

# Legal and Regulatory Compliance Checklist

## Proposal Feasibility Assessment

### 1. Project Overview

Project Title: \_\_\_\_\_  
Proposal Reference Number: \_\_\_\_\_  
Date: \_\_\_\_\_  
Project Sponsor: \_\_\_\_\_  
Prepared By: \_\_\_\_\_

### 2. Identification of Applicable Laws & Regulations

1. **Local Regulations:** (e.g., municipal permits, land use, zoning) \_\_\_\_\_
2. **State/National Laws:** (e.g., company registration, labor laws, tax laws) \_\_\_\_\_
3. **Industry-Specific Regulations:** (e.g., environmental compliance, sector licenses) \_\_\_\_\_
4. **International Regulations (if applicable):** \_\_\_\_\_

### 3. Compliance Requirements

1. **Registrations & Certifications Required:**  
(List all licenses, permits, certificates, and authorities required)
2. **Ongoing Reporting Obligations:**  
(Detail the frequency and type of compliance reporting needed)
3. **Environmental, Health & Safety Requirements:**  
(Highlight major compliance obligations)
4. **Data Protection & Privacy Considerations (if relevant):**  
(e.g., GDPR, local data law adherence)

### 4. Risk Assessment

1. **Risk of Non-Compliance:**  
(Describe possible legal, financial, or reputational risks)
2. **Areas of Uncertainty:**  
(List any ambiguous or developing regulations)
3. **Mitigation Strategies:**  
(Propose plans to address and manage risks)

### 5. Approvals and Required Actions

1. **Approvals Secured:**  
(List all obtained consents, permits, and licenses)
2. **Pending Actions:**  
(List outstanding applications and steps for compliance)

### 6. Confirmation

Prepared by: \_\_\_\_\_  
Date: \_\_\_\_\_  
Reviewed by: \_\_\_\_\_  
Position: \_\_\_\_\_

## **Important Notes**

- Ensure regular updates as laws and regulations may change over time.
- Consult with qualified legal professionals for region-specific requirements.
- This document is a supporting tool and does not constitute legal advice.
- Maintain records of all compliance actions and approvals for future reference.
- Assessment should be revisited at each major project milestone.