

Compliance Violation Classification Document

1. Document Purpose

This document provides a standardized classification of compliance violations observed within the organization. It specifies violation categories, their definitions, and their respective severity ratings as a basis for consistent assessment and corrective action.

2. Classification Table

Classification	Description	Severity	Examples
Minor Violation	Non-critical deviations from policy without significant impact on operations, safety, or compliance.	Low	Late submission of routine reports
Moderate Violation	Breach of compliance requirements posing moderate risk or affecting departmental operations.	Medium	Unintentional data entry mistakes; incomplete records
Major Violation	Significant non-compliance that could result in regulatory penalties, safety risks, or damage to reputation.	High	Unauthorized disclosure of sensitive information
Critical Violation	Willful or gross negligence resulting in severe legal, financial, or safety consequences.	Critical	Falsification of records; fraud; repeated major violations

3. Procedures Following a Compliance Violation

1. Document the violation and classification in the compliance log.
2. Notify relevant supervisory and compliance personnel.
3. Initiate an internal review or investigation based on severity.
4. Determine and apply corrective actions and follow-up measures.
5. Report critical violations to regulatory authorities as required.

Important Notes

- This classification system should be regularly reviewed for alignment with updated regulations and organizational policies.
- Consistent documentation and classification are essential for effective compliance management.
- Always consider both the intent and the potential impact when classifying a compliance violation.
- Employees must be trained periodically on identifying and reporting compliance violations.