



**UNIVERSITY OF  
LIMERICK**  
OLLSCOIL LUIMNIGH

**University of Limerick**

**POLICY MANAGEMENT  
FRAMEWORK**

**Approved by Governing Authority 27 September 2019**

# TABLE OF CONTENTS

	<b>Page</b>
<b>1. Introduction</b>	
<b>1.1 Purpose</b>	2
<b>1.2 Scope</b>	2
1.2.1 To Whom Does The Policy Apply	2
1.2.2 Policy Management Infrastructure	2
<b>1.3 Definitions</b>	2
1.3.1 Definitions of Policy Concepts	2
1.3.2 Policy Instruments	3
<b>2. Context</b>	
<b>2.1 Legal &amp; Regulatory Context</b>	
2.1.1 HEA/IUA Code of Governance for Irish Universities	4
2.1.2 Qualifications and Quality Assurance (Education & Training) Act 2012	4
<b>3. Policy Statements</b>	
<b>3.1 Policy Statement Principles</b>	4
<b>4. Related Procedures for Policy Management</b>	
<b>4.1 Policy Requirement, Proposal and Development</b>	5
4.1.1 Policy Requirement	5
4.1.2 Policy Proposal	5
4.1.3 Policy Development	5
<b>4.2 Policy Approval</b>	5
<b>4.3 Policy Implementation</b>	5
4.3.1 Policy Communication	5
4.3.2 Policy Implementation Monitoring	6
4.3.3 Policy Review	6
<b>5. Document Control</b>	7

# 1. Introduction

## 1.1 Purpose

- 1.1.1 The adoption and management of policies at the University of Limerick will benefit stakeholders and provide clarity on university processes, ensure efficiency in engaging with university units, and promote transparency and equality of treatment.
- 1.1.2 The purpose of the Policy Management Framework is to establish a standard template for policy documents, a set of policy principles and instruments for policy development, approval, implementation, monitoring and review throughout the University. The use of this Framework will enable a consistent policy development process and promote best practice across the University.
- 1.1.3 This Framework also sets out the requirement to identify policy owners and their roles in relation to the requirement, proposal, development, approval, implementation and review of University policies.
- 1.1.4 From the date of final approval of this Policy Management Framework by the Governing Authority, new policies that are developed and existing policies amended will adhere to the provisions set out in this Framework.

## 1.2 Scope

### 1.2.1 *To whom does the Policy Management Framework apply?*

This Policy Management Framework applies to University employees charged with developing University-wide policies, both academic and support, including those of research centres. These units are referred to hereinafter as 'the University'.

### 1.2.2 *Policy Management Infrastructure*

The University policy management infrastructure will include:

- A policy hub of trained staff to support policy owners across the University. The hub will have responsibility for regular policy audits and maintain a central repository of policies.
- A consolidated and searchable central repository accessible to all relevant stakeholders. This will include automated notifications of revised or new policies.
- The provision of support awareness training around policies and consequences for violating policy.
- The provision of templates for policy development, communication, implementation and monitoring plans to ensure stakeholders are briefed, policies enacted and adherence monitored.
- The establishment of approval pathways for policies approved by Governing Authority, Academic Council and/or Executive.
- Oversight for University wide compliance with policy renewal timeframes.

## 1.3 Definitions

### 1.3.1 *Definitions of Policy Concepts*

The following concepts are central for the understanding and the development, approval, implementation and review of University of Limerick policies.

<b>Approval Body</b>	Relevant University governance body i.e. Governing Authority, Academic Council, and/or Executive Committee approve policies, and/or policy amendments.
<b>Approval Pathway</b>	Necessary approval steps taken for a policy document approval.
<b>Editorial Amendment</b>	Amendment to correct document formatting, spelling, grammar or clarity of language, which does not affect the policy intent or content.
<b>Major Amendment</b>	Amendment that substantially alters the intent or content of the policy.
<b>Minor Amendment</b>	Amendment to correct or update a title, numbering, web-link or a reference to law, other policy document, a regulation or other relevant document, or otherwise modify the policy in a way that does not significantly change its intent or content.
<b>Policy Owner</b>	The title of person or management unit responsible for development and implementation of the policy and its communication throughout the University. The policy owner identified at the outset of policy development.
<b>Policy Developer</b>	The title of person assigned to draft policy for approval
<b>Policy Proposal</b>	The Governing Authority, Executive Committee or Academic Council may request the development of a policy. In some instances, a management unit will request endorsement from Executive Committee in advance of developing/amending a policy. All policies must display a clear approval pathway.
<b>Policy Template</b>	Provides structure for policy information and ensures consistency of approach throughout the University in the development of policy documentation.

