



THE SYSTEM CFO SERIES
HINDOL DATTA

FREE ASSESSMENT

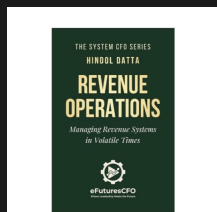
PILLAR 3: TACTICAL OPERATIONS | TOOLKIT #21 OF 37

THE REGULATORY COMPLIANCE FRAMEWORK DIAGNOSTIC

*Building a Compliance Architecture
That Scales with Your Business*

20-Question Diagnostic | 5-Page Assessment

Score Your Organization 1-5 Across Four Dimensions
Identify Gaps and Build Your Action Plan



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Where Leadership Meets the Future

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QUESTIONS 1-5

Section A: Compliance Landscape Mapping

Do You Know All Your Regulatory Obligations — or Just the Obvious Ones?

Regulatory compliance is an expanding landscape. New laws, new interpretations, new enforcement priorities, and new jurisdictions create obligations that many finance organizations discover only when they receive a notice or fail an examination. The System CFO builds a comprehensive compliance map that identifies every obligation, assigns ownership, tracks deadlines, and monitors for changes proactively.

A. COMPLIANCE LANDSCAPE MAPPING

1	A comprehensive compliance register exists — listing every regulatory obligation (tax filings, statutory reports, licenses, permits, data privacy, industry-specific rules) with	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
2	Compliance obligations are monitored for changes — the organization has a process (internal monitoring, external advisor, automated service) to identify new regulations or	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
3	Multi-jurisdictional requirements are mapped — for organizations operating across states or countries, compliance obligations are documented for each jurisdiction with	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
4	Industry-specific regulations are identified and tracked — beyond general business compliance, sector-specific requirements (FDA, FCC, HIPAA, PCI-DSS, SOX) are inventoried	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
5	The compliance map is updated at least annually — or triggered by business changes such as new jurisdictions, new product lines, acquisitions, or changes in headcount that cross	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best

SECTION A SCORE: Total: ____ / 25 Average: ____ / 5



QUESTIONS 6-10

Section B: Compliance Process and Controls

Are Your Compliance Processes Systematic — or Dependent on Individual Memory?

Compliance failures rarely stem from intentional disregard — they stem from process gaps. A filing missed because the person who always handled it left the company. A requirement overlooked because no one monitored for the regulation change. A deadline breached because the calendar reminder was set in the wrong person's inbox. The System CFO builds compliance processes that are system-dependent, not person-dependent.

B. COMPLIANCE PROCESS AND CONTROLS

6	Compliance tasks have documented procedures — each regulatory filing or reporting requirement has a step-by-step procedure that enables any qualified person to complete it. not iust the	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
7	A compliance calendar drives deadlines — automated reminders trigger preparation activities with sufficient lead time, and escalation alerts fire if deadlines approach without	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
8	Compliance controls include review and approval — filings and regulatory submissions are reviewed by someone other than the preparer before submission. with documented sign-off and	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
9	Compliance training is provided to relevant personnel — team members who handle regulated activities receive training on applicable requirements and certivf their understanding	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
10	Exceptions and near-misses are tracked — any compliance deadline that was almost missed, any filing that required amendment, or any regulatory inquiry is logged and analyzed	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best

SECTION B SCORE: Total: ____ / 25 Average: ____ / 5

QUESTIONS 11-15

Section C: Data Privacy and Information Security Compliance

Are You Prepared for the Data Privacy Obligations That Come with Financial Data?

Financial data is among the most sensitive information an organization handles. Customer payment data, employee compensation data, investor information, and transaction records all carry regulatory obligations under frameworks like GDPR, CCPA, PCI-DSS, and SOC 2. The System CFO ensures that the finance function's data handling practices comply with these requirements — because a data breach in financial systems carries both regulatory penalties and catastrophic reputational damage.

