

Compliance Today – January 2023



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Improve the compliance officer's relationships through the compliance risk assessment

by Catherine Boerner

Risk assessment can strengthen the compliance officer's relationship with operational directors and managers. This process can build trust in a nonconfrontational, proactive, safe environment. This is a good process for the compliance officer to communicate—in person and during interviews—that compliance is here to partner with operations to assist in improving compliance. This is not a “gotcha” exercise or even an audit. This is an opportunity for managers and directors to communicate improvements to controls that would assist them, including additional education if needed and/or clearer policies and procedures. This is also a chance for compliance officers to communicate about the hotline if directors and managers feel the need to be anonymous after the meeting with any specific operational concerns that compromise compliance with laws and regulations.

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