

ESSENTIAL ITEMS IN A REGULATORY COMPLIANCE PLAN

1	DETERMINE YOUR LEADER	Who within your organization will be ultimately responsible for regulatory compliance? This person is also responsible for obtaining and managing the resources to appropriately maintain compliance with regulations.
2	SET STANDARDS	Establish your organization's standards, policies and procedures around regulatory compliance.
3	COMMUNICATE WELL	Establish how you will effectively communicate with your employees and others about your compliance work
4	TRAIN	Provide regular and effective training for everyone in your organization on how your organization will remain compliant with all regulations.
5	MONITOR	Perform regular auditing and monitoring of how well your organization is following the practices and standards for effective regulatory compliance.
6	DISCIPLINE WHEN NEEDED	Your organization must discipline employees who don't follow standards, or don't effectively do the work required to remain compliant with regulations.
7	IMPROVE	Establish a process to identify areas where you may be having issues with regulatory compliance, or your program is not as effective as it needs to be.

REGULATORY COMPLIANCE PLAN ESSENTIAL ITEMS

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