









Project 4: Compliance Checklist / Mock Audit

1 Compliance Checklist Table

Area	Requirement	Status	Comments / Notes
Risk Management	Risk register exists and updated	 Yes	Project 2 Risk Register completed
Awareness Program	Security Awareness Training conducted monthly	 Yes	Project 1 slides, quiz, and poster completed
Policies	Password, Email, Data Handling policies exist	 Yes	Project 3 completed
Incident Reporting	Template and process documented	 Yes	Project 2 incident report templates completed
Data Protection & Privacy	GDPR/ISO 27001 principles considered	 Yes	Free ISO 27001 intro & GDPR checklist applied
Access Control	Role-based access enforced	 Yes	Example: Mock roles defined in risk register
Device Security	Lost / stolen device procedure exists	 Yes	Project 2 includes device loss risk & reporting
Audit & Review	Regular compliance review scheduled	 Yes	Add reminder in training calendar / notes

2 Mock Audit Notes Template

ABC Tech Pvt Ltd – Mock Audit Report

Audit Date: [DD/MM/YYYY]

Auditor: [Your Name / Compliance Team]

Objective:

To assess compliance with company policies, awareness programs, and risk management procedures.

Findings:

1. Risk Register exists and regularly updated - ☒ Compliant
2. Awareness Training conducted monthly - ☒ Compliant
3. Policies (Password, Email, Data Handling) documented - ☒ Compliant
4. Incident Reporting templates in place - ☒ Compliant
5. Data protection and GDPR/ISO 27001 principles considered - ☒ Compliant
6. Access controls enforced - ☒ Compliant
7. Device security procedures documented - ☒ Compliant
8. Regular review/audit scheduled - ☒ Compliant

Recommendations:

- Maintain documentation and update training quarterly
- Conduct phishing simulation exercises
- Review policies annually and after any incidents

Conclusion:

ABC Tech Pvt Ltd demonstrates strong compliance practices at the fresher-level scale. This mock audit s