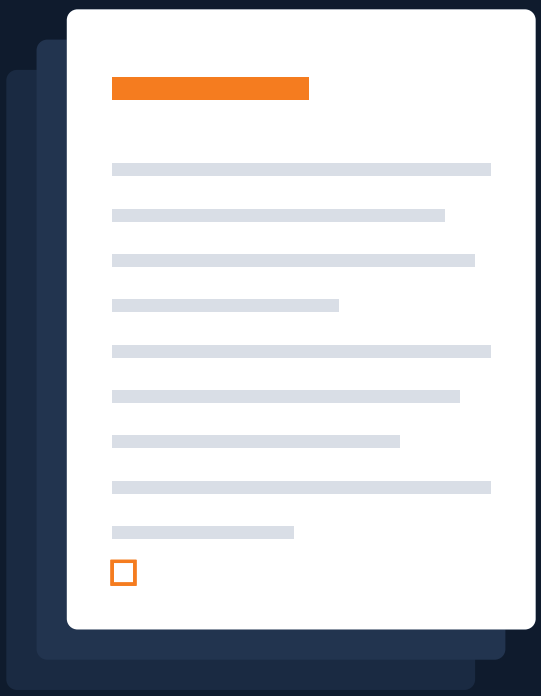
Documentation
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FREE TEMPLATE

BUSINESS DOCUMENTS

Policy & Procedure Toolkit

Connects each high-level policy rule to the exact procedure steps, owners and evidence needed to follow it.

INTENDED AUDIENCE

Compliance, HR, Finance and department leads

TYPICAL USE CASE

Regulatory, financial and HR policies that need a matching how-to

About this template

A policy says what must happen and why; a procedure says how. This toolkit keeps both in one controlled document so nothing falls between them: every policy statement maps to the procedure that fulfils it, the role that owns it, and the record that proves it was done. Use it when auditors or regulators will ask you to show, not just state, how a rule is followed.

Detail	
Intended audience	Compliance, HR, Finance and department leads
Typical use case	Regulatory, financial and HR policies that need a matching how-to

How to use it

- Replace every *[grey bracketed placeholder]* with your own details.
- Delete the orange **Guidance** boxes and green **Example** boxes before you publish or circulate it.
- Add or remove table rows as needed; keep the section order so readers can find things quickly.

Document Control

Toolkit title		**Document no.**	
Version		**Policy owner**	
Procedure owner		**Approved by**	
Effective date		**Next review date**	

Version	Date	Author	Summary of changes
[1.0]	*[DD/MM/YYYY]*	*[Name]*	*[Initial release]*

01 Policy Summary

GUIDANCE State the policy in plain language: what it requires and why it exists. Link the full policy if it lives elsewhere.

Policy name	*[e.g. Expense Reimbursement Policy]*
Policy no.	
Purpose	*[Why this policy exists]*
Applies to	*[Employees, contractors, departments]*
Regulation / standard	*[e.g. Labor Code, tax rules, ISO clause]*

EXAMPLE Purpose: to make sure business expenses are reimbursed fairly, on time, and only with valid receipts, so the company meets tax record-keeping rules.

02 Policy Statements

GUIDANCE Number each rule. Use 'must' for mandatory and 'should' for recommended. Each statement will map to a procedure below.

#	Policy statement
P1	*[Employees must submit expense claims within 30 days of purchase.]*
P2	
P3	
P4	
P5	

03 Policy-to-Procedure Map

GUIDANCE The core of the toolkit. Every policy statement needs a procedure, an owner and evidence. Gaps here are audit findings waiting to happen.

Policy #	Procedure / step that fulfils it	Owner	Evidence / record	Frequency
P1	*[Procedure 1, step 2]*	*[Role]*	*[Expense system log]*	*[Per claim]*

04 Roles & Responsibilities

Role	Policy responsibilities	Procedure responsibilities
[Policy owner]	*[Maintains and interprets the policy]*	*[Approves procedure changes]*
[Manager]		
[Employee]		
[HR / Finance / Compliance]		

05 Procedure 1: [Name]

GUIDANCE *Copy this section for each procedure. Number steps, start with a verb, and reference the policy statement each step satisfies.*

#	Step	Who	Policy #	Output
1	*[Verb + action]*	*[Role]*	[P1]	*[Record]*
2				
3				
4				
5				

06 Procedure 2: [Name]

#	Step	Who	Policy #	Output
1				
2				
3				
4				

07 Forms & Templates

GUIDANCE *List every form people need to follow the procedures.*

Form	Used in	Location / link
[Expense claim form]	*[Procedure 1]*	*[Link]*

08 Exceptions & Approvals

GUIDANCE *Explain how to request an exception, who approves it, and how it is recorded.*

How to request	
Approver by level	
Maximum duration	
Exception log location	

Date	Requested by	Policy #	Reason	Approved by	Expires

09 Compliance Monitoring

GUIDANCE *Describe how you check the policy is being followed between audits.*

Check	Method	Frequency	Owner	Report to
[Sample 10 claims for receipts]	*[Spot audit]*	*[Monthly]*	*[Finance lead]*	*[CFO]*

10 Non-Compliance & Consequences

- [First instance: coaching and documented reminder]
- [Repeat: formal warning per HR disciplinary policy]
- [Serious breach: escalate to HR / Legal]

11 Communication & Training

Audience	How they learn the policy	When	Acknowledgement
[All staff]	*[Intranet + briefing]*	*[On release and at induction]*	*[E-signature]*

12 Employee Acknowledgement

GUIDANCE *Have each person confirm they have read the policy and procedures.*

Employee name	Department	Signature	Date

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