

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.