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**Compliance & Regulatory Risk Assessment Survey**

**Purpose:**This survey evaluates the organization's exposure to regulatory risks and assesses the effectiveness of compliance strategies to mitigate potential issues.

**Regulatory Awareness**

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

**Compliance Processes**

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

**Risk Assessment**

1. **What are the top three regulatory risks facing the organization this year?**
2. **How confident are you that the organization can address identified regulatory risks?**☐ Not Confident  
   ☐ Slightly Confident  
   ☐ Neutral  
   ☐ Confident  
   ☐ Very Confident
3. **Are there any recurring compliance issues that need immediate attention?**☐ Yes  
   ☐ No **If yes, please describe:**

**Training and Awareness**

1. **Have employees received adequate training on compliance and regulatory risks 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 awareness of regulatory risks?**☐ Yes  
   ☐ No **If yes, please specify:**

**Future Planning**

1. **What steps should the organization take to improve its compliance framework this year?**
2. **Are there any tools or systems needed to enhance regulatory risk management?**☐ Yes  
   ☐ No **If yes, please describe:**
3. **Is there anything else you would like to share about the organization’s compliance and regulatory risk management?**

**Instructions for Completion:**

* This survey is intended for compliance officers, legal teams, and department heads responsible for managing regulatory risks.
* Please provide detailed feedback to identify gaps and ensure compliance throughout the year.
* Responses will guide updates to the compliance framework and risk mitigation strategies.

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