|  |  |
| --- | --- |
| 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 | **Standard Operating Procedure**  **Template with Instructions** |

Administrative and academic units, departments, and schools establish Standard Operating Procedures (SOP)s applicable to their units to carry out Brown University policy and applicable laws and regulations. SOPs must not conflict with or supersede applicable federal and state laws, policies established by the Corporation, and/or the President, and/or [Cabinet members](https://www.brown.edu/about/administration/president/about/cabinet) acting in accordance with delegated authority from the President.

* Pages one through four of this document provide instructions for drafting an SOP.
* Pages five through six provide an editable template for writing an SOP.

**SOP Owner:**

SOPs may be owned by Operating Unit Officers and higher as defined by the [Delegation of Signature Authority for Contracts](https://ogc.brown.edu/sites/g/files/dprerj716/files/Contracts_Signature_Delegation_Updated_1-21-2020.pdf).

**Approval Authority:**

SOPs may be approved by Operating Unit Officers and higher as defined by the [Delegation of Signature Authority for Contracts](https://ogc.brown.edu/sites/g/files/dprerj716/files/Contracts_Signature_Delegation_Updated_1-21-2020.pdf). The following approval rules apply to all SOPs:

* All SOPs must be reviewed by University Compliance (UC) and assigned a number prior to establishment.
* SOPs which affect the substantive or procedural rights of individuals must also be submitted to the Office of General Counsel (OGC) for legal review prior to establishment.
* OGC or UC may recommend a higher level of approval based on the content of the SOP.
* The pertinent Cabinet member may require a higher level of approval based on the content of the SOP.
* If the office or department developing the SOP is unsure if it substantively affects individuals, it is their responsibility to seek guidance from OGC, UC and/or the pertinent Cabinet member.

**Format Overview:**

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 SOPs 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 format on page five
* **Margins:** Three quarters of an inch
* **Header/Footer:** Three quarters of an inch (footer may be adjusted for readability)
* **Appendices:** It is preferred to link to documents and forms, if required, label with a capital letter (e.g., A-Z)
* **Defined Terms:** Capitalize all defined terms used in the text (i.e., terms defined in section 3.0)
* **Hyperlinks:**
  + Hyperlink document references in the SOP text, only link the first reference in the text.
  + Hyperlink all documents, websites etc. listed in section 5.0 (even if linked in the SOP text)

For questions about SOP development or format instructions, please contact University Compliance at [browncompliance@brown.edu](mailto:browncompliance@brown.edu) or 401-863-1593.

**Detailed Instructions (Note: Editable Template is on page 5)**

**SOP 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 | **SOP Title** | SOP # Pending Approval |
| Effective Date: Pending Approval |

**SOP Title:** TheSOP Titleidentifies the purpose of the SOP 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.

**SOP Number:** The *SOP Number* is defined using the established SOP numbering system for identification, classification and ease of locating all procedures. University Compliance determines the SOP number. The SOP Number format and definitions are:

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

* SOP: Defines it as a standard operating procedure
* Related Policy Category: Identifies policy category related to this SOP (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 is normally 00.
* Sequential Number of this SOP: Each subcategory can have a number of associated SOPs which are identified in sequential number order based on SOP Effective or Issue date.

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

1. **Standard Operating Procedure (SOP) Purpose**

The SOP Purpose defines the rationale of the document. It should be no longer than one to four sentences and allow the user to quickly recognize what the document covers.

1. **SOP**

The SOP is a detailed description of the steps involved in a process. It should not include background and related information.

1. **Definitions**

The Definitions section lists unfamiliar or technical terms, and terms with special meaning that, when defined, add to the reader’s understanding of the SOP. They should be listed in alphabetical order. Capitalize terms defined in this section when used in the SOP 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 SOPs and policies. List Data Cookbook terms and definitions required to clarify the SOP in section 3.0 in addition to other key terms that add to the reader’s understanding of the SOP.

1. **Responsibilities**

The Responsibilities section identifies the positions/offices and their related responsibilities, which are necessary for the administration of, and compliance with, the SOP. It should include responsibilities for instituting, implementing, complying, monitoring and educating individuals on the SOP. 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 SOPs (unless OGC advised otherwise).

