Regulatory Compliance Checklist

Company Name: _____
Date: _____
Prepared by: _____

Checklist Overview

Requirement	Compliant	Notes
Licensing and Permits	□ Yes □ No	All relevant licenses obtained and up to date.
Data Protection (e.g., GDPR/HIPAA)	□ Yes □ No	Policies, procedures, and staff training in place.
Health & Safety Regulations	□ Yes □ No	Workplace safety standards met and documented.
Environmental Compliance	□ Yes □ No	Adherence to waste management and emissions rules.
Financial Reporting Requirements	□ Yes □ No	Reports are accurate, timely, and regulations are followed.
Employee Compliance Training	□ Yes □ No	Regular training provided and attendance tracked.
Anti-corruption & Ethics Policies	□ Yes □ No	Code of conduct distributed and signed by employees.
Third-party / Vendor Compliance	□ Yes □ No	Vendors assessed for compliance risks.

Comments / Actions

Important Notes

- This checklist is intended for internal compliance management use only.
- Regulations vary by jurisdiction; always consult local laws and legal counsel.
- Checklist should be reviewed and updated at least annually or when regulations change.
- Retain supporting documentation for all compliance actions taken.
- Non-compliance may expose the organization to legal and financial penalties.