

**Compliance**

Strategic Plan

**Company Name:** Business name goes here **Prepared by:** Name goes here **Date: Jan 1, 2031**

**Overview**

**Scope and Purpose Compliance Objectives Risk Assessment Training and Awareness Monitoring and Audit**

**Scope and Purpose**

Set the foundation of your compliance strategy and explain why it exists. This section is crucial for keeping stakeholders and management aligned, as well as ensuring all personnel involved in the strategy understand the compliance program’s reach and rationale.

|  |  |
| --- | --- |
| **Purpose**  | **Goals**  |
| **Explain why your compliance strategy should be implemented. Keep your explanation brief and try to provide concrete examples.**  | Strategy goal here  |
| Strategy goal here  |
| Strategy goal here  |
| Strategy goal here  |
|  **Scope**  |
| **Indicate what your compliance strategy covers. These can include departments within the company, existing processes, or other parts of the business.**  | Use this section to provide details.  |
| **Department or process here**  | Use this section to provide details. |
| **Department or process here**  | Use this section to provide details. |

**Compliance Objectives**

Outline what your

**Canva tip**

Tweak this table!

Select **⋯ (More)** to add, delete, or merge cells.

Select **Border** and **Table Spacing** in the toolbar to make further changes.

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| **Compliance Objectives**  |

Outline what your compliance strategy hopes to achieve. In the table provided below, list its main objectives and their respective key performance indicators.

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| --- | --- |
|  **Objective**  |  **KPI**  |
| **Objective or goal here**  | Key performance indicator here  |
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#  Risk Assessment

Identify potential risks or complications that could arise during the implementation of your compliance strategy. Discuss how these risks might affect the execution and overall success of the strategy.

**Risk goes here**

Categorize each identiﬁed risk (ﬁnancial, operational, legal, etc.) and outline approaches for mitigating or overcoming them.

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**Canva tip**

**Columns** are great for this type of content. Recreate this by selecting ＋ **(Add magic)**, then choosing **Columns**.

#  Training and Awareness

Outline training programs and ensure personnel and stakeholders are aware of their obligations in building a compliant and responsible organizational culture.

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| **Program here**  |
| **Purpose**  | **Scope**  |
| **Provide a brief description of your program and indicate its purpose.**  | Team, department, or personnel here  |
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**Program here**

#  Monitoring and Audit

Evaluate the effectiveness of your compliance strategy and ensure adherence to legal, regulatory, and internal requirements.

**Canva tip**

Select ＋ **(Add magic)** and choose **Dropdown** to add a list of options to your Docs.

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| --- | --- |
| **Monitoring activity here**  | Add a brief description of the monitoring or audit activity here.  |
| **Coverage**  | **Period**  | **Method**  | **Status**  |
| Team, department, or personnel here  | Jan 30, 2030 to Feb 28, 2030  | Method of audit here (expense reports, spot checks, etc.)  | Open  |
| Team, department, or personnel here  | Jan 30, 2030 to Feb 28, 2030  | Method of audit here (expense reports, spot checks, etc.)  | In progress  |
| Team, department, or personnel here  | Jan 30, 2030 to Feb 28, 2030  | Method of audit here (expense reports, spot checks, etc.)  | Closed  |
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