

CONSILIUM LAW

Regulatory Compliance Self-Assessment Template

A structured framework for growth companies in regulated industries

Company Name: _____

Date: _____

Completed By: _____

Role: _____

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How to Use This Template

This self-assessment is designed to help growth-stage companies identify regulatory compliance gaps before they become liabilities. For each item, select the rating that best reflects your current status.

0 = Not Started

1 = Partial

2 = In Progress

3 = Mostly Complete

4 = Fully Compliant

Rate each item honestly. This assessment is most valuable when it reflects your actual compliance posture, not aspirational status. After completing all sections, tally your scores on the Scoring Summary page and use the Action Plan to prioritize remediation.

Tip: Involve stakeholders from legal, finance, HR, and IT to ensure accuracy across all domains.

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Section 1: Corporate Governance

Score: _____ / 20

0 Not Started

1 Partial

2 In Progress

3 Mostly Complete

4 Fully Compliant

Assessment Item	0	1	2	3	4	Notes
Board of directors properly constituted with documented resolutions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Bylaws/operating agreement current and reflecting actual operations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Officer appointments documented with defined authorities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Annual meeting minutes maintained (board and shareholders)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Conflict of interest policies adopted and disclosed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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Section 2: Data Privacy and Security

Score: _____ / 20

0 Not Started

1 Partial

2 In Progress

3 Mostly Complete

4 Fully Compliant

Assessment Item	0	1	2	3	4	Notes
Written privacy policy published and current	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Data inventory completed (what data collected, where stored, who accesses)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
CCPA/state privacy law compliance assessed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Data processing agreements with all vendors handling personal data	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Employee data access controls and authentication protocols	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Incident response plan documented and tested	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Data retention and deletion schedules established	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Cookie consent and tracking disclosures implemented	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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Section 3: Industry-Specific Regulations

Score: _____ / 20

0 Not Started

1 Partial

2 In Progress

3 Mostly Complete

4 Fully Compliant

Assessment Item	0	1	2	3	4	Notes
Applicable federal regulations identified and mapped	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
State-level regulatory requirements documented	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Required licenses and permits obtained and current	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Regulatory filing deadlines calendared and tracked	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Industry-specific reporting obligations met	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Relationships with relevant regulatory bodies established	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Regulatory change monitoring process in place	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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Section 4: Employment and Labor Compliance

Score: _____ / 20

0 Not Started

1 Partial

2 In Progress

3 Mostly Complete

4 Fully Compliant

Assessment Item	0	1	2	3	4	Notes
Employee handbook current with required policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Worker classification reviewed (W-2 vs. 1099)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Wage and hour compliance verified (FLSA, state laws)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Anti-harassment training conducted and documented	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
I-9 compliance and records maintained	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Benefits compliance (ACA, ERISA if applicable)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Leave policies compliant with FMLA and state requirements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Workplace safety requirements addressed (OSHA if applicable)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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Section 5: Contractual and Commercial Compliance

Score: _____ / 20

0 Not Started

1 Partial

2 In Progress

3 Mostly Complete

4 Fully Compliant

Assessment Item	0	1	2	3	4	Notes
Standard contract templates reviewed by counsel within last 12 months	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Customer agreements include appropriate limitation of liability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Vendor agreements reviewed for indemnification and insurance requirements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
IP ownership clearly assigned in all contractor agreements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Insurance coverage adequate (general liability, E&O, cyber)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Export control compliance assessed (if selling internationally)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Marketing and advertising claims reviewed for compliance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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Section 6: Financial Controls and Reporting

Score: _____ / 20

0 Not Started

1 Partial

2 In Progress

3 Mostly Complete

4 Fully Compliant

Assessment Item	0	1	2	3	4	Notes
Accounting practices follow GAAP	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Internal financial controls documented	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Tax filings current (federal, state, local)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Sales tax/nexus obligations assessed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Equity grant documentation complete and current	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
409A valuation current (within 12 months or since material event)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Cap table maintained and reconciled	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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Scoring Summary

Section	Max Score	Your Score
1. Corporate Governance	20	
2. Data Privacy and Security	20	
3. Industry-Specific Regulations	20	
4. Employment and Labor Compliance	20	
5. Contractual and Commercial Compliance	20	
6. Financial Controls and Reporting	20	
TOTAL	120	

Risk Level Guide

- 100 - 120:** Strong compliance posture. Continue monitoring and maintaining current standards.
- 80 - 99:** Adequate with targeted improvements needed. Address gaps in specific sections.
- 60 - 79:** Moderate risk. Prioritize remediation in low-scoring areas.
- Below 60:** Significant gaps identified. Seek legal counsel immediately to develop a remediation plan.

Want help completing this assessment?

Our team works with growth companies to identify regulatory gaps, build compliance frameworks, and prepare for investor due diligence. We can walk through this assessment with you, prioritize your risks, and develop a practical remediation plan.

Schedule a Consultation

consilium.law/contact