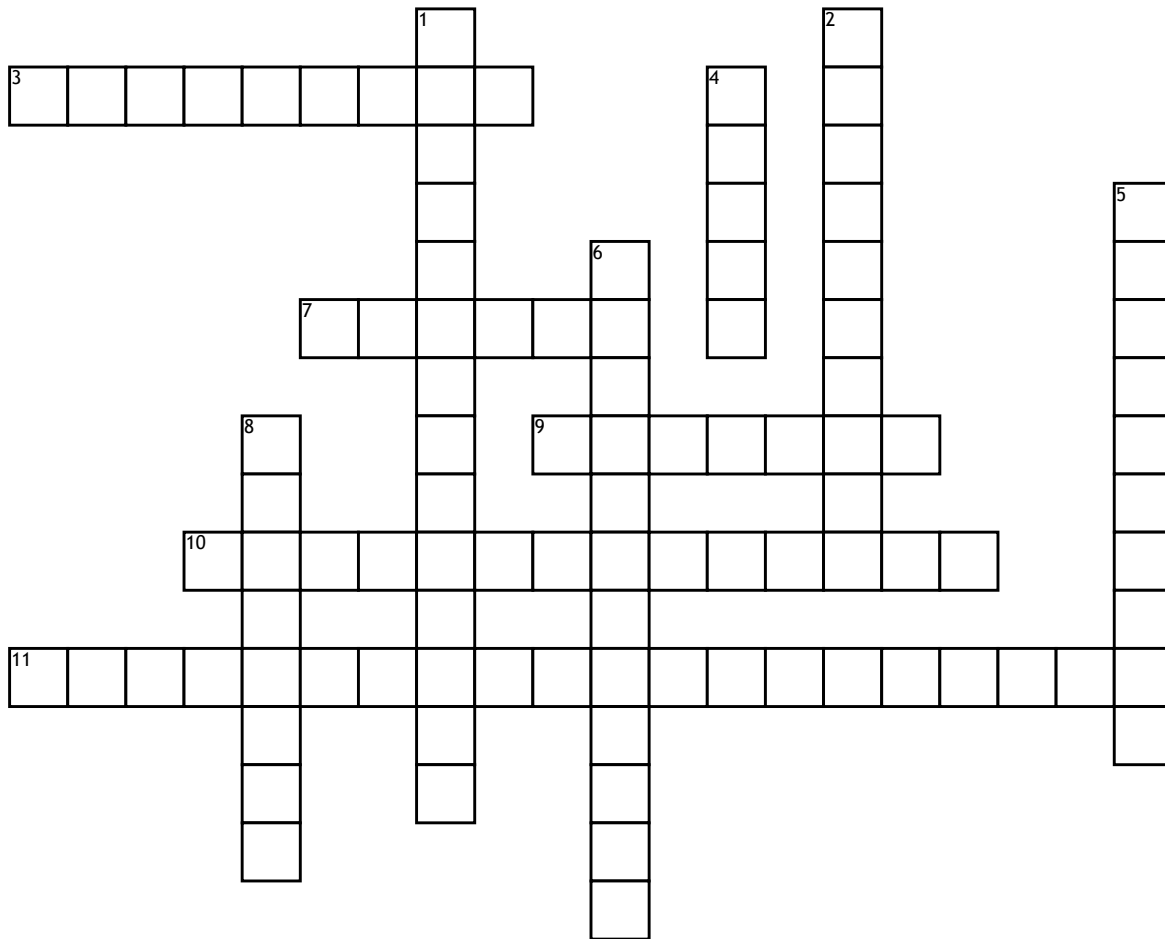


Name: _____

Date: _____

Compliance Crossword Puzzle



Across

3. A formal data-gathering, question-and-answer session conducted by the auditor with Business Unit representative's to validate, clarify and/or support the deliverables reviewed by the auditor
7. A selection of elements from the universe that will be reviewed as part of the audit
9. a deficiency in a business process noted by the auditor as a result of examining the deliverables or audit evidence provided by the auditee against the regulatory requirement
10. A determination of quantitative and qualitative estimate of risk related to a well-defined situation and a recognized threat or opportunity
11. This is a set of strategies or proposals written by the business unit in the pre-populated CAP template to address and correct business processes noted in the audit as having deficiencies

Down

1. A proposal made by the auditor to address the OFI that resulted from the audit
2. The act of complying with Federal and State laws, regulations, and contractual obligations as determined by an external regulator or entity
4. a formal review of compliance with a particular set of standards used as base measures
5. to observe and check the progress or quality of a corrective action and to ensure the corrective action plan is effective, for any changes that may occur, over a period of time
6. a thing or document that is the result of an action or process submitted during the audit period to support the request listed on the audit scopes and objectives
8. A request for information within a certain timeframe, which demonstrates evidence for compliance during the requested review period as noted in the audit scopes and objectives