

Process	Sub-Process	What (Objective)	Why (Risk or Exposure)	RETURN TO MENU	How (Applicable Controls)	Control Number
M Regulatory & Governmental Compliance	M1 Laws and Regulations	Management actively identifies laws and regulations applicable to the County and County programs.	The County fails to have policies, procedures and practices in place to comply with laws and regulations.		On a periodic basis, management actively identifies laws and regulations applicable to the County and County programs.	M1-1.1.1
		Sufficient knowledge to comply with laws and regulations exists.	Although the County may have policies, procedures and practices in place they are not sufficient to comply with laws and regulations.		Management has or has access to individuals who have a detailed understanding of identified laws & regulations, and the associated compliance requirements. This understanding is adequately documented.	M1-2.1.1
		Management and other become and remain current on applicable laws and regulations.	County policies, procedures and practices become outdated and are not sufficient to comply with laws and regulations.		Management and others receive sufficient, periodic (at least annually), formal training to become and remain current on applicable laws and regulations.	M1-3.1.1
		Compliance controls are monitored and results are communicated.	Instances of non-compliance may go unnoted.		On a periodic basis Management reviews controls and the results from the controls. Control performance is communicated to senior management.	M1-4.1.1
		Non-compliance is identified and corrected timely (Management takes corrective action when instances of noncompliance are identified).	Instances of non-compliance may go uncorrected.		Management takes timely action on all instances of non-compliance to ensure program / grant requirements are met. Compliance deadlines are set and followed-up.	M1-5.1.1