

Compliance Checklist

A general regulatory and policy compliance checklist for organizations.

Identify applicable requirements

- ☐ List the laws and regulations that apply to your activities.
Requirements vary by industry and jurisdiction — confirm what applies to you.
- ☐ Identify required licenses, permits and registrations.
- ☐ Note contractual and customer compliance obligations.
- ☐ Identify the standards your organization must meet.
- ☐ Assign an owner to track each area of requirement.
- ☐ Keep a register of obligations and renewal dates.

Policies and procedures

- ☐ Maintain policies that address each key requirement.
- ☐ Ensure procedures translate policies into day-to-day practice.
- ☐ Keep policies current and approved by the right authority.
- ☐ Make policies accessible to all relevant staff.
- ☐ Define a code of conduct and ethics expectations.
- ☐ Set a process for reporting concerns or violations.

Training and awareness

- ☐ Identify which roles need compliance training.
- ☐ Provide training on relevant laws, policies and procedures.
- ☐ Keep records of who completed training and when.
- ☐ Refresh training when requirements or policies change.
- ☐ Confirm staff understand their compliance responsibilities.
- ☐ Communicate updates and reminders regularly.

Records and documentation

- ☐ Define which records must be created and retained.
- ☐ Store records securely and protect sensitive data.
- ☐ Apply retention and disposal schedules consistently.
- ☐ Keep evidence that requirements are being met.
- ☐ Maintain licenses, certificates and inspection records.
- ☐ Ensure records are available and retrievable for audit.

Monitoring and assessment

- ☐ Schedule regular compliance reviews and internal audits.
- ☐ Monitor for changes in laws, regulations and standards.
- ☐ Assess controls for gaps and weaknesses.
- ☐ Track key compliance indicators and incidents.
- ☐ Document review results and identified gaps.
- ☐ Escalate significant risks to management.

Corrective action and improvement

- ☐ Log compliance gaps and violations as they are found.
- ☐ Investigate the root cause of each issue.
- ☐ Assign corrective actions with owners and due dates.
- ☐ Verify corrective actions are effective.
- ☐ Report compliance status to management.
- ☐ Update policies and controls to prevent recurrence.