Ashford Business Services Ltd

Compliance Checklist

Organisation: _____ Checked by: _____
Area or department checked: _____ Date of the check: _____
Period covered: 9 November 2026 to 9 November 2026 Reviewer: _____
Work through each section in order. Tick when a check is complete and write the evidence seen, or the gap found, after it. Use Met, Partly met, or Not met where a tick would hide the result. A check is not complete because a document exists: note what you actually inspected and who confirmed it. Any gap goes into the findings list with an owner and a due date, even if minor. Do not leave a section blank: if it does not apply, say so and why after its first check.

A. Governance and policies. Current policies for this area identified; superseded versions withdrawn from use. Result: _____
Each policy assigned to a named role, and that role is still filled. Result: _____
Staff can state where the current policies are kept and how to obtain a copy. Result: _____
Policy changes since the last check communicated to everyone affected and recorded. Result: _____
Departures from policy recorded, with reason and approver. Result: _____

B. Records and documents. Records for the period complete, filed in the agreed place, retrievable without relying on one person. Result: _____
Records are stored securely, with access limited to people who need it for their work. Result: _____
Retention periods applied; records past retention dealt with under the retention schedule. Result: _____
Destruction hold in place where a matter is under review, dispute, or investigation; staff know about it. Result: _____
Backups or copies of important records exist and were tested by retrieval in the period. Result: _____

C. People and training. Everyone in the area has a signed acknowledgement on file for each policy applying to their role. Result: _____
Required training complete for everyone in scope; overdue training listed with a catch-up date. Result: _____
New joiners and role-changers received the relevant policies and training before starting work. Result: _____
Access rights match current roles; leavers' and role-changers' access removed or changed promptly. Result: _____
Confidentiality rules understood; breaches or suspected breaches reported through the agreed route. Result: _____

D. Finance and suppliers. Spending is approved before commitment, by a person authorised to approve that amount. Result: _____
Invoices match goods or services received and agreed price; differences queried before payment. Result: _____
Supplier contracts in force recorded, with end dates and notice periods; none rolled over unnoticed. Result: _____
Payments recorded in full, with supporting documents attached; every payment has an approver. Result: _____
Conflicts of interest over suppliers or spending declared and recorded where they arise. Result: _____

E. Data and systems. Personal data held limited to what the work requires, and its purpose recorded. Result: _____
Sharing of personal data outside the organisation recorded, with recipient and basis for sharing. Result: _____
Systems access reviewed; no shared accounts; passwords or credentials not shared between people. Result: _____
Any data incident, loss, or suspected breach in the period reported promptly and its handling recorded. Result: _____
Devices and removable storage protected as required; lost devices reported without delay. Result: _____

F. Workplace safety and premises. Hazards assessed; assessment current and available to the people affected. Result: _____
Incidents, injuries, and near misses recorded, investigated, and followed up with corrective action. Result: _____
Safety equipment and checks that fall due in the period have been completed and recorded. Result: _____
Visitors and contractors supervised as required; emergency arrangements known to staff. Result: _____
Housekeeping and storage create no hazard, block no exit, and keep safety equipment accessible. Result: _____

Findings and corrective actions. List every gap, one per row; do not combine unrelated gaps; close a finding only once verified.

Finding	Severity	Corrective action required	Owner	Due date	Verified and closed
Description of the finding	Severity of the finding	Corrective action required as agreed at the meeting.	James Patel	23 November 2026	
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Summary. Checks completed: _____ Checks met: _____ Findings raised: _____
Checks partly met or not met: _____ Findings closed at sign-off: _____ Date of the next check: _____
Sign-off. Checked by: Sarah Mitchell Signature _____ Date 9 November 2026
Reviewed by: Sarah Mitchell Signature _____ Date 9 November 2026