Name
Compliance Activities Inventory - Date

	General Information			Code of Conduct or Standards		Compliance Program	
Name of Location	Interview Group	Interviewees	Date Interview Conducted	Defined Code of Conduct	If yes, please provide copy	Is there a compliance program in place - Yes/No	Are all functions addressed in compliance program? Yes//No
location X							
locataion X1							

Communication Process			Risk Assessment			Program Effectiveness		Compliance Activities Reporting	
Process for reporting of regulatory risks - Yes/No	Describe process for reporting	Formal Document Yes/No	Has a risk assessment been conducted? Yes/No	Is yes, what type of risk assessment?	Date of assessment	Has a compliance program assessment been conducted? Yes/No	If yes, date of assessment	Regular Report of Compliance Activities Yes/No	If yes, date of most recent report

Compliance-Related Training (Gen'l & Job Specific)				Audit and Monitoring Activities				
Does compliance related training occur per specific job functions - Yes/No	If so, describe process for conducting and documenting attendance	Does general compliance program training occur - Yes/No	Date of most recent training	Does compliance-related monitoring occur	Describe the process for developing and reporting	Does compliance-related audits occur (either internal or external)	If yes, please describe process for identifying scope of audits and how reported	Audit results follow up and improvement activities

Investigations		Governance Reporting	
Investigations	If yes, what type and what is the process	Communication Process - from entity to Regents	Comments