

Regulation Compliance Audit Report

Document Information

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1. Objective

To assess and document the compliance status of the organization with respect to targeted regulations and standards.

2. Scope

This audit covers all relevant business processes and operational units as applicable under Regulation XYZ-123.

3. Audit Summary

Regulation/Clause	Description	Status	Remarks/Action Required
XYZ-123-01	Employee Data Protection	Compliant	-
XYZ-123-05	Risk Assessment Procedures	Partially Compliant	Update risk register quarterly
XYZ-123-09	Incident Reporting Timelines	Non-Compliant	Implement incident notification SOP

4. Recommendations

- Develop and implement a formal incident notification procedure.
- Schedule regular reviews of the risk register.
- Conduct staff awareness training on data protection policies.

5. Conclusion

The audit identified areas of both compliance and non-compliance. Immediate attention to specific non-compliant clauses is recommended to ensure full regulatory alignment.

Important Notes

- Maintain up-to-date records of all compliance audits for reference and regulatory review.
- Clearly document all identified non-compliance issues and track corrective actions.

- This document may require periodic updates based on regulatory changes.
- Always verify source regulations to ensure audit criteria remain relevant.