

Category

Consulting

Risk, Compliance & Regulatory Consulting Playbook

Delivering compliance consulting that genuinely reduces risk, not just produces an audit-ready paper trail

- Practitioner
 - Advanced
 - Template Included
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 - 23 January 2023
 - 4 minute(s)

Overview

A framework for risk, compliance, and regulatory consulting engagements that verify genuine operational adherence to recommended controls — not just documentation that would satisfy an audit — since a paper-compliant but operationally unfollowed control provides little real risk reduction.

Isn't producing audit-ready documentation the actual deliverable

clients want from compliance consulting? Documentation matters for audit purposes, but if the underlying controls aren't genuinely followed operationally, the documentation provides false comfort — a gap that eventually surfaces, often at the worst possible time (during an actual incident or a more rigorous audit).

How do you verify genuine operational adherence versus just

documented process? Through direct observation and spot-checking of actual practice against documented controls, not just reviewing whether policy documents exist — covered in the framework below.

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