

Risk Evaluation and Compliance Assessment Checklist

Document Information

Project / Process Name:	<div></div>	Date:	<div></div>
Department:	<div></div>	Assessor:	<div></div>

Risk Evaluation

Risk Description	Likelihood (Low/Med/High)	Impact (Low/Med/High)	Existing Controls	Further Action Needed
<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
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Compliance Assessment

Requirement	Compliant	Non-Compliant	Notes / Evidence
Adherence to regulatory policies	<div></div>	<div></div>	<div></div>
Data privacy measures implemented	<div></div>	<div></div>	<div></div>
Effective risk mitigation in place	<div></div>	<div></div>	<div></div>
Staff training documented	<div></div>	<div></div>	<div></div>

Summary and Recommendations

Key Findings:	<div></div>
Recommendations:	<div></div>
Follow-up Actions:	<div></div>

Important Notes:

- This checklist is a template and should be tailored to match specific risks and compliance standards of your organization.
- Ensure regular reviews and updates to align with evolving regulations and business practices.
- Document all findings accurately and support them with relevant evidence where possible.
- Engage key stakeholders during the assessment process for comprehensive risk identification.
- Maintain this document as part of your ongoing governance, risk management, and compliance records.