### 1.3.2 Policy Instruments

Policies exist within a hierarchy of broader regulatory instruments that inform the development, implementation and monitoring of policy. These instruments include:

<b>Legislation</b>	All university policies must comply with relevant legislation.
<b>Statutes</b>	University Statutes as approved by Governing Authority.
<b>Regulations</b>	High level (e.g. national) overarching rules governing an area in which the University operates.
<b>Policies</b>	Any decision or directive that sets out the University's official position on an aspect of its activities. The Executive Committee, Academic Council, and/or Governing Authority can approve policies. These policies apply across the University.
<b>Procedures</b>	Procedures are a roadmap to enable the implementation of approved policies/statutes and regulations. They are developed/ revised by the professional area to which they relate and are approved by Executive Committee. Additional procedures may be identified as required by a professional area. The development/ revision of such procedures must be in accordance with best practice and approved by the relevant Director/Dean/Functional Head.
<b>Guidelines</b>	Approved as a recommended approach. They provide practical examples of how specific policies may apply in particular areas and suggestions for effective implementation.

**This Framework applies solely to “Policies” as defined above.**

## 2. Context

### 2.1 Legal and Regulatory Context

UL is subject to various legal/statutory obligations to establish specific documented policies and procedures such as the requirements set down in the Universities Act, 1997; equality policies; quality assurance procedures and procedures relating to finance, audit and procurement etc.

#### 2.1.1 *HEA/IUA Code of Governance for Irish Universities*

The University must comply with any additional principles and requirements as set out in the agreed HEA/IUA Code of Governance for Irish Universities that is in place and updated from time to time.

#### 2.1.2 *Department of Education and Skills, Qualifications and Quality Assurance (Education and Training) Act 2012*

There are requirements and obligations on the University to 'have regard to' the guidance issued by Qualify and Qualifications Ireland (QQI) in preparation of policies and procedures for quality assurance. Adherence to these requirements and obligations by the University is facilitated through the implementation of the provisions of this Policy Management Framework.

## 3. Policy Statements

### 3.1 Policy Statement Principles

Best practice in the higher education sector suggests the following principles in the development, implementation and monitoring of a new policy or in the review of existing policies. Policies must be:

- In compliance with legislation and the Code for the Governance of Irish Universities in place from time to time and other relevant Codes of Practice as appropriate;
- Consistent with existing University Statutes, Regulations and other Policies;
- Uphold the University's values, mission and strategic objectives;
- Created where there is clear identified need with long-term application in the University;
- Guided by national/ international best practice in the higher education sector;
- Monitored for compliance and reviewed for relevance;
- Informed by review and improvement at predetermined intervals.

## 4. Related Procedures for Policy Management

### 4.1 Policy Requirement, Proposal and Development

#### 4.1.1 Policy Requirement

The development or revision of a policy can be required as a result of, inter alia, legislative changes, national directive, new strategic objectives, restructuring of the University or an identified institutional risk or gap.

#### 4.1.2 Policy Proposal

The policy owner will initiate a policy through submission of a policy proposal to the Executive Committee for endorsement in advance of development of the policy. The policy proposal should be in accordance with the [Proposal for Policy Development/Review Form](#) template (Appendix A).

#### 4.1.3 Policy Development

Following approval of the proposal for policy development, the policy owner will consult with relevant stakeholders (i.e. those whose roles and responsibilities are directly affected by the policy) and based on research into best practice nationally and internationally, will develop a draft policy document for consideration by the Executive Committee in the first instance and then Academic Council and/or Governing Authority as agreed by Executive Committee. The development/revision of the Policy should be in accordance with the University's corporate branding provisions and the [Policy Template](#) (Appendix B) in order to ensure consistency of approach across the University in the development/revision of policies. The template may be amended, but only to the extent necessary to add clarity to a policy.

