

### Purpose

This worksheet is provided as an aid to reflect upon the processes your organisation uses and what you can do to make your AML/CTF program more effective.

### Directions

Consider the questions below that relate to compliance and audit functions. Detail any observations or deficiencies that may lead to modifications of your AML/CTF program.

1. What procedures do you have in place to monitor compliance and identify, remedy and record any non-compliance with the AML/CTF legislation?

2. How will changes to AML/CTF legislation be monitored?

3. How and by whom will your AML/CTF program be independently reviewed?

4. What safeguards do you have in place to remedy shortcomings and update your AML/CTF program based on the outcome of your answers to the above three questions?