

TRANSACTION PATHWAY

Regulatory Liaison Meeting Preparation Pathway

OCTOBER 2023



We have spent a lot of time working with regulators, and we've learned by experience that being prepared is the best way to ensure a successful meeting. We've set out here the Stages and Tasks that will help prepare you for meetings, and then successfully close out any action points that arise from those meetings.

You might also want to refer to our articles and e-books on regulatory liaison. Just type in Regulatory Liaison into the search button to find them easily.

STAGE	TASKS	TASK FORMS	TASK DOCUMENTS
Plan Regulatory Liaison Meeting Dates	<ul style="list-style-type: none"> ➤ Set Regulatory Liaison Meeting Dates for the year ➤ Set topic coverage for the year 		
Regulatory Liaison Meeting Agenda	<ul style="list-style-type: none"> ➤ Agree Agenda with Regulatory Lead ➤ Create Regulatory Liaison Meeting Agenda 	<ul style="list-style-type: none"> ➤ Regulatory Liaison Meeting Agenda Form ➤ Regulatory Liaison Meeting Agenda Document 	<ul style="list-style-type: none"> ➤ Regulatory Liaison Meeting Agenda Document
Regulatory Liaison Pack Preparation	<ul style="list-style-type: none"> ➤ Set timetable for preparation of Regulatory Liaison Pack ➤ Agree circulation date for Regulatory Liaison Pack ➤ Checklist of items to include in Regulatory Liaison packs ➤ Create 2-page summary template ➤ Request documents/updates required ➤ Review and confirm updates ➤ Agree who will attend meeting ➤ Compile Regulatory Liaison Pack ➤ Regulatory Liaison Meeting Minutes-prepare draft minutes 	<ul style="list-style-type: none"> ➤ Regulatory Liaison Pack checklist form ➤ Executive Summary Template ➤ Draft Minutes for Meeting 	<ul style="list-style-type: none"> ➤ Executive Summary Template ➤ Regulatory Liaison Meeting Minutes Template

STAGE	TASKS	TASK FORMS	TASK DOCUMENTS
	➤ Circulate Regulatory Liaison Pack in advance of the meeting		
Regulatory Liaison Meeting	<ul style="list-style-type: none"> ➤ Appoint Minute Taker ➤ Track action points ➤ Regulatory Liaison Meeting Minutes-prepare draft minutes 	<ul style="list-style-type: none"> ➤ Action Point Tracker Document ➤ Regulatory Liaison Meeting Minutes Template 	<ul style="list-style-type: none"> ➤ Action Point Tracker template ➤ Regulatory Liaison Meeting Minutes Template
Post Meeting Follow up	<ul style="list-style-type: none"> ➤ Circulate Draft Regulatory Liaison Minutes for Review ➤ Add draft Minutes to Agenda for approval at next Regulatory Liaison Meeting ➤ Circulate Action points ➤ Track action points ➤ Regulatory Liaison Meeting Minutes – Final 		

Regulatory Liaison pack checklist form

1. Regulatory Liaison Meeting Agenda
2. Minutes of the previous meeting (for approval)
3. Regulatory Liaison reports.
4. Items of important Regulatory Liaison correspondence.