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**Incident Management and Reporting Survey**

**Purpose:**This survey evaluates the organization’s processes for identifying, managing, and reporting compliance incidents, ensuring quick response and adherence to regulatory requirements.

**Incident Identification**

1. **How effective is the current process for identifying compliance-related incidents?**☐ Very Ineffective  
   ☐ Ineffective  
   ☐ Neutral  
   ☐ Effective  
   ☐ Very Effective
2. **Are employees aware of how to report compliance-related incidents?**☐ Yes  
   ☐ No  
   ☐ Somewhat
3. **Have there been any compliance-related incidents reported in the past year?**☐ Yes  
   ☐ No **If yes, please describe the nature of the incidents:**

**Incident Response**

1. **Does the organization have a defined protocol for responding to compliance-related incidents?**☐ Yes  
   ☐ No  
   ☐ In Progress
2. **How quickly are compliance incidents typically addressed after being reported?**☐ Very Slowly  
   ☐ Slowly  
   ☐ Neutral  
   ☐ Quickly  
   ☐ Very Quickly
3. **Are employees involved in the incident response process adequately trained?**☐ Yes  
   ☐ No  
   ☐ Somewhat

**Incident Reporting**

1. **Are compliance-related incidents consistently documented and tracked?**☐ Yes  
   ☐ No  
   ☐ In Progress
2. **How transparent is the incident reporting process within the organization?**☐ Not Transparent  
   ☐ Slightly Transparent  
   ☐ Neutral  
   ☐ Transparent  
   ☐ Very Transparent
3. **Are there any gaps in the organization’s incident reporting process?**☐ Yes  
   ☐ No **If yes, please describe:**

**Compliance and Risk Management**

1. **How effective is the organization at learning from past incidents to prevent recurrence?**☐ Very Ineffective  
   ☐ Ineffective  
   ☐ Neutral  
   ☐ Effective  
   ☐ Very Effective
2. **Do you feel the organization has adequate resources to manage and report compliance incidents?**☐ Yes  
   ☐ No **If no, please specify:**
3. **Are there any recurring compliance issues that need immediate attention?**☐ Yes  
   ☐ No **If yes, please describe:**

**Future Planning**

1. **What improvements can be made to the incident management and reporting process?**
2. **Are additional tools, resources, or training needed to enhance incident management?**☐ Yes  
   ☐ No **If yes, please specify:**
3. **Is there anything else you would like to share about the organization’s approach to incident management and reporting?**

**Instructions for Completion:**

* This survey is intended for compliance teams, risk managers, and department heads responsible for incident management and reporting.
* Please provide detailed feedback to help improve the organization’s incident management processes.
* Responses will guide improvements to protocols, tools, and training initiatives.

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