

Regulatory Compliance Assessment Template

1. General Information

Assessment Title	
Date	
Department/Unit	
Assessor(s)	
Scope of Assessment	

2. Regulatory Framework

Applicable Law/Regulation	Description	Reference

3. Compliance Assessment

Requirement	Status (Compliant/Non-Compliant/Partial)	Evidence/Observation	Remarks

4. Identified Gaps & Mitigation Actions

Gap	Risk Level	Proposed Action	Responsible Person	Target Date

5. Conclusion & Summary

6. Approval

Name	Position	Signature	Date

Important Notes:

- This document should be reviewed and updated regularly as regulations change.
- All evidence and sources must be clearly documented and maintained.
- Consult with legal and compliance experts for any uncertainties.
- This assessment does not constitute legal advice, but supports compliance processes.
- Ensure confidentiality of sensitive information recorded herein.