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:
      ___________________________________________________
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:

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