

Risk-Based Compliance Monitoring Form

Department / Process:

Enter department or process

Reviewer Name(s):

Name(s) of reviewer(s)

Date of Review:

Monitoring Objective:

State the main objective of this compliance monitoring

Identified Risks and Controls

Risk Description	Control(s) in Place	Risk Level (High/Med/Low)	Testing Approach / Evidence
E.g., Non-compliance	E.g., Monthly review of	Select	E.g., Sample review of monthly
		Select	
		Select	

Findings

Summary of Compliance Checks / Observations:

Document key findings, observations, and compliance status

Recommendations & Action Plan

Improvement Actions / Follow-ups:

List recommendations, responsible person, and timeline

Reviewed By (Name / Signature):

Date Reviewed:

Important Notes:

- This form is designed to promote a systematic, risk-based approach to compliance monitoring.
- Focus on identifying significant risks and assessing the effectiveness of existing controls.
- Documenting clear findings and actionable recommendations is critical for continuous improvement.
- The assessment should be reviewed and updated periodically as risks or processes change.