

Compliance Action Plan

The following template should be used for Compliance Action Plans to be submitted to the Risk and Compliance Officer and for ultimate input to Riskware. Each area of noncompliance should be addressed in a separate Action Plan. For obligation breaches where Policy Recommendations were issued, actions should address all agreed Policy matters. For non-

In summary, the three main information columns (Actions, Responsibility, and Resource) should indicate the following information:

- x Actions column

