

Critical Function Assessment Standard Module | Compliance

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Global Legal Solutions™



Part A | Compliance Line

TOPIC	ENQUIRY	QUESTION BREAKDOWN	PURPOSE	INCLUDE IN SURVEY
COMPLIANCE LINE				
COMPLIANCE LINE – GROUP COMPLIANCE POLICY (F/R)				
1.	Is there a separate compliance team / function (distinct to finance / legal)?	• (Y/N)	• Is compliance recognized as separate team?	• Yes ☐ No ☐ Caution ☐
2.	Does the legal department have responsibility for the compliance function of your Org?	• (Y/N)	• Is legal & compliance separate?	• Yes ☐ No ☐ Caution ☐
3.	If so, is compliance covered by the GLP or is it a standalone document?	• (Y/N)	• Does it have formal GLP mandate?	• Yes ☐ No ☐ Caution ☐
4.	If it is a standalone document, please provide a copy of resource URL.	• Free text	• Locate Org compliance policy	• Yes ☐ No ☐ Caution ☐
COMPLIANCE LINE – COMPLIANCE DEPT. MANDATE (R)				
5.	Who has overall responsibility for Compliance within the company?	• Free Text	• Ownership of compliance	• Yes ☐ No ☐ Caution ☐
6.	Does your IHL have an official "compliance dept mandate" (i.e. clear scope of authority)?	• (Y/N)	• Is your IHL properly mandate	• Yes ☐ No ☐ Caution ☐
7.	If "Y", has this mandate been board approved?	• (Y/N)	• Effective policy must be board endorsed	• Yes ☐ No ☐ Caution ☐
8.	If "Y", please provide a copy of location URL.	• Free Text	• Access primary policy document	• Yes ☐ No ☐ Caution ☐
9.	If "Y", rate the following statements between 1-5: - Your compliance team is support by a "clear tone from the top" - Our senior managers are visibly active in our compliance initiatives - Our department mandate is clearly stated is the dept. mandate? - The mandate accurately describes what the legal team is responsible for. - The compliance team's job would be easier if the business clearly understood our mandate & authority. - The compliance team's mandate reflects the job that we are actually doing. - The authority of the compliance team is clear to the rest of the business. - We lack and clearly defined mandate. - We have a mandate but don't have the authority to fulfil it.	• (where 1 is "strongly disagree" and 5 is "strongly agree")	• Assessment of mandate adequacy	• Yes ☐ No ☐ Caution ☐
10.	If "N" to 25, please list areas where you feel improvement is required. (e.g. lack of detail, insufficient autonomy, imprecise role, etc)	• Free Text	• Pinpoint deficiencies in mandate	• Yes ☐ No ☐ Caution ☐
11.	In 2 mins/paragraphs describe your compliance team's formal operating remit?	• Free Text	• Testing existence of clear mandate/purpose • Is there a clear sense of functional purpose?	• Yes ☐ No ☐ Caution ☐
12.	Rate this statement: [Org] proactively invests in corporate controls, governance and compliance before any incidents occur	• (where 1 is "strongly disagree" and 5 is "strongly agree")	• High level assessment of Org's attitude towards compliance	• Yes ☐ No ☐ Caution ☐