POLICIES, PROCEDURES, AND WORK INSTRUCTIONS….
OH MY!

PRESENTER:
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LEARNING OBJECTIVES

• Why do I need a compliance management system?
• Define the differences between a policy, procedure, and work instruction (PPWI).
• Apply easy to use outlines and structure for the documentation process.
• Identify which business processes to include within your company’s compliance management system.
• Telling your company’s story through the PPWI documentation process.
WHICH COMMUNICATION PROCESS WORKS BEST FOR YOU...LONG TERM?
ADAPT AND EMBRACE CHANGE

- Action
- Changes
- Things
REGULATORY LAWS ARE HERE TO STAY...AND SO IS YOUR BUSINESS
ORGANIZING AND STRUCTURING YOUR ALPHABET SOUP
TRUE OR FALSE…COMPANY SIZE MATTERS?
PREVENTIVE AND DETECTIVE CONTROLS WITHIN YOUR AGENCY’S INFRASTRUCTURE
TWO AREAS OF CONTROL
SIX PERTINENT CATEGORIES OF CONTROL

TYPE 1: PREVENTIVE

TYPE 2: DETECTIVE
BOARD MANAGEMENT AND OVERSIGHT

THE SINGLE BIGGEST PROBLEM IN COMMUNICATION IS THE ILLUSION THAT IT HAS TAKEN PLACE.

PLAYWRIGHT: GEORGE BERNARD SHAW; BORN IN DUBLIN, COUNTY DUBLIN.
POLICIES, PROCEDURES, AND WORK INSTRUCTIONS
TRAINING
MONITOR AND CORRECTIVE ACTIONS
CUSTOMER COMPLAINT TRACKING AND TIMELY FOLLOW UP
AUDITS
MANAGING AND MEASURING RISK

- High
- Medium
- Low
SORTING RISK

High
Medium
Low
“SWEET SIXTEEN” AREAS OF COMPLIANCE FOCUS

- Management Responsibility
- Documentation
- Client Related Processes
- Document and Data Control
- Vendor/Purchase Related Processes
- Client/Consumer Supplied Data
- Identification Assigned to Client/Consumer Data
- Process Flow Controls of all Departments
- Inspection, Testing, and Test Status of Processes
- Non Conformities/Corrective/Preventive Actions
- Management Storage of Records and Data
- Internal Monitoring and Audits
- Training
- Consumer Complaint Intake, Review, and Response
- External Audits
- Information Technology Measurements/Data Security/Data Integrity

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GETTING STARTED: GENERAL RULES OF THUMB

- Keep specific names off the written page.
- Use titles of job function or department responsible for managing the job function.
- Store and archive obsolete PPWI’s.
- Make current PPWI’s accessible to everyone.
- Use dates and version numbers to track changes and most current document.
- Think in terms of answering “WWWWWH” questions.
POLICIES
POLICY TEMPLATE

- Title
- Scope
- Reference Documents
- Policy
- Responsibilities
- Management or Department’s Responsible
- Additional Procedures to Support Policy
PROCEDURE TEMPLATE

- Title
- Purpose
- Scope
- Departments Responsible for Implementing
- General Information to Support Procedure
- Procedure Steps
- Records
- Forms
- Definitions
- References
WORK INSTRUCTION TEMPLATE

- Title
- Description
- Scope
- System Used
- Department or Title Responsible
- Frequency
- References
- Steps
HOW MANY PPWI’S DO I NEED FOR MY COMPANY’S COMPLIANCE MANAGEMENT SYSTEM?

- Organization Charts =1
- Process Flow Charts= 4-6
- Management Reviews = 2-3
- Credit/Collection Process = 32
- Document/Data Control= 2-3
- Client/Vendor Purchasing= 2
- Monitoring/Auditing=4-6
- Data Identification=2-3
- Computer Programs/System Details=3-7
- Monitoring/Auditing=4
- Human Resources=2-3

- Scripts=2-5
- Inspection/Testing of Data=2-3
- Disaster Recovery Plan=1
- Third Party Contracts=2-3
- Internal/External Measurements=2
- IT Data Security/Integrity=2-5
- Call Recording=1
- Compensation Policies=1
- Correspondences=2-3
- Credit Reporting=1
KEEP IN MIND

• Your PPWI has to be integrated into your day to day business activities—a living, real time process
• Promote, support, and incorporate “top down bottom up” communication throughout the entire company
• Aligned with your business operations
• Key controls-Prevent, Detect, Correct
• Measurable through KPI’s, audits, monitoring
THANK YOU…FOR ADDITIONAL INFORMATION CONTACT:

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