**Compliance Risk Assessment Questionnaire**

**Interviewee:**

**Title:**

**Interviewer:**

**Date of Interview:**

1. **What are your key areas of concern for the next 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?**