



Policy Structure Template

Establishing well-defined and easily accessible policies and procedures is a critical practice that benefits organizations across industries by promoting transparency, accountability, uniformity, and stability.

These templates can be saved to create your own, print out, or keep them on your computer filed under “critical things!” While these templates are entry-level, they will guide you into making detailed and precise procedures, tracking their progress efficiently, and keeping yourself organized.

Policy Template & Walk-Through

Developing a policy template is very important because it will prevent missing any key element when drafting a policy document. It has the added benefit of making the policy documents immediately recognizable to everyone. The following general policy structure is suggested for the development of organization policy and procedure documents:

1. Header Block

The header block should include several items, including but not necessarily limited to:

- a. the title of the policy document;
- b. identity of the department responsible for drafting, reviewing and enforcement of the policy;
- c. effective date of the policy;
- d. policy number;
- e. date of approval;
- f. identity of approval authority;
- g. whether it replaces or modifies and existing policy; and
- h. number of pages inclusive in the document.

The title should clearly identify the general topic of the policy and assist those who may be searching for guidance on the policy's topic area. It should also indicate whether the policy is replacing an existing policy and the last revision date.

All this information is critical to proper policy management. The effective dates of implementation and revisions must be maintained. If an issue arises, execution dates and applicable modifications are essential.

Attachment A: Policy Template

Organization Name:	Number:	Page X of X:
Department:	Approved By:	Title of Approver:
Section:	Signature of Approver:	
	Effective Date:	Approval Date:
Subject / Title:		

Policy Template & Walk-Through

2. Purpose of Policy

- The purpose statement outlines what the policy document is designed to achieve in a paragraph or two. When developing a policy document, begin with a statement of purpose that defines the intent and objectives of the policy.
- It should be relatively short and direct. It is suggested that it start with an active verb such as:
 - ◊ “To promote...”
 - ◊ “To comply...”
 - ◊ “To ensure...”
- Does it protect the organization from risk or ensure compliance with a program goal?
- In general terms, why is this policy required?

3. Scope

- The scope explains the document’s application range in terms of covered persons, programs, facilities, sites, etc.
- To what part of the organization does this policy apply? Is it organization-wide or targeting a particular program(s)?

4. Definitions

- In many cases, the terminology used requires an understanding and clarification to meet the intention of the policy document. These may be of a legal nature or specific to the organization or the type of work.
- Therefore, including definitions provides a clear understanding of key terms used in the policy document. It is advisable to cite the authority for the definitions being used.
- Include any jargon, acronyms, or descriptions used in the policy that are not fully explained in the text of the policy.

<<Term:>>	<<Definition:>>
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5. Guidelines & Procedures

- Procedures provide detailed procedural requirements, methods, and guidance on how covered persons are expected to act in accordance with the policy.

Policy Template & Walk-Through

6. Policy Statement

- Written in third-person, the policy statement should reflect the organization's primary objectives and a description of the general guiding principles or rules.

7. Related Policies

- Policies addressing similar or related issues must be linked to ensure consistency. Nothing is worse than having issues or incidents arise only to find that the written guidance on the subject is in conflict.
- Furthermore, including related documents provides additional documents that may be helpful to covered persons in complying with the policy.

8. References & Citations


- The references or citation section is used for legal and regulatory citations and government guidance documents, as well as citing internal organization documents.
- Suppose the policy document was in response to legal or regulatory authority. In that case, that authority should be noted along with a list of supporting and source documentation used to validate the policies and procedures.

9. Appendices

- As policies may be supported through procedures, guidelines, and forms, add/identify these documents at the end of the policy.

Policy Template Example

Attachment A: Policy Template

Organization Name: [Company Name]	Number: 00001234	Page X of X: 12 of 36
Department: Human Resources	Approved By: Martin Short	Title of Approver: Chief of Operations
Section: Organization	Signature of Approver: 	
	Effective Date: August 31, XXXX	Approval Date: July 2, XXXX
Subject / Title: Company Records		

Purpose: The purpose of this policy is to:

1. Ensure that company records are adequately protected and maintained in accordance with relevant regulatory and contractual requirements; and
2. Allow for effective administration, including the preservation of institutional and operational resources, and auditing.

Policy: All [Company Name] records shall be categorized, secured, and maintained in accordance with contractual, regulatory, and operational requirements. [Company Name] shall maintain records in a secure format as controlled by the follow processes.

Definitions:

<<Term:>>	<<Definition:>>
<<Term:>>	<<Definition:>>
<<Term:>>	<<Definition:>>
<<Term:>>	<<Definition:>>
<<Term:>>	<<Definition:>>

Policy Template Example

Procedure:

1. Minimum Record Retention Schedule: The Following Table outlines the minimum retention period for company documents by category type.

Record Description	Minimum Retention Period
Corporate Records and Documentation	
Item 1	Data here
Accounting & Finance <i>Break up your departments and segment out sections</i>	
Section 1	Data here
Section 2	Data here
Section 3	Data here
Section 4	Data here

Your table of procedures can be as long and granular as needed.

2. Destruction of Archived Records after minimum retention period: Only the President & CEO may authorize the destruction of organizational records and designate the responsible party for said actions in compliance with this policy and procedure.
3. Electronic Copies Permitted: It is the policy of [Company Name] to retain all company documents on a secure cloud-based file storage and retention platform (the document management system) in conformity with Administrative Policy XX, Data Management. Unless otherwise stipulated or required by regulation, contract, or generally accepted accounting and auditing practices, the secure retention of an electronic copy of any document shall suffice.

Related Policies

1. Any data that would pertain to a topic similar to your procedure would go here. Break them down to how it could pertain to a person's job duties to the correct way to go about implementing the procedure.

References & Citations

<<Reference:>>	<<Citations:>>
<<Reference:>>	<<Citations:>>