

Corporate Compliance Forms and Tools

Sample Policy Template

Corporate Compliance

Policy Title: [ADD TITLE]	Compliance Policies and Procedures
Policy #: [NUMBER]	Category: Compliance and Ethics
Corporate Approval Date: [DATE] Local Site Implementation Date: [DATE]	Effective Date: [COPY FROM PREVIOUS VERSION (if applicable)] Last Reviewed/Approved: [LAST APPROVAL DATE]
Policy Owner: [DEPARTMENT NAME OR POSITION TITLE]	Notations:

Scope:

Purpose:

Policy:

Definitions:

Policy Section 1:

Policy Section 2:

Responsibilities:

Procedures:

References to Regulations and Other Related Policies:

Attachments and Work Tools:

Forms:

Footer:

Standardized Versioning History:

Instructions for Completing the Template

1. The approved font is [fill in standard font and type size used for policies].
 2. All fields within the template need to be completed. If there is no information for that section, input N/A.
 3. Policy Title: Name of Policy.
 4. Policy Number: All new policy numbers are assigned by Corporate Compliance Office; existing policy numbers are carried over with policy revisions.
 5. Corporate Approval Date: Date approved by Compliance Committee.
 6. Local Site Implementation Date: This date is the date the policy is implemented at the local facility or site.
 7. Effective Date: Date policy first effective.
 8. Last Reviewed/Approved: Date of the last time the policy was confirmed and/or updated.
 9. Policy Owner: Name of person/committee/department that prepared the policy.
 10. Notations: Note any policy or policies merged into current version and/or policies to be archived and any other applicable notations, including sites/departments where policy may not be applicable.
 11. Scope: Clearly state to whom the policy applies and those to whom it may not apply, if any.
 12. Purpose: Overview/intent of the policy.
 13. Definitions: The definitions of any terms specific to this policy.
 14. Policy: The specific policy statements as stated in the regulations or defined by the policy owner.
 15. Responsibilities: Details of the specific responsibilities of persons within the organization by role (e.g., the responsibility of the policy owner, the compliance officer, other employees).
 16. Procedures: An outline of any specific steps/items to be followed or performed in implementing this specific policy.
 17. References to Regulations and Other Related Policies: A listing of the actual regulation, including regulatory agency and regulation number and/or policy number where applicable. These are listed only as necessary. Do not link to any other policy directly. If you are referring to another company policy, include a link to the internal system or site where the policy is available. Include a listing of clinical documents that have either background information or have a direct connection to the policy. These are listed only as necessary.
 18. Attachments and Work Tools: Include any flow charts, decision trees, or other work tools that aid in understanding of the policy.
 19. Forms: List all forms/numbers referenced in the policy. Include internal link to forms as applicable.
 20. Footer: The Footer will include the policy number; the latest approval date; “page X of Y,” with Y being the total number of pages; and the versioning history.
 21. Standardized Versioning History: Within the footer, include previous system approval dates.
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22. All previously approved/older versions must be stored in the policy management system.

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