



# Development of policy documents

Policy Index No.	Policy Sponsor	Page/s	Approved by	Date
001	Legal and Professional Standards Office	12	The Director General	02/07/15

Related policies/standards	Date
LP/11/001-P01 Development of Policy documents protocol	07/07/15
SOP 01/001/3 Developing SOP's	07/07/15

Legacy reference of policy	Date for review of policy	Date of issue/amendment
	07/07/2017	07/07/2015

---

## IPS Policy for the development of policy documents

---

### Table of contents

1.	Aim of this policy	1
2.	Purpose of this policy	1
3.	Scope of this policy	1
4.	Procedures for implementation	4
5.	Related policies/documents	9
6.	Definitions	9
Appendix I		
	Policy development and review process	11
Appendix II		
	Sample policy cover	12

## **1. Aim of this policy**

---

- 1.1 That ensure our policy documents are developed and in a manner consistent with legislation, the Irish Prison Service (IPS) mission, vision, values and best practice.
- 1.2 To ensure our policy documents are live, within reach, clear, easy to understand, to a standard format and kept under review.

## **2. Purpose of this policy**

---

To set out procedures for IPS policy document,

- 2.1 development and consultation.
- 2.2 ratification and sign off.
- 2.3 communication and distribution.
- 2.4 review.

## **3. Scope of this policy**

---

Those with a role in the IPS policy process.

## 4. Procedures for implementation

---

### 4.1 Responsibility for creating a policy

4.1.1 The Director responsible for the policy field must first grant approval before an IPS policy is created,

4.1.2 Generally, IPS policy documents will be created by a sponsor, i.e. a person or team working on behalf of a H.Q. or Prison Management team (the Approver). The sponsor is responsible for organising the contents of drafts, within the criteria set, and developed in liaison with the Approver,

4.1.3 The Sponsor:

- a) must ensure appropriate templates are used when creating draft documents;
- b) may utilise the Policy Documents Centre to create a draft on IRIS;
- c) shall consult with the Approver over the course of preparing content;
- d) will circulate a draft for review and feedback when directed by the Approver and in accordance with the Protocol supporting this policy.

4.1.3 The Approver:

- a) has complete responsibility and authority to accept, amend or reject a submitted draft;
- b) may choose to circulate a draft policy document for specialist review/comment;
- c) shall make necessary amendments on consideration of feedback submitted and issues highlighted and on taking account of all possible impacts of the draft policy document under preparation;
- d) shall bring an interim draft to the IPS Strategy and Policy Group for deliberation;
- e) shall place the final draft (including amendments after 4.1.3 d) for ratification by the IPS Executive Management Team;

- f) shall keep a live policy under review and consider any issues raised/any applications made post publication;
- g) may recommend the granting of a derogation from the policy in the form of a 'notification of exception' in accordance with Para 2.1.5 of the protocol.

4.1.4 Where more than one Directorate is involved in the development of a policy document the:

- a) lead responsibility for approval may, if determined by the Director/General, rest with one nominated person;
- b) particular roles/responsibilities relating to a particular directorate may be clarified in the policy or supporting protocol.

## **4.2 Formulating a policy for approval**

4.2.1 IPS policies must be prepared in accordance with development and review procedures as set out in this policy and in the LP/11/001-P1 - 'Protocol for the development of policy documents', (the protocol),

4.2.2 Approved template documents must be used in the preparation of drafts which shall be formatted in accordance with approved styles,

4.2.3 Draft documents (and previously published documents with amendments) must be circulated for review and feedback to stakeholders as appropriate, (refer to Para 4.1.3 b),

4.2.4 All comments submitted regarding a published policy (including data from 'Policy Issues forms') shall be maintained by the relevant directorate or group for consideration at the next review,

4.2.5 The Approver will 'sign off' on the final draft following ratification by the Executive Management Team (EMT),

4.2.6 The Approver will determine scheduled issue, review and end dates for a policy,

4.2.7 On approval of a policy by the EMT, the Approver (or a member of the sponsor team acting on behalf of the Approver) will contact the Legal Professional Standards Office (LPSO) to:

- a) advise of approval and sign off;
- b) confirm of issue and review dates for the policy document;
- c) authorise publication on the Policy Documents Centre;
- d) advise if a policy document has been granted an 'Open Access' stamp of approval (approval for public access via the IPS Web-page).

4.2.8 In accordance with 4.9, the Director General may approve the introduction a policy directly through the IPS Policy and Strategy group and the Executive Management Team for approval and as a means of adopting emergency policy or a policy created outside of the IPS, (e.g. a Civil Service Policy) into our policy suite.

4.2.9 Legacy organisational policy documents will be reviewed and reformatted in accordance with this policy and related protocol on a phased basis.

