

Existing compliance programs

Concepts: An organisation's management of its full range of regulatory and legal obligations is usually achieved through a number of specific programs. These may include programs such as trade practices compliance, funds management compliance and occupational health and safety. There may be opportunities to leverage off these programs.

Key questions:

- | | |
|---|---|
| 1 | Does the organisation have any other compliance and/or risk management programs? |
| 2 | Does the organisation already have some knowledge and expertise in compliance and/or risk management? |
| 3 | Are there opportunities to integrate with existing programs and/or systems? |

Data sources: Plan how you will collect your information. Who will you ask? How will you ask questions? Questionnaires, surveys, key member interviews, group interviews, etc.

Data: Summarise the outputs of your data collection.