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| https://brown.widencollective.com/thumbnail/5029e6d7-35d7-4518-8eb3-c2f8a786630e/av/480px/Brown%20Logo_2016_2%20Color%20Process%20HZ_2400.png?t=1555276107503&s=e0f761572ad4432bb977504e1b7acc8b2e3899b3 |  **Policy Template with Instructions** |

Below is the Brown University Policy Template that includes policy section numbering and titles.

* Pages one through five of this document provide instructions for drafting a policy*.*
* Pages six through eight provide an editable template for writing policies.

Capitalization and punctuation must be consistent with the [Brown University Editorial Style Guide](https://www.brown.edu/university-identity/editorial-style-guide/c). Additionally, to ensure Brown Policies have a cohesive appearance the following document standard must be used:

* **Font:** Minion Pro (if you do not have Minion Pro use Times New Roman)
* **Font size:** 11
* **Punctuation spacing:** Single space after a period or colon
* **Paragraphs:** Single-spaced (before 0 pt, after 0 pt, spacing single, don’t add space between paragraphs)
* **Section numbering:** Per editable template on page six
* **Margins:** Three quarters of an inch
* **Header/Footer:** Three quarters of an inch (footer may be adjusted for readability)
* **No Appendices:** Link to relevant documents and forms as needed.
* **Defined Terms:** Capitalize all defined terms used in the text (i.e., terms defined in section 4.0)
* **Hyperlinks:**
	+ Hyperlink document references in the policy text, only link the first reference in the text.
	+ Hyperlink all documents, websites etc. listed in section 7.0 (even if linked in the policy text).

For questions about policy development or format instructions, please contact University Compliance at policyonpolicies@brown.edu or 401-863-1593.

**Detailed Instructions (Note: Editable Template is on page 6)**

**Policy header will be filled out as follows:**

|  |  |  |
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| https://brown.widencollective.com/thumbnail/5029e6d7-35d7-4518-8eb3-c2f8a786630e/av/480px/Brown%20Logo_2016_2%20Color%20Process%20HZ_2400.png?t=1555276107503&s=e0f761572ad4432bb977504e1b7acc8b2e3899b3 | **Policy Title** | POL # Pending Approval  |
| Effective Date: Pending Approval |

**Policy Title:** The Policy Titleidentifies the purpose of the policy in as few words as possible. The first word of the title should be a key word, and the title should be clear so it can be easily searchable, and users can quickly find what they are looking for, by just the title.

**Policy Number:** The Policy Number is defined using the established policy numbering system for identification, classification and ease of locating all policies. University Compliance determines the policy number before posting the policy to the official [University Policy Website](https://policy.brown.edu/). The Policy Number format and definitions are as follows:

|  |  |  |  |
| --- | --- | --- | --- |
|  | Policy Category | Subcategory | Sequential Number of this Policy |
| POL | 01 | .05 | .01 |

* POL: Defines it as a University Policy
* Policy Category: Identifies the category that the policy relates to (e.g., Governance is 01)
* Subcategories: These spread across the policy category and are identified with a number in increments of five. When there are no subcategories, the number normally is 00.
* Sequential Number of this Policy: Each subcategory can have a number of associated policies which are identified in sequential number order based on policy Effective or Issue date.

**Policy Effective Date**: Leave as “Pending Approval”, University Compliance fills this in after approval.

1. **Policy Purpose**

The Policy Purpose should be a brief one to four sentence statement answering the question on why the policy exists. It is not a statement of the history of the policy. Key areas that should be included in the Policy Purpose are:

* Legal or regulatory reasons for the policy
* Description of conflict or problems the policy will resolve, recognizing the legitimate interests of all parties
* Overall benefits of the policy
1. **To Whom the Policy Applies**

The To Whom the Policy Applies section lists the groups of individuals or units in the University (e.g., staff, faculty, students, departments) and even organizations outside the University affected or governed by the policy. It should note if the policy applies to all staff, or a subgroup; or if it is a University-wide policy, or applicable to a specific group/business unit.

1. **Policy Statement**

The Policy Statement is the most important section of the policy. It identifies the University’s position and the standard of behavior it expects of its employees, faculty, students, and others. Individuals should know, from reading this section only, what the policy is, and how it extends to the University. It should provide direction to the intended audience and answer the following questions:

* In what situation(s) does the policy apply?
* What is expected of employees, faculty, students, or others?
* Are there exclusions or special situations?

Rules to follow for drafting the Policy Statement are:

* Keep sentences and paragraphs simple, direct, concise, clear, and understandable for the given audience.
* Use strong action words, such as “are responsible for”, “will”, and “must.” Avoid soft words, such as “shall”, “should”, and “guideline.”
* Use acronyms where appropriate, but only after the acronym is spelled out first (e.g., University Human Resources is UHR). Capitalize acronyms when later used in the policy.
* Do not include background information and related information. There are other policy sections or documents for this information. Procedures should not be included in a policy.
1. **Definitions**

The Definitions section lists unfamiliar or technical terms, along with terms with special meaning that, when defined, add to the reader’s understanding of the policy. Definitions should be listed in alphabetical order. Capitalize terms defined in this section when used in the policy text.

