

Compliance Risk Assessment Questionnaire 2019

Interviewee:

Title:

Interviewer:

Date of Interview:

- 1. What are your key areas of concern for 2019 fiscal year?**
- 2. What are your key processes, functions and/or controls that are subject to frequent breakdowns or at the greatest risk of breaking down?**
- 3. What are the most important things you are working on and how could they fail?**
- 4. What is your process for monitoring issues and how that information is reported? What is your method for distributing new regulations or policy changes?**
- 5. What is the process for training the department on internal/external requirements? What is the process for developing and updating the department policies and procedures and verifying they are being accurately implemented?**
- 6. Is there anything you foresee coming down the road (mergers, acquisitions, JV, etc.)?**
- 7. Other areas of comment or concern?**