### 4.2 Policy Approval

The approval of a policy must follow the approval pathway set out in the policy development proposal agreed at the outset by Executive Committee. Any such approval pathway must take account of the agreed University [Policy Approval Process](#) as approved by Governing Authority (June 2011) (Appendix C). A policy will be effective from the date of final approval unless specified otherwise.

### 4.3 Policy Implementation

#### 4.3.1 Policy Communication:

The first stage in the implementation of a Policy is its communication to its targeted audience. All policies are published online and their initiation and location conveyed to the Campus Community by way of email by the policy owner. Where necessary, restriction of access provisions will be created for those policies that are confidential to employees of the University.

A [toolkit](#) has been prepared (Appendix D) as an aid to policy owners in the appropriate communication of the new/revised policy and any associated training, and resource requirements.

#### **4.3.2 Policy Implementation Monitoring**

The [toolkit](#) also supports the policy holder in monitoring the implementation of the new/revised policy and identifying any further required revisions for implementation no later than the timeframe set out in 4.3.3 below.

It should be noted that non-compliance with a University policy by an employee may result in the initiation of disciplinary action.

The policy owner is responsible for keeping a policy up-to-date and for ensuring that only the approved iteration of the policy is accessible via the University's website. It is essential that once approved, policies remain relevant and fit-for-purpose. The policy owner monitors policy compliance and records issues arising from policy implementation, and acts to resolve issues. Information collected through the monitoring process will inform the formal review of the policy.

Monitoring the implementation of a policy is further aided by the University's Quality Review process and every support unit should have a quality management system in place that can demonstrate implementation of policies relevant to their area. The development of the Annual Governance Statement further demonstrates policy implementation.

#### **4.3.3 Policy Review**

All approved policies are subject to periodic review, normally after a period of between 1 and 5 years in operation and the timeframe for review must be stated explicitly in the policy. Where necessary, policies may be reviewed outside the stated review period.

Editorial or other similar amendments may be made to a policy outside a formal review process.

Any amendments, however minor, that change the substance of a policy require prior approval of the Executive Committee with amendments conveyed to the next meeting of the Academic Council and/or relevant Governing Authority sub-committee. A formal policy review with appropriate stakeholder consultation is necessary for approval and implementation of major amendments to policy. Any review should take account of factors with potential to impact development of the policy.

A review of a policy within a stipulated timeframe may result in a proposal for no amendment to the policy.

The University's Policy Unit will assist policy owners in implementing a process of policy review.

# 5. Document Control

<b>Document Version</b>	Version 1.1
<b>Document Owner</b>	DPCOOR/Corporate Secretary
<b>Approved by</b>	Executive Committee
<b>Date</b>	12 June 2019
<b>Approved by</b>	Governing Authority
<b>Date</b>	27 September 2019
<b>Effective Date:</b>	27 September 2019
<b>Scheduled Review Date:</b>	3 years from approval date unless otherwise required
<b>Related Documents</b>	<ul style="list-style-type: none"><li>• Appendix A: Policy Proposal Form</li><li>• Appendix B: Policy Template</li><li>• Appendix C: Policy Approval Process</li><li>• Appendix D: Toolkit</li></ul>

# APPENDICES

[\(links to these appendices are embedded throughout the Framework Document\)](#)

## **APPENDIX A: Proposal for Policy Development/Review Form**

**Approval for the Development/Review of:  
[POLICY TITLE]**

Key for policy author:

- Use all sections and add additional sections only if absolutely necessary,
- Text in [square brackets] is to be replaced by the relevant text as required by the policy,
- Red text is guidance, to be deleted upon completion.

# 1 Summary Information

## 1.1 Purpose

Set out the purpose of the policy document briefly including what need it is intended to address and what is to be included in the policy.