Prior to defining terms, check the [University Data Cookbook Definitions](https://www.brown.edu/about/administration/data-governance/data_cookbook). Data Cookbook definitions have been approved by the University and should be used to the maximum extent possible in policies. List Data Cookbook terms and definitions required to clarify the policy in section 4.0 in addition to other key terms that add to the reader’s understanding of the policy.

1. **Responsibilities**

The Responsibilities section identifies the positions/offices and their related responsibilities, which are necessary for the administration of, and compliance with, the policy. It should include responsibilities for instituting, implementing, complying, monitoring, enforcing, and educating individuals on the policy. It should also identify requirements (not recommendations), and the “what” and not the “how” of the responsibility. The editable template contains standard language in this section that must be included in all policies (unless OGC advised otherwise).

1. **Consequences for Violating this Policy**

The Consequences for Violating this Policy section includes the possible sanctions that could result from non-compliance, such as, the disciplinary action(s) that could be taken on an employee, and civil or criminal penalties that could be imposed on the University or the individual. The editable template contains standard language in this section that must be included in all policies (unless OGC advised otherwise).

1. **Related Information**

The Related Information section is a list of specific information that complements, supplements, or helps to further explain the policy. Related information may be internal or external to the University.

This section should be divided using the following subsections, titles, formatting, and numbering system. Referenced materials should include working links, be listed in alphabetical order, and subsections with no related information marked “N/A” (Not Applicable) after the colon. Start this section with the following two paragraphs:

Brown University is a community in which employees are encouraged to share workplace concerns with University leadership. Additionally, [Brown’s Anonymous Reporting Hotline](https://compliance.brown.edu/reporting-concerns) allows anonymous and confidential reporting on matters of concern online or by phone (877-318-9184).

The following information complements and supplements this document. The information is intended to help explain this policy and is not an all-inclusive list of policies, procedures, laws and requirements.

* 1. **Related Policies:** Lists specific policies by policy title, or “N/A” after the colon.
	2. **Related Procedures:** Listsspecific procedures by procedure title, or “N/A” after the colon.
	3. **Related Forms:** Lists related forms by title of the form, or “N/A” after the colon.
	4. **Frequently Asked Questions:** Lists FAQs that assist the user to better understand the policy, and provide answers to the most common questions, or “N/A” after the colon.
	5. **Other Related Information:** Lists other related information by title and source. Examples include: job aids, fee schedules, guidelines, industry standards, laws and regulations; or “N/A” after the colon.
1. **Policy Owner and Contact**

ThePolicy Owner and Contact(s) section should be divided into the following sections:

* 1. **Policy Owner:** The Cabinet position responsible for the policy content and administration.
	2. **Policy Approved by:** The position that approves the policy (President, Corporation or delegated Cabinet member)
	3. **Contact Information:** The position title and/or the operating unit or department which are subject matter expert(s) and can answer most questions, or direct individuals to other resources, as appropriate. The title and/or office, email address, and telephone number of the contact(s) should be listed. There must be at least one contact for each policy.
1. **Policy History**

ThePolicy Historysectionlists a record of changes by date for the specified policy and is divided by the following sections:

* 1. **Policy Issue Date:** The oldest known approval date of the policy; or if unknown, the date approved by the Brown Comprehensive Policy Review process. This date will normally not change once established. Use Month DD, YYYY for all dates.
	2. **Policy Effective Date:** The date the policy version was approved. This date is also the Effective Date in the policy header. Input “Pending Approval” here.

**9.3 Policy Update/Review Summary:** A brief explanation of changes made during the policy update/review. Examples of information included:

* Policy was updated with new reporting requirements.
* Updated policy to comply with changes to a law/regulation/title
* “N/A” for a new policy

List the previous policy Effective and/or Issue Date(s) as follows:

Previous policy version(s) superseded by this policy:

* Previous Policy Title, Effective Date: Month DD, YYYY
* Previous Policy Title, Effective Date: Month DD, YYYY *(add to list as required)*

|  |  |  |
| --- | --- | --- |
| https://brown.widencollective.com/thumbnail/5029e6d7-35d7-4518-8eb3-c2f8a786630e/av/480px/Brown%20Logo_2016_2%20Color%20Process%20HZ_2400.png?t=1555276107503&s=e0f761572ad4432bb977504e1b7acc8b2e3899b3 | **Policy Title** | POL Pending Approval |
| Effective Date: Pending Approval |

1. **Policy Purpose**

The purpose of this policy is… *(short 1-4 sentences, delete italicized notes after reading)*

