

Risk Evaluation and Compliance Assessment Checklist

Document Information

Project / Process Name: _____ Date: _____
Department: _____ Assessor: _____

Risk Evaluation

Risk Description	Likelihood (Low/Med/High)	Impact (Low/Med/High)	Existing Controls	Further Action Needed

Compliance Assessment

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

Summary and Recommendations

Key Findings: _____

Recommendations: _____

Follow-up Actions: _____

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.