Compliance Program Roadmap

This roadmap is intended to provide an estimate for the sequence and timing of Compliance Program implementation activities over a 9 month + period.

	Kick Off	Month 1-2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Future/Ongoing
Planning / Strategy	Gather Compliance Documentation/ Interview Key Staff	Develop Compliance Program Outline & Roadmap	Present Compliance Program Roadmap						Provide Final Compliance Program Documentation	Establish Third-party Oversight & Monitoring
Risk Assessment				Begin Annual Risk Assessment (Tool)	Develop Annual Risk Management Plan					
Policies & Procedures		Perform Gap Analysis		Draft New/Modify Policies & Procedures			Seek Approval for Policies & Procedures	Distribute/Publish Policies & Procedures		
Oversight & Responsibility			Complete Draft Compliance Program Document	Designate Compliance Officer & Committee	Compliance Department Resources, Reporting & Relationships		Implement Oversight & Responsibility Changes			
Training & Education						Develop Compliance Training Criteria	Develop Compliance Training Tools		Provide Compliance Program Training	
Lines of Communication				Establish Compliance Communication Plan			Implement Communication Plan			
Enforcement & Discipline				Review Enforcement & Discipline Standards		Modify Standards As Necessary		Implement New Standards		
Auditing & Monitoring				Review Auditing & Monitoring Standards		Modify Standards As Necessary		Implement New Standards		
Response & Prevention				Review Reponse & Prevention Standards		Modify Standards As Necessary		Implement New Standards		