

REGULATORY COMPLIANCE POLICY

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ORGANIZATION NAME

POLICY NO.	DATE ADOPTED	AUTHORIZED BY

POLICY CONTEXT This policy relates to:

PURPOSE

Why do we have a Regulatory Compliance Policy?

SCOPE

To whom does the policy apply? Are there limits or conditions on how the policy applies?

POLICY STATEMENT

Ex.: To comply with all regulatory and legislative requirements that govern our work

SPECIFIC ACTIONS

List the specific actions your organization commits to taking to maintain regulatory compliance

PROCEDURES

Detail your organization's procedures to implement its regulatory compliance. These may include:

- Identifying which employees and/or departments are responsible for assessing regulatory requirements and monitoring changes
- Identifying how your organization will monitor and respond to changes in requirements
- Identifying how your organization will review and approve any changes made in your compliance practices

RELATED POLICIES AND PROCEDURES

RELATED POLICY / PROCEDURE DOCUMENT NAME	ACCESS LOCATION / LINK

REVIEW PROCESS

POLICY REVIEW PROCESS DESCRIPTION	
POLICY REVIEW FREQUENCY	
WHO IS RESPONSIBLE FOR POLICY REVIEW?	
WHO IS RESPONSIBLE FOR APPROVAL?	
DOCUMENTATION PROCESS	
COMMUNICATION PROCESS	



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