1. **Related Information**

The Related Information section is a list of specific information needed to understand and effectively execute the SOP. Related information may be internal or external to the University, but laws and regulations should not be listed unless OGC has recommended they be included.

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). Start this section with the following disclaimer:

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

* 1. **Related University Policies**: Lists specific policies by policy title, or “N/A” after the colon.
  2. **Related SOPs**: Lists specific SOPs by SOP title, or “N/A” after the colon.
  3. **Related Forms**: Lists related forms, or “N/A” after the colon.
  4. **Frequently Asked Questions (FAQs)**:Lists FAQs that assist the user to better understand the SOP 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. **SOP Owner and Contact**

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

* 1. **SOP Owner**: The position responsible for the SOP content and administration (*defined on page one of this template*).
  2. **SOP Approved by**:Theposition that approves the SOP (*defined on page one of this template*)
  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: List organizational email box rather than individual email if possible.
* Telephone: Full number (e.g., XXX-XXX-XXXX)

1. **SOP History**

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

* 1. **SOP Issue Date:** The oldest known approval date of the SOP; 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. **SOP Effective Date:** The date the SOP version was approved. This date is also the Effective Date in the SOP header. Input “Pending Approval” here.
  3. **SOP Update/Review Summary:** Abrief explanation of changes made during the SOP update/review. Examples include:
* No changes
* Updated SOP to comply with a policy change
* “N/A” for a new SOP

**Editable Template**

|  |  |  |
| --- | --- | --- |
| 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 | **SOP Title** | SOP Pending Approval |
| Effective Date: Pending Approval |

1. **Standard Operating Procedure (SOP) Purpose**

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

1. **SOP**

Note: *State the procedure(s) in this section. All paragraphs do not need to be numbered, numbers are for subsections. Use subsections if the SOP requires multiple sections for clarity. Always follow a subsection number by a title. Do not use more than four “levels” (i.e., no more than three decimal places), do not make additional subsections after level 2.#.#.#. Example*:

* 1. **Subsection title**
  2. **Additional subsection title, as required**
     1. **Subsection title**
     2. **Additional subsection title, as required**
        1. **Subsection title, as required**
  3. **Subsection title**

1. **Definitions**

For the purpose of this SOP, 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 SOP – if you have no definitions, input N/A and delete the above sentence, ex:***3.0 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 SOPs and policies. List Data Cookbook terms and definitions required to clarify the SOP in section 3.0 in addition to other key terms that add to the reader’s understanding of the SOP.*

1. **Responsibilities**

All individuals to whom this SOP applies are responsible for becoming familiar with and following this SOP. University supervisors are responsible for promoting the understanding of this SOP and for taking appropriate steps to help ensure compliance with it.

Note: *All SOPs 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 Office ABC:** Will process…

1. **Related Information**

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

* 1. **Related University Policies:** N/A, *or list as bullets below*,
* Policy title
* Policy title… list all that apply
  1. **Related SOPs:** N/A, *or list as bullets below*,
* SOP title
* [SOP title…list](https://it.brown.edu/computing-policies/policy-handling-brown-restricted-information/social-security-number-%E2%80%93-usage-and) all that apply
  1. **Related Forms:** N/A, *or list as bullets below*,
* Form title
* Form title…list all that apply
  1. **Frequently Asked Questions (FAQs):** 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…

1. **SOP Owner and Contact**
   1. **SOP Owner:** List title only, no name (*see page one for who can own a SOP*)
   2. **SOP Approved by:** List title only, no name (*see page one for who can approve a SOP)*
   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: List organizational email box rather than individual email if possible.
* Telephone: Full number (e.g., XXX-XXX-XXXX)

1. **SOP History**
   1. **SOP Issue Date:** *The oldest known approval date of the SOP; if unknown or a new SOP put:* Pending Approval*. Use Month DD, YYYY for all dates.*
   2. **SOP Effective Date:** Pending Approval
   3. **SOP Update/Review Summary:** Briefly document changes from last SOP or put “N/A” if there are no changes. Put “N/A” if it is a new SOP.