C. DATA PRIVACY AND INFORMATION SECURITY COMPLIANCE

11	Data privacy obligations are mapped for financial data — the organization knows which privacy regulations (GDPR, CCPA, state privacy laws) apply to the financial data it collects.	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
12	Financial data access is controlled and audited — access to sensitive financial information is restricted based on role requirements, and access logs are reviewed periodically for	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
13	Payment card data handling complies with PCI-DSS — if the organization processes, stores, or transmits cardholder data, it maintains PCI compliance with regular self-assessments or	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
14	Data retention and destruction policies exist for financial records — the organization retains records for the required statutory and regulatory periods and securely destroys them	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
15	The organization has a data breach response plan that includes financial data — with notification procedures, regulatory reporting requirements, and remediation steps defined for	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best

SECTION C SCORE: Total: ____ / 25 Average: ____ / 5



QUESTIONS 16-20

Section D: Compliance Governance and Board Oversight

Does Leadership Have Visibility into Compliance Risk — and Is Someone Accountable?

Compliance governance requires executive ownership, board visibility, and a culture that treats regulatory adherence as a business imperative rather than a bureaucratic burden. The System CFO positions compliance as a strategic capability — organizations that manage regulatory requirements well gain competitive advantage through faster market entry, reduced risk, and enhanced stakeholder trust.

D. COMPLIANCE GOVERNANCE AND BOARD OVERSIGHT

16	Compliance has a named executive owner — one person is accountable for the overall compliance program, with authority to escalate issues, allocate resources, and require	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
17	The board receives quarterly compliance updates — covering the status of key regulatory obligations, any findings or incidents, changes in the regulatory landscape, and the	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
18	Compliance risk assessments are conducted annually — rating each regulatory area by likelihood and impact of non-compliance, and using the assessment to prioritize compliance	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
19	External compliance expertise is engaged appropriately — the organization retains qualified advisors (legal, tax, regulatory specialists) for complex compliance questions	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best
20	The organization's compliance culture reinforces proactive behavior — employees understand their compliance responsibilities, know how to escalate concerns, and are	1 Non-Ex	2 Ad Hoc	3 Dev	4 Estab	5 Best

SECTION D SCORE: Total: ____ / 25 Average: ____ / 5

OVERALL ASSESSMENT SCORE
 Section A: ____ / 25 Section B: ____ / 25 Section C: ____ / 25 Section D: ____ / 25 TOTAL: ____ / 100 AVG: ____ / 5

GAP TO GOAL

Gap-to-Goal Action Plan

Bridging the Gap — Regulatory Compliance Framework Diagnostic

Transfer your five lowest-scoring questions. For each gap, define the target state, specific actions, owner, timeline, and success metric. Focus on highest-impact gaps first.

GAP #	Q REF	CURRENT	TARGET	SPECIFIC ACTION TO CLOSE GAP	OWNER	DEADLINE	METRIC
1	Q__	___/5	___/5	_____	_____	_____	_____
2	Q__	___/5	___/5	_____	_____	_____	_____
3	Q__	___/5	___/5	_____	_____	_____	_____
4	Q__	___/5	___/5	_____	_____	_____	_____
5	Q__	___/5	___/5	_____	_____	_____	_____

ASSESSMENT SUMMARY

Completed by: _____ Date: _____

Overall average score: ___ / 5 Items scored 1-2 (critical): ___

Items scored 3 (developing): ___ Items scored 4-5 (strong): ___

Top strength: _____

Most critical gap: _____

One action this week: _____

READY TO GO DEEPER?

This free assessment identified your gaps. The Premium System CFO Toolkits provide the frameworks, templates, and action plans to close them. Visit EfuturesCFO.com





READY TO GO DEEPER?

This Assessment Identified the Gaps. The Premium Toolkit Closes Them.

PREMIUM: The Organizational Finance Assessment Kit (46 Pages)

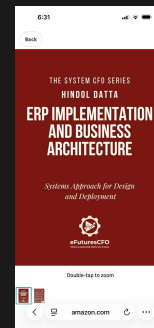
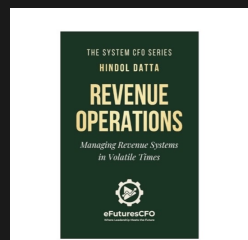
The full premium assessment kit includes comprehensive diagnostics across 16 finance domains including regulatory compliance, with 300+ evaluation items, maturity scoring frameworks, and detailed remediation planning templates covering every aspect of the finance

*Plus: Access the ^{function} Super Exclusive 46-Page
System CFO Organizational Finance Assessment Kit*

ABOUT THE AUTHOR

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