## 1.2 Key Policy Information

<b>Policy author</b>	[role]
<b>Policy area status</b>	[Urgent/high priority/routine]
<b>UL's position in the policy area</b>	[New policy/Revised policy]
<b>If revised, previous review date</b>	[date]
<b>Approval Pathway to Date</b>	[Who has signed off on the policy so far]
<b>Proposed Approval Date</b>	[Date]
<b>Proposed Effective Date</b>	[Date]
<b>List of Stakeholders with whom consultation will take place in the development/ review of Policy</b>	[Should state all stakeholders who will be consulted in the development/revision of the policy]
<b>Accompanied by an Implementation, Monitoring and Review Checklist?</b>	[Yes/No – if no, why?]
<b>Accompanied by a <a href="#">Data Protection<sup>(1)</sup> Checklist</a></b>	[Yes/No – if no, why?]
<b>Accompanied by an <a href="#">Equality<sup>(2)</sup> Impact Assessment Checklist</a></b>	[Yes/No – if no, why?]
<b>Decision sought</b>	[Approval/discussion/repeal]

(1) **Data Protection Assessment:** Any proposal for the development/revision of a policy should specifically state if this policy impacts on how the University processes personal data and how the provisions of Data Protection legislation are adhered to in the implementation of the policy. Any risks to the processing of personal data in accordance with legislation should be made known and mitigating factors identified. Where relevant a [Data Protection Checklist](#) must accompany the proposal for the development /review of a policy.

(2) **Equality Impact Assessment:** Any proposal for the development/revision of a policy should specifically state if the policy impacts on equality and human rights legislation, as currently prioritised by the University as set out in the [Equality Impact Assessment Checklist](#).

## 2 Approval Information

### 2.1 Rationale for Development

Set out why the development is required. Is the policy due for review? Did the law change? Did a management or governance decision require or demand the change? Or is there a principled rationale for the change proposed?

### 2.2 Impact of Adoption

The impact of adoption of the proposal should be assessed using a risk management approach i.e. what are the risks of adopting the proposal and how are these risks mitigated to an acceptable level. Assessment of risk should, inter alia, address if there is any foreseeable strategic impact? What will change if the proposal is adopted? How will this impact on stakeholders such as staff/ students? Will it add or change any roles or responsibilities.

### 2.3 Resource Requirements

#### 2.3.1 *Implementation Resource Requirements*

Summarise the resource requirements for full implementation of the proposed policy.

#### 2.3.2 *Ongoing Resource Requirements*

Summarise any new, additional or reductions in resource requirements for sustained implementation, monitoring and review of the policy.

### 2.4 Data Protection and Equality Impact Assessments

#### 2.4.1 *Decision Options for Approving Body*

In consideration of the tenets of Human Rights and Equality and Data Protection legislation, and in approving the development of the new policy/revision of existing policy, the approving body will indicate if:-

- (a) No change is required: assessment is that the proposed policy will be robust and/or promote/identify human rights and equality in the University and complies with data protection requirements;
- (b) Adjust the policy – this involves taking steps to address any adverse impacts before the policy is fully developed;
- (c) Continue the policy – while mitigating against any adverse impacts;
- (d) Stop the policy or practice as there are adverse effects that cannot be prevented or mitigated.

## **2.4.2 Data Protection Checklist**

A range of factors must be considered in the event the proposed policy/revised policy impacts on how the University processes personal data (including sensitive personal/special category data) and how the provisions of Data Protection legislation are adhered to in the implementation of the policy. Any risks to the processing of personal data in accordance with legislation should be identified and mitigating actions put in place.

Personal Data is defined as any information, irrespective of the format in which it is held, related to a natural person or 'Data Subject' that can be used to directly or indirectly identify the person. The definition is technology neutral. It does not matter how the personal data are stored – on paper, on an IT system, on a CCTV system etc. Common personal data include but are not limited to name & address, personal email address, civil status, identification data, living habits, marital status, income, financial situation, IP addresses, web cookies, event logs, location data, GPS data etc.

Special Category Data is personal data, irrespective of the format in which it is held, that is of a particularly sensitive or private nature e.g. data relating to health, sexual orientation, racial or ethnic origin, religious beliefs, political beliefs, or trade union membership, and the processing of genetic and biometric data for the purpose of uniquely identifying a natural person.

