CTRL THE FUTURE LLC

COMPLIANCE PREPARATION CHECKLIST

A practical self-review for organizing requirements, policies, evidence, accountability, and assessment readiness

Purpose: Use this checklist to review foundational practices that can help an organization prepare for a compliance, regulatory, contractual, or readiness assessment. Because requirements vary by industry and obligation, this checklist is intentionally framework-neutral and should be supplemented with the specific requirements that apply to your organization.

Organization: _____

Assessment / Requirement: _____

Completed by: _____

Date: _____

How to Use This Checklist

For each statement, select the response that best reflects current preparation. Record supporting evidence, document locations, owners, or follow-up actions in the Notes column.

READY	PARTIAL	NOT READY	N/A
In place and supported	Some elements exist	Absent, incomplete, or unknown	Not applicable

1. Applicable Requirements & Scope

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
The organization has identified the laws, regulations, contractual obligations, standards, or internal requirements relevant to the assessment.	■	■	■	■	
The systems, business units, locations, data, processes, and third parties within assessment scope are defined.	■	■	■	■	
An accountable owner is assigned for each major compliance obligation or assessment area.	■	■	■	■	
Changes in regulatory, contractual, or industry requirements are monitored by a responsible role.	■	■	■	■	
Known exclusions, assumptions, and scope limitations are documented.	■	■	■	■	

2. Policies & Procedures

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Required policies are documented, approved, current, and accessible to relevant personnel.	■	■	■	■	
Procedures explain how important policy requirements are carried out operationally.	■	■	■	■	
Policies and procedures have assigned owners and defined review cycles.	■	■	■	■	
Policy exceptions are documented and approved through an established process.	■	■	■	■	
Outdated, duplicate, or conflicting policies are identified and corrected.	■	■	■	■	

3. Roles, Responsibilities & Accountability

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Compliance responsibilities are clearly assigned to appropriate personnel.	■	■	■	■	
Leadership understands its oversight responsibilities for relevant compliance obligations.	■	■	■	■	
Control owners understand the requirements and evidence for which they are responsible.	■	■	■	■	
Escalation paths exist for unresolved compliance issues, exceptions, and significant risks.	■	■	■	■	
Personnel responsible for assessment preparation have sufficient authority and access to needed information.	■	■	■	■	

4. Control Implementation

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Required controls are mapped to the applicable requirement, standard, contract, or policy.	■	■	■	■	
Control descriptions reflect how controls actually operate in the current environment.	■	■	■	■	
Manual and automated controls have identified owners.	■	■	■	■	
Control frequency is defined where recurring performance is required.	■	■	■	■	
Control gaps or compensating measures are documented and tracked.	■	■	■	■	

5. Evidence & Documentation

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Evidence is organized by requirement, control, or assessment area.	■	■	■	■	
Evidence demonstrates that controls operated during the relevant assessment period when applicable.	■	■	■	■	
Document names, dates, owners, and versions are sufficiently clear to support review.	■	■	■	■	
Sensitive evidence is stored and shared using appropriate access protections.	■	■	■	■	
Evidence requests can be tracked from request through submission and reviewer follow-up.	■	■	■	■	

6. Risk, Findings & Remediation

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Known compliance gaps, findings, and risks are documented in a central tracking mechanism.	■	■	■	■	
Each finding has an accountable owner and target remediation date.	■	■	■	■	
Remediation priorities consider risk, severity, business impact, and applicable deadlines.	■	■	■	■	
Completed remediation is validated before a finding is considered closed.	■	■	■	■	
Risk acceptance or delayed remediation decisions receive appropriate approval and documentation.	■	■	■	■	

7. Training & Awareness

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Personnel receive training relevant to their compliance and security responsibilities.	■	■	■	■	
Required training completion is documented and monitored.	■	■	■	■	
Role-specific training is provided where specialized responsibilities require it.	■	■	■	■	
Training content is reviewed periodically for relevance and accuracy.	■	■	■	■	
Missed or overdue training is followed up through an established process.	■	■	■	■	

8. Third-Party & Contractual Readiness

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Relevant vendors and third parties are identified for the assessment scope.	■	■	■	■	
Contracts and agreements containing compliance, security, privacy, or notification obligations are accessible.	■	■	■	■	
Required vendor due diligence or risk reviews are documented.	■	■	■	■	
Business associate, data processing, confidentiality, or similar agreements are maintained where applicable.	■	■	■	■	
Third-party findings, expired documentation, and unresolved obligations are tracked.	■	■	■	■	

9. Assessment & Audit Preparation

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
A primary coordinator is designated for the assessment or audit.	■	■	■	■	
Evidence owners understand what information may be requested and how it should be submitted.	■	■	■	■	
Prior audit, assessment, or review findings have been revisited before the new assessment begins.	■	■	■	■	
Interviews, walkthroughs, and demonstrations can be coordinated with appropriate personnel.	■	■	■	■	
Potential gaps are identified internally before formal reviewer testing begins.	■	■	■	■	

10. Ongoing Compliance Monitoring

Compliance preparation statement	Ready	Partial	Not Ready	N/A	Notes
Compliance activities are monitored between formal assessments rather than only immediately before an audit.	■	■	■	■	
Key compliance indicators, findings, or remediation status are periodically reported to management.	■	■	■	■	
Material organizational or technology changes trigger review of affected compliance requirements.	■	■	■	■	
Policies, controls, evidence practices, and training are updated when requirements change.	■	■	■	■	
Lessons learned from audits and assessments are incorporated into continuous improvement activities.	■	■	■	■	

Compliance Preparation Summary

Use this page to identify preparation gaps before an assessment begins. A readiness result does not determine legal or regulatory compliance; specific obligations, evidence, control design, operating effectiveness, and reviewer criteria may require additional analysis.

Priority Area	Gap / Missing Evidence	Owner	Target Date
1.			
2.			
3.			
4.			
5.			

Suggested Next Steps

1. Confirm the exact requirements and scope that apply to the upcoming assessment.
2. Prioritize Not Ready and Partial items that affect required controls or evidence.
3. Assign owners and deadlines for missing documentation, evidence, or remediation.
4. Perform an internal readiness review before external assessment activities begin.
5. Maintain compliance evidence and monitoring practices after the assessment rather than rebuilding them for each review cycle.

Preparing for an assessment or compliance review?
CTRL The Future LLC can help organize requirements, evaluate readiness, identify gaps, structure evidence, and develop a prioritized remediation roadmap aligned with your organization's needs.

Disclaimer: This checklist is provided for general informational and readiness purposes only. It is not legal advice, a formal audit, regulatory certification, or a determination of compliance with any particular law, regulation, contract, or standard. Organizations should evaluate the specific requirements applicable to their circumstances.