Annual compliance review checklist

CHECKLIST TEMPLATE

Check this template against your local regulations and your own policies before you use it.

Business _____ Location _____ Date _____

Annual compliance review

Once a year, at the same time each year

TASK	NOTES	INITIALS
Obligations		
☐ Check for new or changed laws, license conditions, contracts and standards since last year		
☐ Update the obligations register, and give each new obligation an owner and what you do about it		
☐ Mark obligations that no longer apply, such as for a service you've stopped		
Policies and procedures		
☐ List every policy and procedure past its review date, and book each review		
☐ Check each obligation has the policy or procedure that meets it		
Licenses and insurance		
☐ Check business licenses, registrations and permits are current		
☐ Check insurance covers what the business does now, and renewal dates are in the calendar		
People		
☐ Check the training matrix for missing and expired training, and book it		
☐ Check staff and contractor licenses and checks, such as police checks, are current		
☐ Remind everyone how to raise a concern under the speak-up procedure		
Registers and records		
☐ Review the risk register, and update ratings and controls		
☐ Review the year's incidents, complaints and data breaches for repeat causes		
☐ Destroy records past their retention period, unless they're on hold, and log it		
Audits and actions		
☐ Check every audit in this year's plan was done		
☐ Close or chase corrective actions that are open or overdue		
☐ Plan next year's internal audits, starting with the highest risks and this year's findings		
Report		
☐ Write a one-page summary of what was found, what's changed and the main risks		
☐ Agree the summary and next year's plan with the owner or board, and record their sign-off		

Completed by _____ Checked by (manager) _____ Date _____ Notes _____