

Compliance Risk Assessments – An Introduction

Appendix 1. Sample Compliance Risk Assessment Survey

Note to readers: This template could be used for a compliance risk assessment survey. Customization of this template is necessary to better reflect business needs.

Step I: Identify Present Controls

This step is designed to identify *present* policies, education/training, and procedures that are in place now to ensure compliance with the above-stated law. (Example—compliance with wage and hour laws). Please answer as clearly and concisely as possible; the goal is to provide full and open disclosure of our present practices. This step is not to place blame; this step is designed to identify present controls.

Written Policy

- Does [your biz name] have a *written policy* in place to ensure compliance with the above-stated law? ☐ Y ☐ N ☐ N/A

If yes:

- Name of policy: _____
- Policy description: _____

Training

- Does [your biz name] have *training* to ensure compliance with the above-stated law? ☐ Y ☐ N ☐ N/A

If yes:

- Describe training:

 - Who is trained? _____
 - Is the training mandatory? ☐ Y ☐ N
 - How is completion of training documented?

 - How is the training conducted? ☐ Informal (on-the-job training) ☐ Formal ☐ Both
 - How often is training conducted?

-

- How is completion of training documented?

- Is there any independent verification of training? ☐ Y ☐ N

If yes:

- Identify how training is independently verified:

- Provide education/training information not provided above:

Compliance Procedures

- Does [your biz name] have *procedures* to ensure compliance with the above-stated law? ☐ Y ☐ N ☐ N/A

If yes:

- Name of procedures:

- Describe procedures:

Disclosure

- Is disclosure/filing a report (either internal or external) required? ☐ Y ☐ N ☐ N/A

If yes:

- Describe disclosure/report to be filed:

- How often must reports be filed? (once, yearly, etc.)

- Who files the report?

- Is there an independent review before it is filed? ☐ Y ☐ N

If yes:

- Identify who independently reviews:

- Identify how the report is independently reviewed:

- Provide disclosure/filing information not provided above:

Data Collection

- Is data collection required by law? ☐ Y ☐ N ☐ N/A

If yes:

- Describe data collected:

- List person who collects data:

- How often is the data collected? (once, yearly, etc.)

- Is there any independent review of the data? ☐ Y ☐ N

If yes:

- Identify who independently reviews:

- Identify how data is independently reviewed:

- Provide data collection information not provided above:

Physical Inspection

- Is a physical inspection required by law? ☐ Y ☐ N ☐ N/A

If yes:

- Describe inspection:

- Who does the inspection?

- How often do inspections take place? (once, yearly, etc.)

- Is there an independent review of the inspection or the results of the inspection? ☐ Y ☐ N

If yes:

- Identify who:

- Describe extent of independent review:

- Provide inspection information not provided above:

Operational Control

- What other operational controls exist to ensure compliance with the law?

- Provide other operational controls—be specific:

This document is only available to subscribers. Please log in or purchase access.

[Purchase](#) [Login](#)