

Compliance Audit & Risk Assessment Template

1. General Information

Company/Entity Name
Assessment Date
Audit Team
Department/Area
Scope of Audit

2. Objective

(Describe the main objectives of the compliance audit and risk assessment.)

3. Criteria & Standards

- (List laws, regulations, policies, and standards being assessed. E.g., GDPR, ISO 27001, internal policies)

4. Audit & Assessment Checklist

Area of Assessment	Compliance Requirement	Status	Evidence / Observations	Risk Level	Recommendations

5. Risk Assessment Summary

Identified Risk	Likelihood	Impact	Risk Rating	Mitigation Measures

6. Action Plan

Action Item	Responsible	Deadline	Status

7. Conclusion

(Summary of overall compliance status, major risks, and final recommendations.)

Important Notes:

- This assessment template should be tailored to the industry and compliance requirements.
- Regular reviews are essential to address evolving regulations and risks.
- Evidence must be objective and well-documented for effective follow-up.

- Risk ratings should be consistent and based on solid criteria.
- Assign clear responsibilities and deadlines in the action plan section.