

Risk Management Compliance Checklist

1. Policy & Governance

Item	Status	Responsible	Comments
Approved Risk Management Policy Document			
Roles and responsibilities defined			
Governance structure established			

2. Risk Assessment & Identification

Item	Status	Responsible	Comments
Annual risk assessment conducted			
Risk register maintained and updated			
Critical risks identified and categorized			

3. Risk Mitigation & Controls

Item	Status	Responsible	Comments
Risk mitigation plans documented			
Control measures implemented			
Monitoring mechanisms in place			

4. Communication & Reporting

Item	Status	Responsible	Comments
Regular risk reporting to management			
Risk awareness training conducted			

5. Review & Continuous Improvement

Item	Status	Responsible	Comments
Periodic policy review scheduled			
Lessons learned captured and applied			

Important Notes

- This checklist should be reviewed and updated regularly in line with organizational changes and regulatory requirements.

- Evidence of compliance (documents, records) should be maintained for audit purposes.
- Assign clear responsibilities for each item and track completion status.
- Use this checklist as part of a broader risk management framework.