Any proposed policy/revised policy that impacts on the processing of personal data must address the data protection principles outlined in GDPR and the Data Protection Act, 2018 as follows:

1. Process personal data lawfully, fairly and in a transparent manner in relation to the data subject;
2. Collect for specified, explicit and legitimate purposes and do not further process in a manner that is incompatible with those purposes;
3. Ensure personal data is adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed;
4. Keep accurate and where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that is inaccurate, having regard to the purposes for which they are processed, is erased or rectified without delay;
5. Keep in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data is processed;
6. Process in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures;
7. The University as a data controller is responsible for and must be able to demonstrate compliance with the Data Protection Principles.

Further information/advice is available from the Data Protection Officer at [DataProtection@ul.ie](mailto:DataProtection@ul.ie)

### **2.4.3 Equality Impact Assessment Checklist**

Any proposal for the development/revision of a policy should specifically state how the policy provides opportunities to promote, or any potential adverse effects that it may have on each of the human rights and equality grounds as listed below. If this policy does not affect any individual ground, then this should be stated explicitly.

Equality and human rights grounds currently prioritised by the University are:

- Race
- Disability (including neurodiversity)
- Gender (including gender identity)
- Age
- Sexual Orientation
- Religion
- Civil Status
- Family Status
- Membership of the Travelling Community
- Socio-Economic Status
- National Identity

## **APPENDIX B: Policy Template**

**[POLICY TITLE]**

**[Draft for approval]**

Key for policy author:

- Use all sections and add additional sections only if absolutely necessary,
- Text in [square brackets] is to be replaced by the relevant text as required by the policy,
- Red text is guidance, to be deleted upon completion.
- Each header is linked to a quick style which should be used to populate the table of contents.

# 1 Introduction

## 1.1 Purpose

Set out the purpose of the policy document briefly. What need is it intended to address and what is set out in the policy.

For instance, “This policy sets out the University of Limerick policy for awarding honorary degrees and the associated procedure for doing so.”

## 1.2 Scope

### 1.2.1 *To whom does the policy apply?*

State the group of people for whom awareness of and adherence to the policy are mandatory – employees, students, etc.

### 1.2.2 *In what situations does the policy apply?*

State the circumstances where the policy applies. For instance, a policy may apply to students, but only during examinations, or it may apply to employees at all times during the conduct of their duties for the University.

### 1.2.3 *Who is responsible for ensuring that the policy (and any associated procedure) is implemented and monitored?*

What position or body (not a named individual) is responsible for ensuring that the policy is implemented as approved. This is the key individual who will be responsible for monitoring its implementation and demonstrating compliance

What additional positions or bodies are responsible for executing procedural elements. For instance, implementation may be the responsibility of the Director of Human Resources, with the relevant Head of Department playing a key procedural role.

## 1.3 Definitions

### 1.3.1 *[Definition 1]*

Provide any definition which is not generally understood, or defined elsewhere within the UL policy suite or relevant legislation, guidance or the academic literature.

Where definitions are adopted from external sources, reference appropriately.

### 1.3.2 *[Additional definitions if required]*

...

## 2 Context

### 2.1 Legal and Regulatory Context

#### 2.1.1 *[Universities Act 1997/relevant legislation]*

Where a policy is a response to, or derived from a specific piece of legislation, regulation or guidance, set out the specific provision for which this policy ensures compliance or gives action to.

### 2.2 Other Context

#### 2.2.1 *[Relevant additional context]*

Where the policy gives action to any other external or internal impetus, this should be referenced here. For instance, a policy for student participation in governance may give action to policy statement elsewhere that there *should* be student participation in university governance.

## 3 Policy Statements

### 3.1 Principles for [Policy Area]

#### 3.1.1 [Principle 1]

Set out the primary statements of what UL's position regarding the policy area are. This is the opportunity to declare what the fundamental view of the institution is. For instance, "assessment is fair", "procurement follows the public sector procurement guidelines". These are the principled guides to action for the institution.

There should be one principle per subsection, written in the active voice present tense using measurable verbs – avoid "UL will ensure that XYZ happens", rather "XYZ is done as per ABC".

