

Critical Function Assessment Standard Module | Human Capital

2021 Edition v.1.1 | Private & Confidential



Part A | Human Capital Line

1. GROUP LEGAL POLICY STATION

TOPIC	ENQUIRY	QUESTION FORMAT	PURPOSE	INCLUDE IN SURVEY
HUMAN CAPITAL LINE - GROUP LEGAL POLICY (F/R)				
1.	Do you have a Group Legal Policy document / manual?	• (Y/N)	• Do you have critical dept. mandate fulfilment policy guidance?	• Yes ☐ No ☐ Caution ☒
2.	If "Y" to 1, please provide a copy or URL location(s) (Note: relevant policies may be not be consolidated into a single manual.)	• Free Text	• Access primary source	• Yes ☐ No ☐ Caution ☐
3.	If "Y", when was the last time your GLP was systematically updated?	(Multiple Choice) • A) Within the last 6 months • B) Within last 6 to 12 months • C) 24 months or more • D) Never	• Live policy asset - maintenance status	• Yes ☐ No ☐ Caution ☐
4.	Does your GLP include chapters on: litigation management?	• (Y/N)	• Testing presence of key policy chapters	• Yes ☐ No ☐ Caution ☐
5.	If "Y", please provide a copy or URL location.	• Free Text	• Access primary source	• Yes ☐ No ☐ Caution ☐
6.	Does your GLP include chapters on: systems & data management?*	• (Y/N)	• Testing presence of key policy chapters	• Yes ☐ No ☐ Caution ☐
7.	* User Note: consider calling out specific policy modules relevant the client. Note, specific call outs are not meant to be an exhaustive view of policy areas. If "Y", please provide a copy or URL location.	• (Y/N)	• Access primary source	• Yes ☐ No ☐ Caution ☐
8.	Does your GLP include chapters on: regulatory / compliance risk?	• (Y/N)	• Testing presence of key policy chapters	• Yes ☐ No ☐ Caution ☐
9.	If "Y", please provide a copy or URL location.	• Free Text	• Access primary source	• Yes ☐ No ☐ Caution ☐
10.	Does your GLP include chapters on: corporate governance	• (Y/N)	• Testing presence of key policy chapters	• Yes ☐ No ☐ Caution ☐
11.	If "Y", please provide a copy or URL location.	• Free Text	• Access primary source	• Yes ☐ No ☐ Caution ☐
12.	Does your GLP include chapters on: contracting with third parties?	• (Y/N)	• Testing presence of key policy chapters	• Yes ☐ No ☐ Caution ☐
13.	If "Y", please provide a copy or URL location.	• Free Text	• Access primary source	• Yes ☐ No ☐ Caution ☐
14.	Does your GLP include chapters on: delegations of authority?	• (Y/N)	• Testing presence of key policy chapters	• Yes ☐ No ☐ Caution ☐
15.	If "Y", please provide a copy or URL location.	• Free Text	• Access primary source	• Yes ☐ No ☐ Caution ☐
16.	What key items of legal department policy do you believe are currently missing?	• Free Text	• Testing legal procedural adequacy	• Yes ☐ No ☐ Caution ☐
17.	Please identify any 3 + areas where you believe legal dept policy needs to be improved?	• Free Text	• Backdoor test on policy adequacy • Illicit coal face improvement suggestions	• Yes ☐ No ☐ Caution ☐
18.	Do you think our Group Legal Policy is useful? **"Useful" meaning that it provides clear guidance on what your IHL must achieve for all major legal team activities.	• (Y/N)	• Opinion on policy adequacy.	• Yes ☐ No ☐ Caution ☐
19.	If "N" to Q.18, what areas do you think require improvement? (e.g. – policy gaps, policy improvement requirements)	• Free Text	• Backdoor test on policy adequacy • Illicit coal face improvement suggestions	• Yes ☐ No ☐ Caution ☐
20.	Rate the following statements between 1-5:	• (where 1 is "strongly disagree" and 5 is "strongly agree")	Quant assessment of policy adequacy	• Yes ☐ No ☐ Caution ☐