1. **To Whom the Policy Applies**

This policy applies to…*(e.g., staff, faculty, students, etc.)*

1. **Policy Statement**

Note: *State the policy in this section. All paragraphs do not need to be numbered, numbers are for subsections. Use subsections only if the policy requires multiple sections for clarity.*

*Always follow a subsection number by a title. The University Policy website cannot accommodate more than four section “levels” (i.e., no more than three decimal places), do not make additional subsections after level 3.#.#.#. Example:*

* 1. **Subsection title**
	2. **Additional subsection title**
		1. **Subsection title**
		2. **Additional subsection title**
			1. **Subsection title**
			2. **Additional subsection title**
	3. **Subsection title**
1. **Definitions**

For the purpose of this policy, the terms below have the following definitions:

**Term:** Definition (Note: *do not add a number in front of the definition; capitalize defined terms when used in the text of the policy; if you have no definitions, input N/A and delete the above sentence, ex:***4.0 Definitions** N/A)

**Term:** Definition of term…*add terms as required*

Note**:***Prior to defining terms, check the* [*University Data Cookbook Definitions*](https://www.brown.edu/about/administration/data-governance/data_cookbook)*. Data Cookbook definitions have been approved by the University and should be used to the maximum extent possible in policies. List Data Cookbook terms and definitions required to clarify the policy in section 4.0 in addition to other key terms that add to the reader’s understanding of the policy.*

1. **Responsibilities**

All individuals to whom this policy applies are responsible for becoming familiar with and following this

policy. University supervisors and employees with student oversight duties are responsible for promoting the understanding of this policy and for taking appropriate steps to help ensure and enforce compliance with it.

Note: *All policies must contain the above paragraph unless OGC advises otherwise. You may add additional responsibilities if required. If you list additional responsibilities by office or job title, use the following format. Example*:

**Office of XYZ**: Will ensure….

**University Human Resources:** Will process…

1. **Consequences for Violating this Policy**

Failure to comply with this and related policies is subject to disciplinary action, up to and including suspension without pay, or termination of employment or association with the University, in accordance with applicable (e.g., staff, faculty, student) disciplinary procedures.

Note: *All policies must contain the paragraph above, unless OGC advises otherwise. Add additional consequences, if required.*

* + - * *For policies that apply to third parties, add the following text to the first paragraph*:
				+ “…or for non-employees may result in the suspension or revocation of the user’s relationship with Brown University.”
	+ "User" *can be changed to vendor or supplier or third party, whichever is most relevant.*
1. **Related Information**

Brown University is a community in which employees are encouraged to share workplace concerns with University leadership. Additionally, [Brown’s Anonymous Reporting Hotline](https://compliance.brown.edu/reporting-concerns) allows anonymous and confidential reporting on matters of concern online or by phone (877-318-9184).

The following information complements and supplements this document. The information is intended to help explain this policy and is not an all-inclusive list of policies, procedures, laws and requirements.

* 1. **Related Policies:** N/A, *or list as bullets below,*
* Policy title
* Policy title…list all that apply and hyperlink
	1. **Related Procedures:** N/A, *or list as bullets below,*
* Procedure title
* [Procedure title…list](https://it.brown.edu/computing-policies/policy-handling-brown-restricted-information/social-security-number-%E2%80%93-usage-and) all that apply and hyperlink
	1. **Related Forms:** N/A, *or list as bullets below*,
* Form title
* Form title…list all that apply and hyperlink
	1. **Frequently Asked Questions:** N/A, *or list as bullets below*,
* FAQ…
* FAQ…list all appropriate FAQs
	1. **Other Related Information:** N/A, *or list as bullets below*,
* Related information…
* Related information…list all appropriate information and hyperlink if appropriate.
1. **Policy Owner and Contact**
	1. **Policy Owner:** List Cabinet member title only*, not an individual’s name*
	2. **Policy Approved by:** List title only, *not an individual’s name*
	3. **Contact Information:** The position title and/or the operating unit or department *which are subject matter expert(s) and can answer most questions, or direct individuals to other resources, as appropriate (do not use employees names here)*.
* Email@brown.edu*, list organizational email box rather than individual email if possible.*
* XXX-XXX-XXXX
1. **Policy History**
	1. **Policy Issue Date:** *The oldest known approval date of the policy; if unknown or a new policy put:* Pending Approval*. Use Month DD, YYYY for all dates.*
	2. **Policy Effective Date:** Pending Approval

**9.3** **Policy Update/Review Summary:** N/A *or briefly document changes from last policy. List previous Policy Effective and/or Issue Date(s) per below (if applicable).*

Previous policy version(s) superseded by this policy:

* Previous Policy Title, Effective Date: Month DD, YYYY
* Previous Policy Title, Effective Date: Month DD, YYYY *(add to list as required)*