

Compliance-Oriented Loss Incident Report

1. Incident Identification

Report Reference Number:

Date of Report:

_____ Time: _____

Reported By (Name & Designation):

2. Incident Details

Date & Time of Incident:

Location of Incident:

Type of Loss:

_____ Severity: _____

Description of Incident:

Entities & Individuals Involved:

3. Impact Assessment

Estimated Loss (Financial/Other):

Affected Processes/Services:

4. Root Cause Analysis

Preliminary Root Cause:

5. Actions Taken

Immediate Actions & Mitigations:

Long-term Preventive Measures:

6. Reporting & Escalation

Notified Parties/Authorities:

Further Actions Required (Yes/No):

7. Declaration

Reported By:

Date: _____

Reviewed By:

Date: _____

- This document should be filled out as soon as a loss incident is detected.
- All details must be accurately recorded to ensure compliance and facilitate investigation.
- Confidentiality must be maintained when handling sensitive information in the report.
- Submit the completed report to the compliance or risk management team per organizational policy.
- Any incomplete or false reporting may result in disciplinary action.