

KEY

****Managed Compliance** entails ongoing ****monitoring** and assessment of information relating to every practice

***Information** = routine inspection, new practice inspection, intelligence from various sources, accountants reports, thematic reviews, Annual Regulatory Return, ...

***Enquiries** = making enquiries of practices, third parties, clients etc.

***Investigations** arise when we have any intelligence that there is or may be non-compliance. The practice is added to the watchlist and progress is tracked by the monitoring team.

