

Compliance Task Checklist

Monthly Compliance Tasks

- Review customer complaints to identify specific issues that require immediate attention or trends that could point to larger problems that need remediation.
- Meet with executive management to keep them informed and to ensure continued integration of compliance initiatives with overarching strategy and operations.
- Scrub and update contact lists to maintain adherence to Do Not Call registries unless an exemption applies (for telemarketers).

Quarterly Compliance Tasks

- Conduct an internal audit of your organization's compliance with its existing policies.
- Work with your legal counsel to understand the latest regulatory developments and their impact on your business.
- Keep your employees up to date with ongoing compliance training.

Annual Compliance Tasks

- Update any consumer-facing disclosures like your privacy policy, terms of use, and your cookie notice to reflect current legal requirements and your specific business practices.
- Review and update your internal compliance policies to meet current compliance legislation.
- Conduct a data breach preparation exercise.
- Obtain an external audit by qualified counsel to validate your organization's compliance success over the past year and begin the new year on the right foot.

The fine print: Remember that every legal situation is different. While we think the guidance here is spot on, we always recommend consulting with your attorney for counsel tailored to your business's unique circumstances.