

ROI Compliance Assessment™ by Warburton Advisers

ROI COMPLIANCE ASSESSMENT

A Warburton ROI Assessment helps Compliance Officers develop better measures to test program effectiveness and performance, so they can adopt a more effective program that curbs improper behavior and supports business needs including growth, development and stability.

WHY IS ROI IMPORTANT?

For compliance programs to have impact, they should be tested for what works and what doesn't. We expect a business to be able to measure performance and a return on investment (ROI). Likewise, companies should seek a ROI on compliance efforts in order to continuously improve compliance performance and help ensure the compliance program is mitigating risks as intended.

WHY DO COMPLIANCE OFFICERS NEED A ROI ASSESSMENT?

Every Compliance Officer should have the benefit of a ROI to support

1. An annual compliance report and identify blind-spots
2. Budget plans and projections in order to advocate for resources
3. Development, influence and recognition of unrealized value to the business

WHAT IS A ROI ASSESSMENT?

A ROI Assessment is a targeted independent test of your compliance program to assess whether it is meeting regulatory requirements and to score its effectiveness as compared to the investment in the program. The assessment is designed to

- Meet targeted independent testing requirements
- Develop or refine effectiveness metrics
- Identify areas where investment is needed
- Uncover unreported value to the business

TOP BENEFITS

- Improve compliance performance and quantify value to the business
 - Meet regulatory testing requirements
 - Quantify value to the business
 - Develop effectiveness metrics for regulators and management
- Create sustainable reporting framework to support budget allocations

ROI ASSESSMENT • 3 PHASES IN 30 DAYS

COACHING | TESTING & VALIDATION | METRICS & ANALYSIS

PHASE 1

Gather Stakeholder Perspective:
Interview key Compliance team members and/or business partners as needed

PHASE 2

Analyze program: Review previous compliance reports, annual testing, client and regulatory matters

Study Documentation: Review compliance policies, systems inventory and risk assessments

PHASE 3

Prepare Recommendations: Design or refine metrics dashboard reporting, value assessments, budget justification and gap analysis

SCHEDULE YOUR ROI ASSESSMENT TODAY!

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