|  |  |  |
| --- | --- | --- |
| 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., faculty, staff, students, etc.)*

1. **Policy Statement**

Note: *State the policy in this section. Not every paragraph needs to be numbered - numbers are for subsections only. 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

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

Notes:*Do not number the definitions. Capitalize defined terms when used throughout the policy text. If you don’t have any definitions, input N/A and delete the above sentence (e.g.,***4.0 Definitions:** N/A). *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:*

**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 individuals are encouraged to share 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 *that are subject matter expert(s) and can answer most questions or direct individuals to other resources, as appropriate (do not use individuals’ names)*
* 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) 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)*

|  |  |
| --- | --- |
| 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 Instructions** |

**General Instructions**

* Pages 1-3 of this document provide an editable template for drafting policies*.*
* Pages 4-7 provide additional instructions for writing policies.

Policy text should follow 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 standards must be used:

* **Font:** Minion Pro (use Times New Roman if you do not have Minion Pro)
* **Font size:** 11
* **Punctuation spacing:** Single space after a period or colon
* **Paragraphs:** Single-spaced (before 0 pt, after 0 pt, no added space between paragraphs)
* **Section numbering:** Per editable template on page one
* **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 when 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 401-863-1292.

**Detailed Instructions**

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

|  |  |  |
| --- | --- | --- |
| 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. It should be clear and easily searchable, so users can quickly find what they are looking for just by the title.

**Policy Number:** The Policy Number is determined by University Compliance based on an established policy numbering system for identification, classification and ease of locating all policies. The Policy Number format is as follows:

|  |  |  |  |
| --- | --- | --- | --- |
|  | Policy Category | Subcategory | Identifying Number  |
| POL | 01 | .05 | .01 |

* POL: Defines it as a University Policy
* Policy Category: Identifies the category that the policy relates to (e.g., Governance and Administration 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 will normally be 00.
* Identifying Number: Each subcategory can have a number of associated policies which are distinguished with an identifying number (no two policies can have the same Policy Number).

**Policy Effective Date**: Leave as “Pending Approval.” University Compliance will fill this in after approval. Per the Policy on Policies, policies are effective upon approval.

1. **Policy Purpose**

The Policy Purpose should be a brief, one to four sentence statement explaining why the policy exists. Do not include the background or history of the policy. Key areas that should be included in the Policy Purpose are:

* Legal or regulatory reasons for the policy
* Description of the 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., faculty, staff, students, departments) and even organizations outside the University governed by the policy. It should state if it is a University-wide policy, or applicable to a specific cohort/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 the Brown community. 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 writing simple, direct, concise, clear, and understandable.
* Use strong action words, such as “are responsible for,” “will,” and “must.” Avoid soft words, such as “should” and “guideline,” which mean “optional” in the context of Brown policies.
* Use acronyms where appropriate, but only after the acronym is spelled out first (e.g., … University Human Resources (UHR)). Capitalize acronyms when used later in the policy.
* Do not include background information or policy history, in Section 3.
* Do not include procedures within a policy. Procedures can be documented in a Standard Operating Procedure or other industry standard formats.
1. **Definitions**

The Definitions section lists unfamiliar or technical terms, as well as terms with special meaning that, when defined, add to the reader’s understanding of the policy. List definitions 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 identify requirements (not recommendations) and the “what” (not the “how”) of the responsibility. The editable template contains standard language 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 is divided using the following subsections. Referenced materials should include working links and subsections with no related information marked “N/A” . The editable template include standard language for the beginning of this section.

* 1. **Related Policies:** List specific policies, or “N/A”
	2. **Related Procedures:** Listspecific procedures, or “N/A”
	3. **Related Forms:** List related forms, or “N/A”
	4. **Frequently Asked Questions:** List FAQs that assist the user to better understand the policy and provide answers to the most common questions; link to FAQs on another Brown website; or “N/A”
	5. **Other Related Information:** List other related information by title and source. Examples include: fee schedules, guidelines, industry standards, laws and regulations; or “N/A”
1. **Policy Owner and Contact**

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

* 1. **Policy Owner:** The Cabinet-level 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) must 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 this policy version was approved. Input “Pending Approval” here, and University Compliance will fill it in upon approval.

**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)*