#### 3.1.2 [Principle 2]

...

### 3.2 [Additional Policy Statements]

#### 3.2.1 [Principle 1]

Where additional nuanced policy statements are required.

## 4 Related Procedures for [Policy Area]

### 4.1 [Procedural Step 1]

Set out the stepwise procedure in simple terms.

[ABC does XYZ within 123 weeks]

#### 4.1.1 [Sub-step 1]

Sub steps may be useful for complex procedures...

### 4.2 [Procedural Step 2]

...

## 5 Related Documents

Set out the list of related Policies/Procedures etc.

## 6 Document Control

<b>Document Version</b>	[Version ]
<b>Document Owner</b>	
<b>Approved by</b>	Executive Committee
<b>Date</b>	[date]
<b>Approved by</b>	Academic Council and/or Governing Authority
<b>Date</b>	[date]
<b>Effective Date:</b>	[If different to approval date]
<b>Scheduled Review Date:</b>	[date]

## **APPENDIX C: Policy Approval Process**

### **1. General Principles**

- 1.1 The Governing Authority and/or the University Executive may require that specific policies are drafted.
- 1.2 The President or his/her nominee has the responsibility to ensure that such policies are prepared.
- 1.3 The Governing Authority has a statutory responsibility for the consideration and approval of such policies.

### **2. Process**

- 2.1 A draft policy is prepared by the President or his/her nominee. It is expected that the President will consult with senior management and other interested parties including the relevant Governing Authority committee.
- 2.2 The draft policy is forwarded as required to a Working Group comprising members of Human Resources and representatives of UNITE for consultation/ information/negotiation.
- 2.3 The Working Group will complete this process within three months of the date on which the draft policy is circulated to the Group.
- 2.4 The agreed draft policy is submitted to the relevant Governing Authority Committee for consideration and submission to Governing Authority for final approval.

## **APPENDIX D: Toolkit**

**[POLICY TITLE]**

### **Implementation, Monitoring and Review Plan**

Key for policy author:

- Use all sections and add additional sections only if absolutely necessary,
- Text in [square brackets] is to be replaced by the relevant text as required by the policy,
- Red text is guidance, to be deleted upon completion.
- Each header is linked to a quick style which should be used to populate the table of contents.

**Contents**

- 1 Introduction .....22**
- 2 Implementation.....23**
  - 2.1 Introduction .....23
  - 2.2 Communications Strategy .....23
  - 2.3 Training .....25
  - 2.4 Resources .....25
  - 2.5 Required Actions.....25
- 3 Monitoring.....26**
  - 3.1 Introduction .....26
  - 3.2 Resource Requirements .....26
  - 3.3 Reporting Requirements .....26
  - 3.4 Monitoring Outcomes.....26
- 4 Review.....27**
  - 4.1 Introduction .....27
  - 4.2 Evaluation Checklist.....27
  - 4.3 Required Action.....27

# 1 Introduction

This document is an internal policy management tool for the implementation, monitoring and review of [policy title]. Each policy adopted by the Governing Authority of the University of Limerick is adopted with the approval of a process for implementation, a mechanism for monitoring the University's performance throughout its lifecycle and review of the policy at an appointed review date.

This document will be used throughout the policy's lifecycle as a means of ensuring that the policy is implemented and maintained and ultimately to ensure that it is kept current and relevant for the needs of the University.

## 2 Implementation

### 2.1 Introduction

This section summarises the key considerations for implementing [policy document title] following its enactment on [date, following its adoption on date] by the Governing Authority.

