

# Internal Compliance Risk Self-Assessment Checklist

Use this checklist to assess your company's exposure to internal compliance risks. Check each box that applies. For unchecked items, consider them a priority area for improvement.

- We have documented internal policies (Code of Conduct, Data Privacy, Acceptable Use, etc.).
- Employees have acknowledged and signed key policies with proof of timestamp.
- We maintain a centralized and searchable repository for contracts and NDAs.
- We regularly audit user access to tools, systems, and client data.
- We have a working anonymous reporting/whistleblower channel.
- We have a formal data retention and recovery policy in place.
- We monitor and log the use of third-party tools (Shadow IT).
- Our compliance risk categories are defined and prioritized.
- Someone on our team tracks regulatory changes relevant to our industry.
- We have a plan to respond to compliance incidents and document them.

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