

# Compliance Risk Checklist

This checklist helps organizations identify, assess, and address compliance risks effectively across multiple areas. Use it as a guide to ensure adherence to laws, regulations, and internal policies.

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## #1. General Compliance

- Review applicable local, state, and federal laws regularly.
  - Ensure policies align with industry standards and best practices.
  - Assign a compliance officer or team to oversee compliance activities.
  - Establish a whistleblower program for reporting violations confidentially.
  - Maintain accurate and up-to-date records for all compliance activities.
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## #2. Data Privacy and Security

- Conduct regular data protection impact assessments (DPIA).
  - Ensure compliance with regulations such as GDPR, CCPA, or HIPAA (as applicable).
  - Encrypt sensitive data and establish access controls.
  - Provide employee training on data privacy policies and procedures.
  - Monitor systems for data breaches and implement a breach response plan.
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## #3. Financial Compliance

- Conduct regular audits to ensure accuracy in financial reporting.
  - Verify compliance with tax laws and reporting obligations.
  - Monitor adherence to anti-money laundering (AML) and fraud prevention regulations.
  - Ensure proper documentation for all financial transactions.
  - Maintain records of internal financial controls and procedures.
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## #4. Environmental Compliance

- Identify applicable environmental laws and regulatory requirements.
- Obtain all necessary environmental permits and licenses.
- Monitor and control emissions, waste, and resource usage.

- Conduct periodic environmental audits and risk assessments.
  - Train employees on environmental responsibilities and sustainable practices.
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## #5. Occupational Health and Safety (OHS)

- Ensure compliance with OSHA or equivalent workplace safety regulations.
  - Perform regular safety inspections and risk assessments.
  - Provide mandatory safety training for all employees.
  - Maintain an updated emergency response and evacuation plan.
  - Investigate and document workplace incidents promptly.
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## #6. Employment and Labor Laws

- Comply with wage, hour, and overtime laws.
  - Verify eligibility for employment and maintain proper documentation (e.g., I-9 forms).
  - Adhere to anti-discrimination and harassment laws.
  - Ensure proper classification of employees vs. independent contractors.
  - Maintain records of workplace policies, procedures, and employee agreements.
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## #7. Anti-Bribery and Corruption

- Implement a zero-tolerance anti-bribery policy.
  - Train employees on identifying and reporting bribery or corruption.
  - Conduct due diligence on third-party vendors and partners.
  - Maintain a register of gifts, hospitality, and donations.
  - Periodically review and update anti-bribery and corruption policies.
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## #8. Industry-Specific Compliance

- Identify and document all regulations specific to your industry.
  - Obtain required licenses and certifications (e.g., FDA approval, ISO standards).
  - Conduct ongoing training on industry-specific compliance obligations.
  - Partner with legal advisors to navigate complex regulatory landscapes.
  - Stay updated on changes to industry regulations.
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## #9. Internal Policy Compliance

- Develop a comprehensive employee handbook outlining policies and expectations.
  - Monitor adherence to internal controls and operational procedures.
  - Conduct regular internal audits to identify compliance gaps.
  - Establish a disciplinary process for policy violations.
  - Continuously update policies to reflect changes in regulations and business needs.
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## #10. Monitoring and Reporting

- Use compliance management software to track and report compliance activities.
  - Establish clear reporting lines for compliance issues and violations.
  - Schedule regular reviews of compliance frameworks and performance.
  - Perform root cause analysis on identified non-compliance incidents.
  - Generate detailed compliance reports for stakeholders and regulators.
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This checklist can be customized to fit your organization's specific compliance requirements and helps ensure a proactive approach to managing compliance risks.