### **4.3 Legal and Professional Standards Office**

The role of the LPSO in the process includes:

- 4.3.1 Supporting the policy development process;
- 4.3.2 Managing the Policy Documents Centre and policy register;
- 4.3.3 Quality assurance checks pre publication for compliance with policy development standards;
- 4.3.4 Reporting to Senior Management Teams on policy development matters;
- 4.3.5 Notifying policy approvers/sponsors when policy documents are due for review;
- 4.3.6 Notifying Policy Folder Administrators when new/amended policy documents have been approved/published;
- 4.3.7 Liaising with Staff & Corporate Services Directorate to arrange publication of policies approved as 'Open Access' on the IPS Web page;
- 4.3.8 Development and update of support templates and policy instruments;
- 4.3.9 Sharing of information from 'Policy feedback' and 'Policy issues' forms to Sponsors and development groups as appropriate;
- 4.3.10 Development and conducting of quality assurance assessments when requested by Approvers/Sponsors to aid measurement of compliance levels.

#### **4.4 Publication and distribution of policies**

- 4.4.1 A hard copy policies folder shall be accessible for review at each location to supplement on-line access to policy documents;
- 4.4.2 Approvers (or persons acting on their behalf) will be responsible for liaising with the LPSO and others to arrange the announcement, publication and circulation of new and amended policies;
- 4.4.3 The Governor /person in charge at each location will designate a member of the management team as the Policies Folder Administrator and with responsibility for:
- a) the maintenance and regular updating of a policies folder;
  - b) advertising the location of where the policies may be accessed;
  - c) ensuring spare Policy Issues forms are held in the Policy Documents Folder;
  - d) Communicating the contents of completed Issues forms to the Policy Approver and/or to the LPSO.

#### **4.5 Withdrawal of a policy**

- 4.5.1 The policy document Approver may apply to the IPS Strategy Group for a policy to be:
- a) Withdrawn as obsolete or;
  - b) Withdrawn and for re-drafting as a Protocol in support of another policy.
- 4.5.2 On receiving approval for the withdrawal of a policy, the policy document Approver shall take appropriate steps to notify all stakeholders and arrange removal from publication.
- 4.5.3 The Policy Identification Number (PIN) associated with a withdrawn policy shall not be re-allocated to another policy.

#### **4.6 Training**

The Approver/sponsor is responsible for ensuring all training needs, arising from a policy, are assessed and arranged.

#### **4.7 Policy review**

4.7.1 The sponsoring directorate or group will be responsible for arranging timely review and ensuring their policy reflects obligations imposed by current legislation and best practice;

4.7.2 Policies amended on review will follow the process as outlined in Sections 4.2.3 to 4.2.7.

#### **4.8 Policy version**

The date of issue on the cover page and the date preceding the letter V in the document footer is the document version.

#### **4.9 IPS policy instruments**

IPS policy instruments include any protocols and/or standard operating procedures in place to support a policy. Policy instruments shall:

4.9.1 be used to action, support and assess the application and effectiveness of a policy;

4.9.2 be developed by organisational affiliates as necessary in accordance with appropriate templates and protocols and on approval as appropriate (see 4.9.3);

4.9.3 In the case of SOP's, be approved by the relevant directorate, prior to adoption and sign off by a governor, unit head, or body as appropriate;

4.9.4 not be contrary to any element of an approved policy.

#### **4.10 Reservation of rights**

Nothing in this policy limits or circumscribes in any way the power and authority of the Director General through the Senior Management Team of the IPS to issue, amend, or revoke organisational policies, protocols or procedures at any time.

#### **4.11 Development processes and formatting**

Processes for policy document development and the formatting of policy documents shall be in accordance with Section 2 of the protocol for the development of IPS policy documents LP/11/01 P01.



## 5. Related policies/documents

---

**LP/11/001 P01** - Protocol for the development of policy documents

**SOP 01/001/3** Developing SOP's

## 6. Definitions

---

**Approver:** The person (generally a Director) with overall responsibility for sign off and for matters related to the existence of a policy document.

**Sponsor:** Directorate team or focus group with responsibility (as determined by the Approver) for developing and arranging review, amendment, approval, awareness and policy specific training as necessary.

**Directorates:** Director led administrative units, support units etc. that conduct IPS affairs under the overall direction of the Director General.

**Organisational affiliates:** Those entities controlled, directly or indirectly, by the Irish Prison Service.

**IRIS:** *or Intranet real-time information system:* Irish Prison Service portal providing staff with single point access to an electronic shared information resource.

