

Definitions (Optional)
This section may be used to define the meaning of key words or phrases used in the policy which may not be familiar to, or might be misunderstood by, a reader. Consideration should be given to the likely target audience for the policy and the likelihood that they will understand any technical or unit specific words or phrases used.

Related Documentation (Mandatory)
This section will be used to list any other guidance material which will assist policy users and readers in understanding or implementing the policy e.g. related policies, procedures, guidelines, forms, websites etc. Such documentation should be listed in the policy rather than be included as additional content within the text of the policy.

Frequently Asked Questions (Optional)
This section may be used to list typical queries and their answers in relation to the policy. Policy Owners should include this section if they foresee the policy giving rise to a number of recurring queries. Where there are likely to be a substantial number of different queries they should be listed in a separate document and a reference to that document placed within this section.

Contacts (Mandatory)
This section will be used to list the contact details for the university units associated with the implementation of the policy. In most cases the Policy Owner will be at least one of the units listed.
Policy Review *(Mandatory)*

This section will be used to state how often, and by which university governance group, the policy will be reviewed.

Version Control *(Mandatory)*

All policies will have a version control box similar to the one set out below. The box will detail the policy title, a version reference, document owner (the office under whose remit the policy naturally falls), the level of university management which approved it and the date the policy was last reviewed. The box should be created using Excel and then copied and pasted as a “Picture” into the body of the policy at this point. The University Risk and Compliance Officer can provide assistance with this.

<table>
<thead>
<tr>
<th>Document Name</th>
<th>University Policies Template</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version Reference</td>
<td>1.0</td>
</tr>
<tr>
<td>Document Owner</td>
<td>Office of the Chief Operations Officer</td>
</tr>
<tr>
<td>Approved by</td>
<td>DCU Executive</td>
</tr>
<tr>
<td>Date</td>
<td>October 20th 2015</td>
</tr>
</tbody>
</table>

Appendices (Optional)

Any appendices relating to the policy document should be listed here. If the number of appendices is fewer than 4, and the actual appendices do not exceed a combined total of 4 pages in length, they may be appended to the end of the policy at this point provided they do not add to an already lengthy policy document. If the appendices exceed the limits above then they should be made available as separate documents on the unit owner’s own webpages and merely listed at this point on the original policy.

END.