

Critical Function Assessment Standard Module | Compliance

2021 Edition v.1.1 | Private & Confidential



Global Legal Solutions™



Part A | General Counsel Line

TOPIC	ENQUIRY	QUESTION BREAKDOWN	PURPOSE	INCLUDE IN SURVEY
MANAGEMENT INFORMATION				
1.	What management information do you need to be providing at GC?	• Free Text	• What management data do you need	• Yes ☐ No ☐ Caution ☐
2.	What management information are you collecting?	• Free Text	• Source of management data	• Yes ☐ No ☐ Caution ☐
3.	How efficiently are you able to obtain this information?	• (Rate 1-5)	• Availability of critical information	• Yes ☐ No ☐ Caution ☐
4.	Are you able to get management information efficiently from one or more of your dept. systems?	• (Rate 1-5)	• System generation of info	• Yes ☐ No ☐ Caution ☐
5.	Who do you, as the GC, report to?	• Free Text	• Assessing GC reporting line	• Yes ☐ No ☐ Caution ☐
6.	Who reports directly into the GC?	• Free Text	• Assessing GC reporting line	• Yes ☐ No ☐ Caution ☐
7.	Do the following functions report to the GC: • Compliance • Co. Sec • Government Relations / Regulatory Affairs • Risk Management / Insurance • Privacy • Human Resources • Other	• (Y/N)	• Assessing Functional reports to the GC	• Yes ☐ No ☐ Caution ☐
8.	Have you identified the most critical information streams within the Org?	• (Y/N)	• Extent of organisational understanding	• Yes ☐ No ☐ Caution ☐
9.	Should lawyers be on a solid or dotted line reporting relationship to the GC in the HQ?	• (Y/N)	• Testing reporting line adequacy	• Yes ☐ No ☐ Caution ☐
COMMUNICATIONS				
10.	What change management experience have you had?	• (Rate 1-5)	• Does legal head need support – change management being critical	• Yes ☐ No ☐ Caution ☐
11.	How frequently are you communicating, for the purposes of team updates, with the following: • Your associate General Counsels / Country General Counsels? • Your entire global legal team?	• Weekly • Monthly • Quarterly	• Frequency of GC initiated team comms	• Yes ☐ No ☐ Caution ☐
12.	Do you think some external change management support would be useful in relation to your overall IHL strategy and/or transformation plans?	• (Y/N)	• Support for external support	• Yes ☐ No ☐ Caution ☐
13.	Have you created discussions groups for your IHL team on the internal messaging platform?	• (Y/N)	• Encouraging internal dialogue via messaging	• Yes ☐ No ☐ Caution ☐
14.	Is there an official program management office in your Org?	• (Y/N)	• Is CM support available internally?	• Yes ☐ No ☐ Caution ☐
15.	If "Y", please provided details.	• Free Text	•	• Yes ☐ No ☐ Caution ☐
16.	Rate the following statements (1-5) • We perform regular (at least quarterly) reporting on legal work for each business unit to the relevant executives. • We create regular (at least quarterly) reports on organization-level work for the board and senior executives. • We engage in systemized communication with all stakeholders through legal project management • Within the IHL, we have regular and systematic sharing of information about current work and resourcing	• (Rate 1-5)	• Quant analysis of GC communications protocols	• Yes ☐ No ☐ Caution ☐