

Compliance Culture Checklist

Compliance Area	Checklist Item	Compliance Status	Action to be Taken	Person Responsible	Due Date
1. Policy Management					
	Accessibility and Structure				
1.	Are all compliance-related policies readily available to all employees?				
2.	Is there a "policy about policies" to ensure uniform structure and clarity?				
	Review and Update Process				
3.	Is there a system in place for regular review and attestation of new or updated policies?				
	Practical Application				
4.	Do the policies reflect how the business operates, making them practical for employees to follow?				
	Integration and Monitoring				
5.	Is there an integrated policy management platform that allows for regular updates, tracking employee engagement, and reducing noncompliance risks?				
2. Conflicts of Interest (COI) Management					
	Policy Clarity and Approval				
1.	Are the COI policies clear and approved by the Board?				
	Disclosure and Information Collection				
2.	Are COI disclosure surveys comprehensive, appropriate for different audiences, and easy to understand?				

3.	Is there a formal structure for regular information collection and objective review of COIs?				
	Automation and Audit				
4.	Are there automated processes for COI disclosure, review, and flagging for timely action?				
5.	Is there a central COI repository with an audit trail, and is it subject to regular independent audits?				
3. Incident Management and Whistleblower Support					
	Reporting Mechanisms				
1.	Does the organization provide multiple channels for incident reporting (e.g., email, hotline, website, etc.)?				
	Case Management				
2.	Are consistent protocols in place for managing incidents, with all materials attached electronically to a master case file?				
	Scalability and Automation				
3.	Does the system have scalability features like automatic task assignment to handle large volumes of incidents?				
4.	Is there a Case Management Automation system that tracks every step and provides a full audit trail?				
4. Compliance Training					
	Training Content and Delivery				
1.	Are training sessions designed to be short (30 seconds to a few minutes) and easily incorporated into the workday?				
2.	Does the training content include scenarios that make abstract				

	compliance issues more concrete and relatable?				
	Adaptation to Learning Styles				
3.	Does the training cater to various learning styles (visual, auditory, reader/writer, kinesthetic)?				
	Reinforcement and Participation				
4.	Are there frequent reinforcements of training content through videos, infographics, or other formats to prevent knowledge decay?				
5.	Is participation in training sessions tracked and reported?				

Disclaimer:

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