[Company name]

How to use this document: delete this paragraph before saving, sharing, or circulating it. Every part shown in blue is yours to replace: type your own details over each blue [field] until no blue remains. Then select all (Ctrl+A) and set the font colour to the same dark colour throughout. What is left is your finished document.

Compliance Checklist

Organisation: _____ Checked by: _____
Area or department checked: _____ Date of the check: _____
Period covered: [Start date of the period covered] to [End date of the period covered] 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 [ ] Current policies for this area identified; superseded versions withdrawn from use.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]	[Full name of the action owner]	[Due date for the corrective action]	
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[Description of the finding]	[Severity of the finding]	[Corrective action required]	[Full name of the action owner]	[Due date for the corrective action]	
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[Description of the finding]	[Severity of the finding]	[Corrective action required]	[Full name of the action owner]	[Due date for the corrective action]	
[Description of the finding]	[Severity of the finding]	[Corrective action required]	[Full name of the action owner]	[Due date for the corrective action]	

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: [Full name of the person who carried out the check] Signature _____ Date [Date of signing]
Reviewed by: [Full name of the reviewer] Signature _____ Date [Date of signing]