

Risk-Based Compliance Register

Document Details

Organization	Sample Company Ltd.	Date	2024-07-10
Document Owner	Compliance Manager	Reviewed By	Head of Risk

Compliance Register

#	Compliance Obligation	Source/Reference	Risk Description	Inherent Risk Rating	Controls in Place	Residual Risk Rating	Compliance Owner	Status	Review Date
1	Data Privacy Compliance	GDPR Art. 5	Unauthorised data access	High	Encryption, access control policies	Medium	IT Manager	Compliant	2024-06-01
2	Anti-Money Laundering	AML Act 2017	Lack of transaction monitoring	Medium	Automated screening, staff training	Low	Risk Officer	Compliant	2024-05-15
3	Workplace Safety	OSHA Sec. 6	Risk of injury at worksite	Medium	Safety drills, protective gear	Low	Facilities Manager	Partially compliant	2024-06-20

Important Notes

- This register should be updated regularly to reflect changes in obligations, risks, and controls.
- Proper documentation of controls and risk ratings ensures effective risk management and audit trails.
- Assign clear ownership for each compliance obligation to ensure accountability.
- Status should be reviewed and updated after audits, regulatory changes, or significant incidents.