Policy Implementation Guidance

This document provides tips and best practices for implementing a policy successfully. The first four steps could be completed before the policy is officially approved.

Understand the purpose and objectives of the policy.

- Consider sharing with stakeholders how this policy aligns with USU's mission.
- Consider sharing how the policy supports state or federal regulation or statute.

Create a timeline for implementation.

- If the implementation will occur in phases or over time, consider creating a visual graphic or road map.

Identify any resources necessary for successful implementation.

- Consider what financial, technical, or human resources will need to be in place to support this policy.

Draft or review procedures and supporting documentation.

- Develop or update materials such as procedures, guidance documents, standards, FAQs, step-by-step instructions, visual guides, or webpages to assist campus members in implementing the new policy.

Complete these steps AFTER the policy is approved:

Communicate changes with the campus community.

- Consider other departments or units that might be impacted by these changes.
- Consider which channels of communication would be most effective.
- Any individuals named as responsible parties in your policy should be directly notified of these responsibilities.

Conduct training sessions for the campus community.

- Determine the best method of educating the campus, such as information sessions, online training, interactive workshops, and Q&A sessions.
  - Depending on the various responsibilities outlined in your policy, you may need to offer targeted training sessions.
  - A training session may be a good opportunity to ask for feedback on the policy to inform future versions of the policy.
- If applicable, follow up with participants 6-9 months after the training (Outlook offers the option to draft an email now and then delay delivery for a specified amount of time).

Monitor and evaluate compliance with the policy.

- Review the [Compliance Matrix](#) to determine, based on their roles, which individuals may need to be involved in the policy implementation.
- Outline the enforcement procedures and consequences for non-compliance. Ensure these are fair, consistent, and clearly communicated.
- Consider recognition or positive reinforcement for stakeholders supporting compliance. Find your champions on campus and highlight them.
- Create exception reports to capture activity outliers.
- Conduct an on-site review (if applicable).
- Review a sample of transactions to determine if they were aligned with policy requirements.
- Check in with internal audit on any applicable findings.
- Review any recommendations from accreditation bodies that may be applicable.
- High-risk policies may require a more active monitoring strategy. To determine if this is necessary for your policy, ask these questions:
  - Is there a high probability of non-compliance with policy requirements?
  - Is the subject matter in the policy governed by a state or federal law, rule, or regulation?
  - Is the subject matter in the policy regulated by one or more external entities?
  - How likely is noncompliance to:
    - have a direct impact on someone's health or physical safety?
    - a negative impact on the University's reputation?
    - provide an opportunity for fraud or significant financial impact?
    - impact an entire group of individuals?

Conduct assessment.

- Gather data to assess the policy's efficacy and help improve it in the future. Be open to unintended consequences that may arise from policy implementation.
- Celebrate 'wins' or milestones associated with the policy.
- Check in with key stakeholders periodically and ask for input.
- Find ways to gather and incorporate feedback.
- Review best practices from peer institutions that have implemented similar policies. Ask peer institutions what lessons were learned or what they recommend.
- Document all data gathered and share a summary of the results with your Responsible Executive at least annually. These documents may also be helpful in the case of an audit.

Be aware of the upcoming review cycle.

- Track feedback, areas of improvement, data analysis, risk assessment, and the evolving needs of the USU community to consider for future versions of the policy.
- New policies will automatically be scheduled for a 1-year review cycle.