CTRL THE FUTURE LLC

POLICY & PROCEDURE READINESS CHECKLIST

A practical self-review for developing, approving, communicating, maintaining, and governing organizational policies and procedures

Purpose: This checklist helps organizations evaluate foundational policy and procedure governance practices. It can be used across cybersecurity, privacy, compliance, technology, operations, and other governance areas. The checklist is intended to identify readiness gaps and improvement opportunities; it does not determine legal or regulatory compliance.

Organization: _____

Completed by: _____

Date: _____

How to Use This Checklist

Review each statement with the appropriate policy owners, leadership, compliance, cybersecurity, privacy, technology, human resources, legal, and operational stakeholders. Record evidence, gaps, owners, and follow-up actions where appropriate.

ESTABLISHED	PARTIAL	NOT ESTABLISHED	N/A
Operating consistently	Some elements exist	Absent or unknown	Not applicable

1. Policy Governance & Framework

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
A formal policy governance process or framework is established.	■	■	■	■	
Policy categories, hierarchy, and relationships among policies, standards, procedures, guidelines, and related documents are defined.	■	■	■	■	
Leadership accountability for policy governance is established.	■	■	■	■	
Policies are aligned with organizational objectives, risk-management practices, and applicable obligations.	■	■	■	■	
A central inventory or register identifies active organizational policies and procedures.	■	■	■	■	

2. Ownership, Roles & Accountability

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
Each policy has an identified owner accountable for its content and lifecycle.	■	■	■	■	
Procedure owners or responsible operational roles are identified where appropriate.	■	■	■	■	
Approvers and approval authorities are defined based on policy type or organizational significance.	■	■	■	■	
Responsibilities for drafting, reviewing, publishing, communicating, and maintaining documents are assigned.	■	■	■	■	
Escalation paths exist when ownership, interpretation, approval, or implementation issues arise.	■	■	■	■	

3. Policy Development & Content

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
Policies use an approved template or consistent structure.	■	■	■	■	
Policies clearly state purpose, scope, applicability, responsibilities, and expected requirements.	■	■	■	■	
Relevant legal, regulatory, contractual, framework, and organizational requirements are considered during development.	■	■	■	■	
Policy language is understandable, actionable, and appropriate for the intended audience.	■	■	■	■	
Related standards, procedures, guidelines, forms, or references are identified where necessary.	■	■	■	■	

4. Procedure Development & Operational Alignment

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
Procedures translate policy requirements into practical operational steps where needed.	■	■	■	■	
Procedures identify responsible roles, required inputs, activities, outputs, and escalation points.	■	■	■	■	
Procedures reflect actual organizational processes rather than undocumented or obsolete practices.	■	■	■	■	
Dependencies on systems, vendors, records, approvals, or other procedures are documented where important.	■	■	■	■	
Personnel responsible for performing procedures can access the current approved version.	■	■	■	■	

5. Review, Approval & Authorization

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
Policies and procedures undergo appropriate subject-matter review before approval.	■	■	■	■	
Approval authority is documented and appropriate for the significance of the document.	■	■	■	■	
Approval dates and effective dates are recorded.	■	■	■	■	
Material changes receive appropriate review and reapproval before becoming effective.	■	■	■	■	
Emergency or expedited policy changes follow a defined approval and subsequent review process.	■	■	■	■	

6. Version Control & Document Management

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
Policies and procedures have unique titles, identifiers, or other controls sufficient for reliable management.	■	■	■	■	
Version numbers or revision information are maintained.	■	■	■	■	
Revision history documents material changes, dates, and approvals.	■	■	■	■	
Current approved versions are distinguishable from drafts and superseded versions.	■	■	■	■	
Obsolete documents are archived or removed from active use according to defined retention and document-control practices.	■	■	■	■	

7. Communication, Training & Acknowledgment

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
New or materially revised policies are communicated to affected personnel.	■	■	■	■	
Training is provided when policy or procedure requirements require new knowledge or behavior.	■	■	■	■	
Employee or workforce acknowledgment is obtained when appropriate.	■	■	■	■	
Communication and training records are retained where required by organizational or applicable requirements.	■	■	■	■	
Personnel know where to locate current policies and procedures and how to ask questions or report concerns.	■	■	■	■	

8. Exceptions, Enforcement & Compliance

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
A defined process exists for requesting and approving policy exceptions when appropriate.	■	■	■	■	
Exceptions document rationale, risk, approval, duration, and compensating measures where relevant.	■	■	■	■	
Policy violations or nonconformance can be reported and escalated through defined channels.	■	■	■	■	
Consequences or corrective actions for significant noncompliance are addressed consistently with organizational practices.	■	■	■	■	
Compliance with important policies is periodically assessed or monitored.	■	■	■	■	

9. Periodic Review & Change Management

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
Policies and procedures have defined review frequencies or review triggers.	■	■	■	■	
Reviews consider organizational, technology, threat, regulatory, contractual, and operational changes.	■	■	■	■	
Document owners are notified when reviews are due.	■	■	■	■	
Review outcomes are documented even when no changes are required.	■	■	■	■	
Related documents are evaluated when a policy, procedure, system, organizational structure, or requirement changes.	■	■	■	■	

10. Monitoring, Evidence & Continuous Improvement

Policy & procedure readiness statement	Established	Partial	Not Est.	N/A	Notes
Evidence is maintained to demonstrate key policy-governance activities such as approvals, reviews, training, exceptions, and updates.	■	■	■	■	
Policy and procedure gaps identified through audits, assessments, incidents, or operational issues are tracked.	■	■	■	■	
Corrective actions have accountable owners and target dates.	■	■	■	■	
Leadership receives appropriate information about significant policy gaps, overdue reviews, exceptions, or implementation risks.	■	■	■	■	
Lessons learned and recurring issues are used to improve policies, procedures, governance, training, and operational practices.	■	■	■	■	

Policy & Procedure Readiness Summary

Use this page to document priority governance and documentation gaps. Focus first on weaknesses that create unclear accountability, inconsistent practices, outdated requirements, missing evidence, or unmanaged organizational risk.

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

Suggested Next Steps

1. Create or validate a complete inventory of active policies, procedures, standards, and related governance documents.

2. Assign accountable owners, approvers, review dates, and document-control information.

3. Prioritize missing or outdated documents based on organizational risk and applicable requirements.

4. Establish a repeatable workflow for drafting, review, approval, publication, communication, exception handling, and periodic review.

5. Track remediation and retain appropriate evidence of approvals, training, acknowledgments, reviews, exceptions, and updates.

Need to strengthen your policy and procedure program?
CTRL The Future LLC can help organizations assess policy gaps, develop and update governance documentation, establish policy lifecycle controls, align procedures with operational practices, and create a prioritized documentation roadmap.

Implementation note: Policy and procedure requirements vary by organization, industry, jurisdiction, contractual obligations, and the specific systems, data, and services involved. Organizations should tailor governance documentation accordingly.

Disclaimer: This checklist is provided for general informational and readiness purposes only. It is not legal advice, a formal audit, certification, or determination of regulatory or contractual compliance.