

Case Study

Risks, Opportunities and Compliance Assessment Report

The Client:	Not-for-profit organisation, located in Perth (WA)
When:	2017
Type of assignment:	Pro-bono

BT Compliance has been engaged by the Client to assess operational risks and opportunities for the organisation, as well as compliance with legal requirements.

Given the fact that the Client's organisation is predominantly run by volunteers, it was agreed to choose categories for complying and non-complying observations that would non-confrontational. As a result, the assessment report identified various:

- *Strengths,*
- *Non-optional Opportunities for Improvement* (major, medium and minor),
- *Optional Opportunities for Improvement, and*
- *Recommendations*

The scope of the assessment was based on the most important business activities of the organisation, which were confirmed by analysing the income and expense statements of the previous financial year. Consequently the following legal documents were selected:

- Associations Incorporation Act 2015 (WA)
- Australian Charities and Not-for-profits Commission Act 2012 (Commonwealth)
- Working with Children (Criminal Record Checking) Act 2004 (WA)

The activities undertaken to conduct the assessment included:

- reviewing publicly available information from the organisation's website
- discussions and email correspondence
- interviews
- remote, judgement-based document review