Tech SME Internal Compliance Audit & Tracking Template

A practical audit workbook for converting regulatory obligations into visible, assignable compliance actions across core business pillars.

Overall Score	**67.5 / 100**	**Status**	**Partially Compliant**
Priority Gap	Cyber Incident Protocol	**Next Review**	Q3 2026

1. Compliance Dashboard & Scoring Matrix

Compliant	100% - fully implemented, documented, and verified.
Partially Compliant	50% - in progress, policy exists without full enforcement, or filing is pending.
Non-Compliant	0% - missing, expired, or unaddressed risk.

Compliance Dashboard & Scoring Matrix

Compliance Pillar	Max Weighted Score	Audit Status	Earned Points	Primary Governing Body	Lead Responsible Person
1. Corporate Governance	15	**In Progress**	7.5	URSB / Registrar General, Local Authorities	Legal / Operations Lead
2. Tax & Fiscal Duties	20	**Compliant**	20.0	Revenue Authority (e.g., URA)	Finance Manager / Accountant
3. Data Privacy & Cyber	25	**Partially Compliant**	12.5	PDPO / Communications Authority	Data Protection Officer (DPO) / CTO
4. Employment & Labor	15	**Compliant**	15.0	Ministry of Labor, NSSF / Social Security	HR Lead
5. Intellectual Property	10	**Partially Compliant**	5.0	IP Office / WIPO	Product Lead / Legal Counsel
6. Industry Sector Rules	15	**In Progress**	7.5	Central Bank / Telecom Regulator / Sandbox	Chief Compliance Officer / CTO
TOTAL	100	**Overall Status: 67.5%**	67.5 / 100	Multi-Agency	CEO / Compliance Lead

2. Comprehensive Internal Audit Checklist

Pillar 1: Corporate Governance					
Checklist Item	**Requirement / Evidence Required**	**Governing Body**	**Status**	**Owner**	**Target Date**
1.1 Annual Returns	Latest filed Annual Return receipt and company extract	URSB / Corporate Registry	**Compliant**	Legal Lead	Q1 Annual
1.2 Business Trading License	Current year valid operating permit/license	Local Municipal Council	**Compliant**	Operations	Jan 31
1.3 Beneficial Ownership Register	Updated register of beneficial owners on record	URSB	**Non-Compliant**	Legal Lead	End of Q2
Pillar 2: Tax & Fiscal Duties					
Checklist Item	**Requirement / Evidence Required**	**Governing Body**	**Status**	**Owner**	**Target Date**
2.1 Corporate Tax Filing	Tax clearance certificate and quarterly returns	Revenue Authority	**Compliant**	Finance	Quarterly
2.2 E-Invoicing / Fiscal System	Integration with official electronic fiscal billing machine	Revenue Authority	**Compliant**	Finance / Tech Lead	Ongoing
2.3 Digital Services Tax / VAT	Remittance logs for cross-border software services	Revenue Authority	**Partially Compliant**	Finance	Monthly

Checklist Continued

Pillar 3: Data Privacy & Cybersecurity

Checklist Item	Requirement / Evidence Required	Governing Body	Status	Owner	Target Date
3.1 DPO & Data Registry	Designated DPO letter and official registration as Controller/Processor	Data Protection Office (PDPO)	**Compliant**	DPO / CTO	Annual
3.2 Data Protection Impact Assessment	DPIA documentation for core software products and client data pipelines	PDPO	**Partially Compliant**	DPO / Product	Bi-Annual
3.3 Cyber Incident Protocol	Documented 72-hour breach notification SLA and escalation process	Cyber/CERT Authorities	**Non-Compliant**	CTO / DevSecOps	Immediate

Pillar 4: Employment & Labor Compliance

Checklist Item	Requirement / Evidence Required	Governing Body	Status	Owner	Target Date
4.1 Standard Contracts & IP Assignment	Signed employee and contractor agreements with explicit IP transfer clauses	Ministry of Labor	**Compliant**	HR Lead	Onboarding
4.2 Statutory Remittances	PAYE, NSSF / Pension clearance monthly contribution receipts	Social Security / Tax Authority	**Compliant**	Finance / HR	15th Monthly

Pillar 5: Intellectual Property & Software Governance

Checklist Item	Requirement / Evidence Required	Governing Body	Status	Owner	Target Date
5.1 Brand & Code Protection	Trademark registration certificates for brand names, logos, and proprietary code	IP Office / WIPO	**Partially Compliant**	Legal / CEO	Q3 Review
5.2 Open-Source Licensing Audit	SBOM scan ensuring license compatibility (e.g., GPL vs MIT)	Internal / Sector Bodies	**Non-Compliant**	Engineering Lead	Next Sprint

Pillar 6: Industry Sector Regulations

Checklist Item	Requirement / Evidence Required	Governing Body	Status	Owner	Target Date
6.1 Operating License / Sandbox Approval	Active payment service provider license, value-added service license, or sandbox status	Central Bank / Telecom Body	**Partially Compliant**	Compliance Lead	Q4 Renewal
6.2 AML / KYC Controls	Customer due diligence mechanisms embedded in application workflow	Financial Intelligence Authority	**Compliant**	Product / Legal	Continuous

3. Action & Remediation Log Template

Risk ID	Non-Compliant Item	Risk Severity	Impact	Remediation Action Plan	Assigned Owner	Target Completion Date	Verification Notes
R-01	Missing Cyber Incident Protocol	**High**	Breach response delays and reporting exposure	Draft incident response playbook and conduct team tabletop simulation	CTO	Aug 15, 2026	Pending simulation
R-02	Unregistered Software Trademarks	**Medium**	Brand and product IP exposure	Submit trademark applications for flagship product logo and name	Legal Counsel	Sept 30, 2026	Application forms drafted
R-03	Open-Source License Audit	**Medium**	License conflict and distribution risk	Implement automated SBOM scanner in CI/CD pipeline	DevSecOps Lead	Aug 31, 2026	Tool selection in progress

Use this log as a living tracker: update risk severity after each review, attach evidence, and close each item only after verification.