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.
  Track renewal deadlines, governing bodies, and owners to prevent lapsed permits or costly penalties.

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.
  Provide anonymous reporting channels so staff feel safe raising concerns without fear of retaliation.

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.
  Archive completion dates, attendee lists, and comprehension scores as verifiable proof for future audits.
- [ ] 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.
  Archive inspection logs, approvals, and system audit trails instead of relying on verbal confirmations.
- [ ] Maintain licenses, certificates and inspection records.
- [ ] Ensure records are available and retrievable for audit.
  Use consistent file structures so critical documentation can be produced immediately during an inspection.

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.
  Trace failures back to process flaws or missing training rather than stopping at individual human error.
- [ ] 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.