Review and Continuous Improvement: Compliance Plan

1. Purpose

This document outlines the processes and measures for the regular review and continuous improvement of the Compliance Plan, ensuring ongoing alignment with legal requirements, best practices, and organizational objectives.

2. Scope

This compliance review procedure applies to all employees, departments, and activities covered under the organization's compliance program.

3. Review Schedule

Frequency	Responsible Party	Method
Annually	Compliance Officer	Formal Review Meeting, Compliance Audit
Ongoing	Department Heads	Reporting & Monitoring, Feedback Collection

4. Review Process

- Assess current compliance controls, processes, and procedures.
- Collect feedback from stakeholders and staff.
- Identify legal or regulatory changes affecting compliance requirements.
- Analyze incidents, breaches, or near misses for root causes and trends.
- Document findings, gaps, and opportunities for improvement.

5. Continuous Improvement Actions

- Develop action plans to address identified gaps.
- Update policies and procedures as necessary.
- Implement training and awareness programs relevant to updates.
- Monitor effectiveness of improvements and track action completion.
- Maintain records of reviews, recommendations, and implemented changes.

6. Documentation and Record Keeping

All review outcomes, decisions, and actions must be documented. Records should be retained and accessible for auditing and reference.

7. Roles and Responsibilities

- **Compliance Officer:** Lead reviews, coordinate improvement activities, ensure documentation.

- **Management:** Support compliance initiatives, allocate resources, ensure department adherence.

- **Staff:** Participate in feedback, training, and any required process changes.

Important Notes

- This document should be reviewed and approved by senior management.

- Regular staff training is essential to maintain a culture of compliance.

- Continuous improvement depends on accurate incident and feedback reporting.

- Legal and regulatory changes must be monitored proactively.

- Ensure document version control and update history is maintained.