Checklist for Compliance activities

The guidance is intended to help you make reasonable and appropriate documentation for your Business Activities.

1. **Define Compliance Policy**
   - Create a document outlining your company´s compliance policy
   - Identify and list applicable laws, regulations and standards that your organization needs to comply with.

2. **Asses Current Compliance status**
   - Evaluate your organization's current compliance practices.
   - Identify any gaps or areas where compliance needs improvement.

3. **Roles and Responsibilities**
   - Define roles and responsibilities related to compliance.
   - Clearly assign responsibilities to individuals or teams responsible for compliance tasks.

4. **Integration of Compliance tools/tasks**
   - Identify and integrate tools/tasks that facilitate compliance management.
   - Ensure that these tools/tasks cover areas such as risk assessment, data security and reporting.

5. **Approval Process**
   - Establish an approval process for compliance-related decisions.

6. **Compliance Training Program**
   - Develop a compliance training program.
   - Train employees, managers and relevant stakeholders on compliance requirements and best practices.

Following topics should at minimum be covered by the internal policies and/or procedures.

CODE OF ETHICS AND RAISING CONCERNS

- ➢ **Code of ethics or similar document with commitment to comply with the law.**
- ➢ **Outline process for reporting and handling employees' concerns.**

BRIBERY AND CORRUPTION

Policy or program in place covering at least:

- ➢ **Gifts and hospitality**
- ➢ **Transfer of value**
- ➢ **Guidance on conflict of interest**

LABOUR AND HUMAN RIGHTS

- ➢ **Worker´s rights, including protection from Slavery and forced labour.**
- ➢ **Safe and fair working conditions.**

FRAUD

- ➢ **Accurate books and record**
- ➢ **Non-tolerance against fraudulent activities**