### 2.2 Communications Strategy

The following table sets out the required communications actions to be completed to ensure successful implementation of the proposed policy:

Stakeholder Group	Communication Channels								Date	Responsibility
Internal Bodies	Briefing	Information Session	Workshop	Meeting	Staff E-zine	Website	E-mail	Other		
Student body	[y/n, repeated below]]	[y/n]	[y/n]	[y/n]	[y/n]	[y/n]	[y/n]	[y/n]	[date]	[position]
All Academic Staff										
All Research Staff										
All Staff										
Governing Authority										
Executive Committee										
Academic Council										
Management Council										
[Other committees/ boards/ groups, add additional rows as required]										
Deans/Divisional Directors/Heads										
Head of Department/Unit/School										
Graduate School Managers										
Faculty Managers										
UNITE										
Students' Union										
Student Advisers										
Student Services Units										
External Bodies	Briefing	Information Session	Workshop	Meeting	Staff E-zine	Website	E-mail	Other		
HEA										
QQI										
IUA										
NUI										
Office of the Ombudsman										
Recognised Colleges										

## 2.3 Training

In addition to the communications requirements of the policy's adoption outlined above, the policy requires the following training to take place to ensure effective implementation:

Role	Training requirement
[QA Manager]	<ul style="list-style-type: none"> <li>• [Use of software package XXX]</li> <li>• Project management</li> <li>• New procedure]</li> </ul>
Describe roles, not individuals	Set out specific training requirements, including certification where appropriate.
Add additional rows as required.	...

## 2.4 Resources

Implementation of the proposed policy is likely to require the following resources:

Category	Training requirement
Human resources	Any specific human resource requirements (through hiring, temporary reassignment, temporary employees, etc.) which may be required to support implementation.
Cash expenditure	Any specific expenditure anticipated to facilitate successful implementation (printing, new IT systems, etc.)
Capacity resource requirements	Estimate the resource requirement in terms of employee/departmental capacity requirements to successfully implement the proposed policy.

## 2.5 Required Actions

The primary actions required to support implementation are:

Action	Responsible role	By when
[Implement communications strategy]	[Head of department]	[End March '19]
[Issue new forms]	[Department secretary]	[End April '19]
[... add new rows as required]	[...]	[...]

## 3 Monitoring

### 3.1 Introduction

This section summarises the key requirements for the ongoing monitoring of and demonstration of compliance with the policy as implemented.

It also tracks any notable monitoring events or issues with the implementation of the policy following its approval by Governing Authority.

### 3.2 Resource Requirements

Ongoing monitoring of the policy area is likely to require the following resources:

Category	Training requirement
Human resources	Any specific human resource requirements (through hiring, reassignment, etc.) which may be required to support the policy throughout its lifecycle.
Cash expenditure	Any specific expenditure anticipated to facilitate the sustained implementation of the policy
Capacity resource requirements	Estimate the resource requirement in terms of employee/departmental capacity requirements to successfully enforce the adopted policy and any associated procedures throughout its lifecycle.

### 3.3 Reporting Requirements

Set out if it is anticipated that the policy gives rise to any specific reporting requirements and their nature. Is there likely to be any statistical summaries of the outcomes of any procedures? Should any governance or management body receive updates arising from the policy? If so how regularly?

For instance: "The Head of Department will provide an annual summary of the outcomes of the disciplinary procedure to the HR subcommittee"

### 3.4 Monitoring Outcomes

The following table is used to summarise any identified issues, significant events and considerations regarding the policy throughout its lifecycle:

Date	Description	Action
[date]	[Description of the event or issue arising]	[Action taken to resolve the situation]
[...]	[...]	[...]

## 4 Review

### 4.1 Introduction

This section is completed at the appointed review date for the [policy title]. It establishes the need for revision or amendment to the policy and accompanies any subsequent policy proposal.

### 4.2 Evaluation Checklist

Question	y/n	Detail
Has the legal or regulatory environment for the policy area changed?	[y/n]	Provide details
Is the policy still consistent with the rest of UL's policy suite?	[y/n]	Provide details
Does the policy compare favourably with established effective practice in the policy area?	[y/n]	Provide details
Have there been significant monitoring events associated with the policy area since approval?	[y/n]	Provide details

### 4.3 Required Action

Action	Responsible role	By when
Complete Proposal using the Policy Proposal Template	[Relevant Policy Developer]	[In time for the next approval committee meeting]
Complete new draft policy using the UL Policy Template	[Relevant Policy Developer]	[In time for the next approval committee meeting]
Update the Implementation, Monitoring and Review Plan for the Policy	[Relevant Policy Developer]	[In time for the next approval committee meeting]
[any additional actions]	[...]	[...]