**I.C.T.:** Section that provides/supports matters associated with IPS information technology.

**P.I.N.:** Policy index number. This is a unique reference number assigned to each policy document. (*PIN numbers will be allocated on a sequential basis*);

**Version** - Date of issue/amendment of a document.

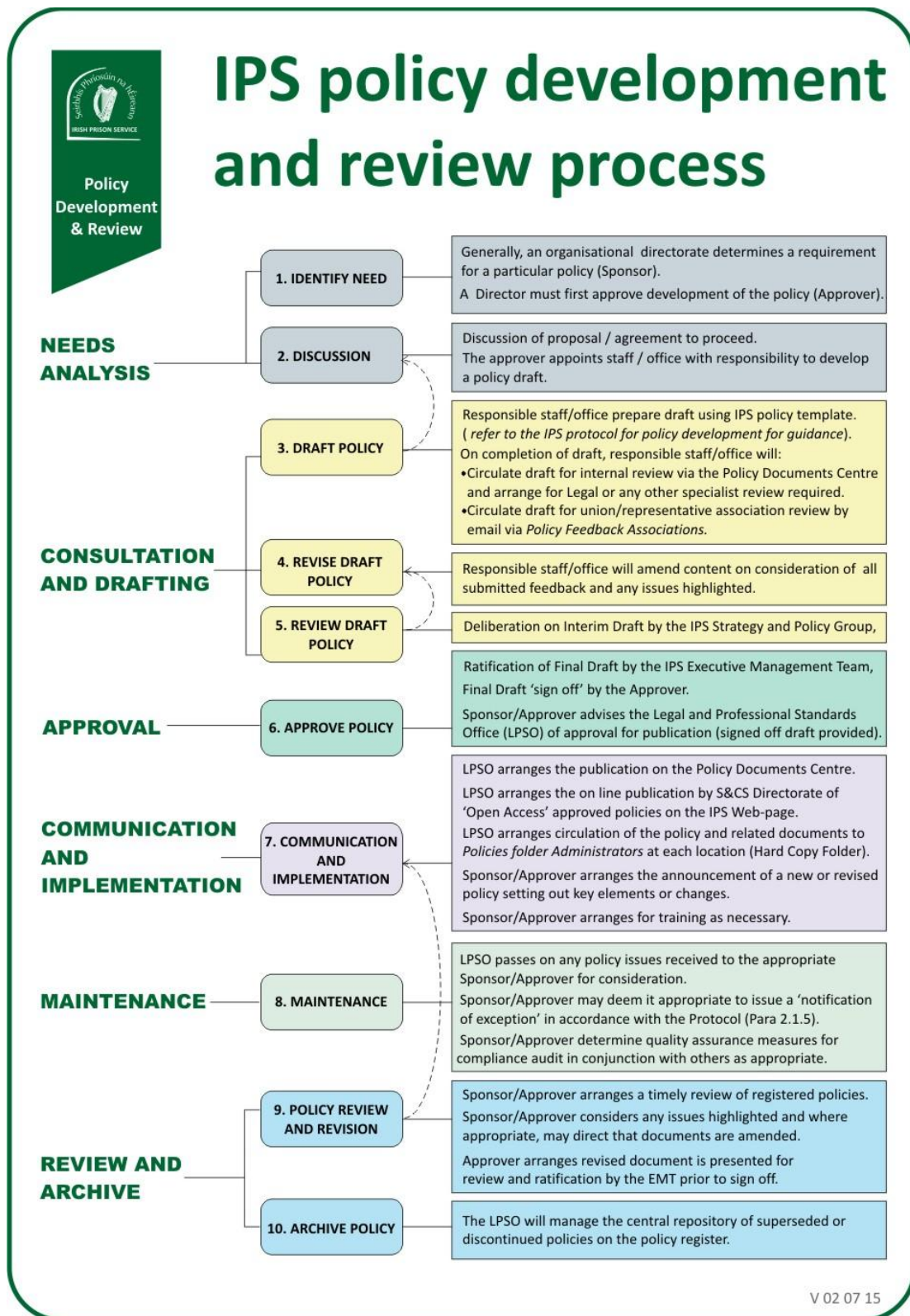
**Policy instrument:** A document used to action, support and assess the application and effectiveness of the policy. (E.g. protocols, Standard Operating Procedures and documents such as Governors orders and Chiefs' orders).

**Policy documents/Policy documents set** – A combined set of a policy and supporting instruments, e.g. a protocol.

**Policy Issues form:** a form to facilitate the highlighting of any issue identified with regard to a published policy document. Spare copies of the Policy Issues form shall be placed in the Policy Documents Folder.

**‘Open Access’:** The publication of an IPS policy document on the IPS web page on the internet.

**‘Notification of exception’:-** a derogation issued by the Policy Approver setting out specific parameters (i.e. the scope, limitations, timeframe and any particular terms) whereby a nominated practice (that may not be fully compliant with the terms of a policy), is authorised.



**Appendix II - Sample policy cover**

**Development of policy documents**

**Policy Document**

Policy Index No.	Policy Sponsor	Page/s	Approved by	Date
PIN 001	Legal and Professional Standards Office	8		28/11/12

Related policies/standards	Date

Legacy reference of policy	Date of review of policy	Date of issue/amendment
-	12/01/2017	12/01/2015

IPS Legal and Professional Standards Office

END OF DOCUMENT