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**Regulatory Compliance Review Survey**

**Purpose:**This survey evaluates the organization’s readiness to comply with industry regulations and identifies areas requiring improvement to mitigate compliance risks.

**Regulatory Awareness**

1. **Are all relevant regulatory requirements for this year identified and documented?**☐ Yes  
   ☐ No  
   ☐ In Progress
2. **Are there any significant changes in regulations that could impact the organization this year?**☐ Yes  
   ☐ No **If yes, please describe:**
3. **Do all relevant teams understand the regulatory requirements applicable to their roles?**☐ Yes  
   ☐ No  
   ☐ Somewhat

**Compliance Processes**

1. **Are compliance policies and procedures up-to-date and aligned with regulatory requirements?**☐ Yes  
   ☐ No  
   ☐ In Progress
2. **How effective is the organization’s current process for monitoring regulatory compliance?**☐ Very Ineffective  
   ☐ Ineffective  
   ☐ Neutral  
   ☐ Effective  
   ☐ Very Effective
3. **Are there sufficient controls in place to ensure compliance with regulations?**☐ Strongly Disagree  
   ☐ Disagree  
   ☐ Neutral  
   ☐ Agree  
   ☐ Strongly Agree

**Risk Management**

1. **Have potential compliance risks been identified and documented for this year?**☐ Yes  
   ☐ No  
   ☐ In Progress
2. **How confident are you in the organization’s ability to mitigate compliance risks?**☐ Not Confident  
   ☐ Slightly Confident  
   ☐ Neutral  
   ☐ Confident  
   ☐ Very Confident
3. **Are there specific regulatory areas where the organization is most at risk of non-compliance?**☐ Yes  
   ☐ No **If yes, please specify:**

**Training and Awareness**

1. **Have employees received training on new regulatory requirements for this year?**☐ Yes  
   ☐ No  
   ☐ Training Scheduled
2. **How effective are the organization’s compliance training programs?**☐ Very Ineffective  
   ☐ Ineffective  
   ☐ Neutral  
   ☐ Effective  
   ☐ Very Effective
3. **Are additional training resources needed to improve regulatory compliance awareness?**☐ Yes  
   ☐ No **If yes, please describe:**

**Future Planning**

1. **What compliance priorities should the organization focus on this year?**
2. **Are there any gaps in compliance resources or tools that need to be addressed?  
   ☐ Yes  
   ☐ No  
   If yes, please specify:**
3. **What additional steps can the organization take to strengthen its compliance framework?**

**Instructions for Completion:**

* This survey is intended for compliance officers, department heads, and other stakeholders responsible for regulatory compliance.
* Please provide detailed feedback to help improve the organization’s compliance processes and reduce risks.
* Responses will guide action plans for addressing compliance gaps and ensuring regulatory readiness.

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