



The Compliant Company

DOCUMENT TYPE

DOCUMENT TITLE

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The Compliant Company

Showing how compliance can help run a better business

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I. Purpose

THIS IS A REQUIRED SECTION FOR EVERY DOCUMENT IN THE TCC DOCUMENTATION FRAMEWORK.

II. Scope

THIS IS A REQUIRED SECTION FOR EVERY DOCUMENT IN THE TCC DOCUMENTATION FRAMEWORK.

III. Background

THIS IS A REQUIRED SECTION FOR EVERY DOCUMENT IN THE TCC DOCUMENTATION FRAMEWORK THOUGH ITS LENGTH AND COMPLEXITY WILL VARY. THE CONTENT SHOULD ADDRESS THE CONTEXT AND APPROACH TO CREATING THIS DOCUMENT IN RELATION TO OTHERS IN THE TCC DOC FRAMEWORK.

IV. Core Policy Requirements

THIS SECTION IS THE PRIMARY "GUTS" OF THE DOCUMENT, AND IS A REQUIRED SECTION FOR EVERY DOCUMENT IN THE TCC DOC FRAMEWORK.

FOR POLICY DOCUMENTS:

YOU MUST NOT USE PASSIVE VOICE (e.g., "Something must happen") AND YOU MUST USE CLEAR STATEMENTS REQUIRING SOMEONE SPECIFIC (WHETHER INDIVIDUAL ROLE OR TEAM— DO NOT USE ACTUAL NAMES OF INDIVIDUALS) TO DO OR AVOID DOING SOMETHING SPECIFIC. YOU SHOULD AVOID USING SUGGESTED OR UNCLEAR ACTION WORDS (SUCH AS "SHOULD" OR "MAY") EXCEPT IN RARE CASES OF HELPING CLARIFY THE EXPLICITLY STATED POLICY COMMANDMENT/PROHIBITION.

PROCEDURES SHOULD USE DIRECT LANGUAGE AND ALSO AVOID PASSIVE VOICE.

WHERE POSSIBLE, EVEN THOUGH NOT EXPLICITLY CALLED OUT, PROCEDURAL STEPS SHOULD ADDRESS THE READER IN THE SECOND PERSON, WITH WHATEVER INTRODUCTORY INFORMATION IS NEEDED TO MAKE CLEAR WHO THE IMPLIED "YOU" IS IN THE PROCEDURE. FOR EXAMPLE, THE INTRO COULD SAY "THE FOLLOWING STEPS DESCRIBE THE REQUIRED ACTIONS TO BE PERFORMED BY THE PERSON IN THIS ROLE", AND THE STEPS WOULD INCLUDE LANGUAGE LIKE "1. DO THIS, 2. DO THAT, ETC.) AS OPPOSED TO DESCRIBING SOMETHING IN PASSIVE VOICE THAT RESULTS IN A LITERAL READING INDICATING ONLY THAT "SOMETHING HAPPENS".

THE HEADING 2 THAT FOLLOWS IS TO ILLUSTRATE HEADING 2 AND HEADING 3.

Heading 2

Heading 3

TRY TO LIMIT HEADING LEVELS BEYOND HEADING LEVEL 3

The quick brown fox jumps over the lazy dog. The quick brown fox jumps over the lazy dog.

The quick brown fox jumps over the lazy dog. The quick brown fox jumps over the lazy dog.

The quick brown fox jumps over the lazy dog. The quick brown fox jumps over the lazy dog.

V. Roles & Responsibilities

THIS SECTION IS REQUIRED IN ALL POLICY DOCUMENTS.

IT MAY BE INCLUDED IN PROCEDURE DOCUMENTS, HOWEVER SHOULD (IN MOST CASES) BE UNNECESSARY UNLESS THE PROCEDURES ARE LENGTHY AND THIS SECTION IS NEEDED TO "BULLET-POINT" SUMMARIZE. IN SUCH CASES THE LANGUAGE USED HERE MIGHT INDICATE THAT SOMEONE IN ROLE A "OVERSEES DAILY FUNCTIONS UNDER PROCEDURE XYZ" AND IN ROLE B "CARRIES OUT THE DAILY FUNCTIONS OF PROCEDURE XYZ".

ALL ROLES & RESPONSIBILITIES SECTIONS, WHEN THEY ARE PRESENT, SHOULD INCLUDE CLEAR RESPONSIBILITIES FOR CARRYING OUT ****ALL**** THE PROCEDURAL STEPS DOCUMENTED EARLIER IN THE DOCUMENT, OVERSEEING THAT WORK, MONITORING FOR COMPLIANCE, REPORTING ANOMALIES/INCIDENTS, APPROVING EXCEPTIONS, ETC.

USE THE FOLLOWING AS STARTING POINTS-MOST TCC DOCS THAT HAVE THIS SECTION WILL INCLUDE REFS LIKE THESE.

Appendix A – Table Type 1

APPENDICES WILL COMPLETELY VARY BY DOCUMENT-THESE ARE BEING PROVIDED TO SHOW THE FORMATTING FOR TABLES THAT MAY BE USED AS STARTING POINTS.

Column 1	Column 2

Appendix B – Table Type 2

Column 1	Column 2
MERGED DIVIDER COLUMN Description goes here	
MERGED DIVIDER COLUMN Description goes here	
MERGED DIVIDER COLUMN Description goes here	

Glossary

A GLOSSARY MAY NOT BE NEEDED FOR MOST INTERNAL DOCUMENTS OTHER THAN LARGE, GENERAL PURPOSE DOCUMENTS THAT MAY HAVE MULTIPLE AUDIENCES (SUCH AS ALL THE TCC CORE DOCUMENTS).

THIS CAN BE USED AS A STARTING POINT.

A

Apples are fruit.

B

Blackberries are, too.

Document Change History

MINOR REWRITES & FORMATTING CHANGES OR ERROR CORRECTIONS SHOULD BE DONE VIA A VERSION THAT INCREMENTS THE NUMBER TO THE RIGHT OF THE DECIMAL. WHOLE-NUMBER VERSIONS SHOULD BE RESERVED FOR MAJOR SUBSTANTIVE REWRITES OR ADDITIONS OF COMPLETELY NEW POLICIES AND PROCEDURES.

ON THE COVER PAGE OF THE DOCUMENT, "EFFECTIVE" DATE = THE ORIGINAL INITIAL PUBLICATION DATE OF V1.0 (WHICH SHOULD BE THE FIRST DATE IN THE HISTORY TABLE BELOW), THE "REVISED" DATE = THE DATE THE MOST RECENT REVISION IS BEING PUBLISHED AS APPROVED (WHICH SHOULD BE THE LAST DATE BELOW). THAT SAME VERSION NUMBER ALSO APPEARS UP FRONT. NO AUTHOR NAMES SHOULD APPEAR UP FRONT.

Version	Date	Action Taken	Action Taken By	Role
1.0	M.D.YYYY	Initial document [AND WHATEVER CONTENT IN APPENDIX] creation	NAME	Writer
1.0	M.D.YYYY	Approved	NAME	Approver