

# Compliance Risk Assessments – An Introduction

## Appendix 1. Sample Compliance Risk Assessment Survey

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*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?  
\_\_\_\_\_
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- How is completion of training documented?

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

If yes:

- Identify how training is independently verified:

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- Provide education/training information not provided above:

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## 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:

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- Describe procedures:

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## Disclosure

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

If yes:

- Describe disclosure/report to be filed:

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

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- Who files the report?

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

If yes:

- Identify who independently reviews:

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- Identify how the report is independently reviewed:

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- Provide disclosure/filing information not provided above:

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## Data Collection

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

If yes:

- Describe data collected:

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- List person who collects data:

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

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

If yes:

- Identify who independently reviews:

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- Identify how data is independently reviewed:

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- Provide data collection information not provided above:

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## 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?

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- Provide other operational controls—be specific:

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