# Must-Have Compliance & Ethics Checklist

Use this checklist to ensure your small or medium-sized business has the essential compliance and ethics policies in place. Review each item, check what applies, and identify gaps to address.

## Code of Conduct

- ☐ Written Code of Conduct available to all employees
- ☐ Employee acknowledgement forms signed
- ☐ Policy clearly defines expected behavior and ethical decision-making

## Conflict of Interest Policy

- ☐ Written policy for identifying and disclosing conflicts
- ☐ Procedure for reviewing and approving potential conflicts

## Anti-Bribery / Anti-Corruption Policy

- ☐ Clear prohibition of bribes, kickbacks, or facilitation payments
- ☐ Training provided for employees and relevant third parties

## Vendor Management & Due Diligence

- ☐ Pre-contract due diligence conducted on all new vendors
- ☐ Ongoing monitoring and periodic risk assessment of vendors
- ☐ Contracts include compliance clauses

## Records Management

- ☐ Records retention schedule in place
- ☐ Policies for document storage, access, and destruction
- ☐ Employee training on proper record-keeping

## Health, Safety & Workplace Security

- ☐ Written safety and security policies
- ☐ Employee training on emergency procedures
- ☐ Incident reporting process established

## Data Protection & Privacy

- ☐ Policies for handling sensitive or personal data
- ☐ Employee training on data privacy requirements
- ☐ Security controls for IT systems and data access

### Reporting & Non-Retaliation Protections

- ☐ Anonymous reporting mechanism available
- ☐ Anti-retaliation policy communicated to employees
- ☐ Regular monitoring of reports and follow-up procedures

### Compliance Training

- ☐ Mandatory training programs for all employees
- ☐ Specialized training for high-risk roles (e.g., finance, vendor management)
- ☐ Annual or periodic refresher courses

### Monitoring & Auditing

- ☐ Internal audits or spot checks of compliance policies
- ☐ Metrics and KPIs for key compliance areas tracked
- ☐ Management review of audit results and corrective actions

### Notes / Action Items

Use this section to assign responsible persons, record completion dates, or track follow-up actions.