**Contents**

[1. Introduction 3](#_Toc105166361)

[2. Purpose 3](#_Toc105166362)

[3. Responsibilities 3](#_Toc105166363)

[4. Compliance Audit Checklist 3](#_Toc105166364)

[5. Compliance Assessment 4](#_Toc105166365)

[6. Compliance Report 4](#_Toc105166366)

**Document Control**

**Document Version History**

This table shows a record of significant changes to the document.

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **Date** | **Author** | **Description of Change** |
| 0.1 | 27/01/2022 | Swapnil Wale | DRAFT |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Approvals**

This table shows the approvals on this document for circulation, use and withdrawal

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Version** | **Date** | **Approver** | **Title/Authority** | **Approval Remarks** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

# Introduction

ITIL compliance management is a process that allows organizations to ensure their IT services and supporting processes comply with the requirements of the Information Technology Infrastructure Library. By implementing ITIL processes and procedures, an organization can improve its ability to deliver quality IT services that meet the needs of its customers and business partners. Additionally, effective compliance management can help to prevent or mitigate issues that may adversely affect service delivery.

# Purpose

ITIL Compliance Management is concerned with ensuring that IT services, processes, and systems adhere to corporate policy and regulatory requirements.

# Responsibilities

**Compliance Manager**

* The Compliance Manager's job is to make sure that policies and procedures are followed, as well as ensuring proper, consistent accounting and other processes are used.
* This includes making certain that all exterior legal obligations are met.
* The Compliance Manager's job is to make sure that company and government standards, guidelines, and legal obligations are followed correctly.
* This role is also in charge of discovering any non-compliance and, if necessary, taking corrective action.

# Compliance Audit Checklist

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Compliance Audit Examination** | **Strongly Agree** | **Agree** | **Neutral** | **Needs Improvement** | **Comments** |
| All the legal papers are processed |  |  |  |  |  |
| All taxes are duly paid |  |  |  |  |  |
| Data security laws are abided |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

# Compliance Assessment

Compliance assessment is the process by which an organization determines whether it is compliant with a particular set of regulations or laws. Often, this process begins with the identification of applicable regulations and the development of a compliance management program (CMP) designed to ensure that the organization operates in a manner consistent with those regulations.

|  |  |  |  |
| --- | --- | --- | --- |
| **Workflow** | **Assessment type** | **Risk** | **Description** |
| Internal control | Internal audit | **Medium** | Test and control risks associated |
| Operations | Operational risk assessment | **High** | A compliance assessment template for evaluating the risks and controls at the process level in your organization. Risks can be rated based on a set of criteria that can be customized. |
|  |  |  |  |
|  |  |  |  |

# Compliance Report

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Requirement** | **Compliant**  **Yes/No** | **Reasons for non- compliance** | **Actions Taken** | **Recommendations before next report** |
| Password protection |  |  | Implemented automated encryption to ensure security is not breached | Work on enhancements of password protection |
|  |  |  |  |  |
|  |  |  |  |  |