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Your Policy and Procedure Management Checklist:

Building Audit-Ready Evidence

A practical guide to managing your policy lifecycle with confidence.

Every change to how your business operates creates a ripple in what people must do, and how you prove they did it. New channels, AI in workflows, shared services, and regional expansions all shift processes. **When processes shift, the procedures and policies that authorize them must shift too.** Regulators and auditors care about the evidence trail. Nasdaq's Global Compliance Survey shows compliance leaders (72%) are prioritizing data quality and complete records, which raises the bar for policy proof.[1]

This checklist is your operating system for that reality. It maps the five building blocks that keep policy and procedure management synchronized with the business. Clear ownership. Structured authoring and approvals. Targeted distribution. Verifiable attestations. Continuous monitoring. Use this checklist to shorten cycle time, match policies to actual processes, and produce clean evidence on demand.

1 Nasdaq Financial Technology. (2025, October 9). 2025 Nasdaq Global Compliance Survey: Data quality and surveillance effectiveness are the top priorities. Nasdaq. https://www.nasdaq.com/articles/fintech/2025-nasdaq-global-compliance-survey-data-quality-and-surveillance-effectiveness-are-top

Governance & Ownership

Effective governance makes policy data reliable and defensible. When you establish clear ownership, maintain controlled terminology, and set risk-based review schedules, each policy becomes a piece of credible evidence you can stand behind. Treat governance as the structural framework that keeps records accurate, complete, and ready for audit requests.

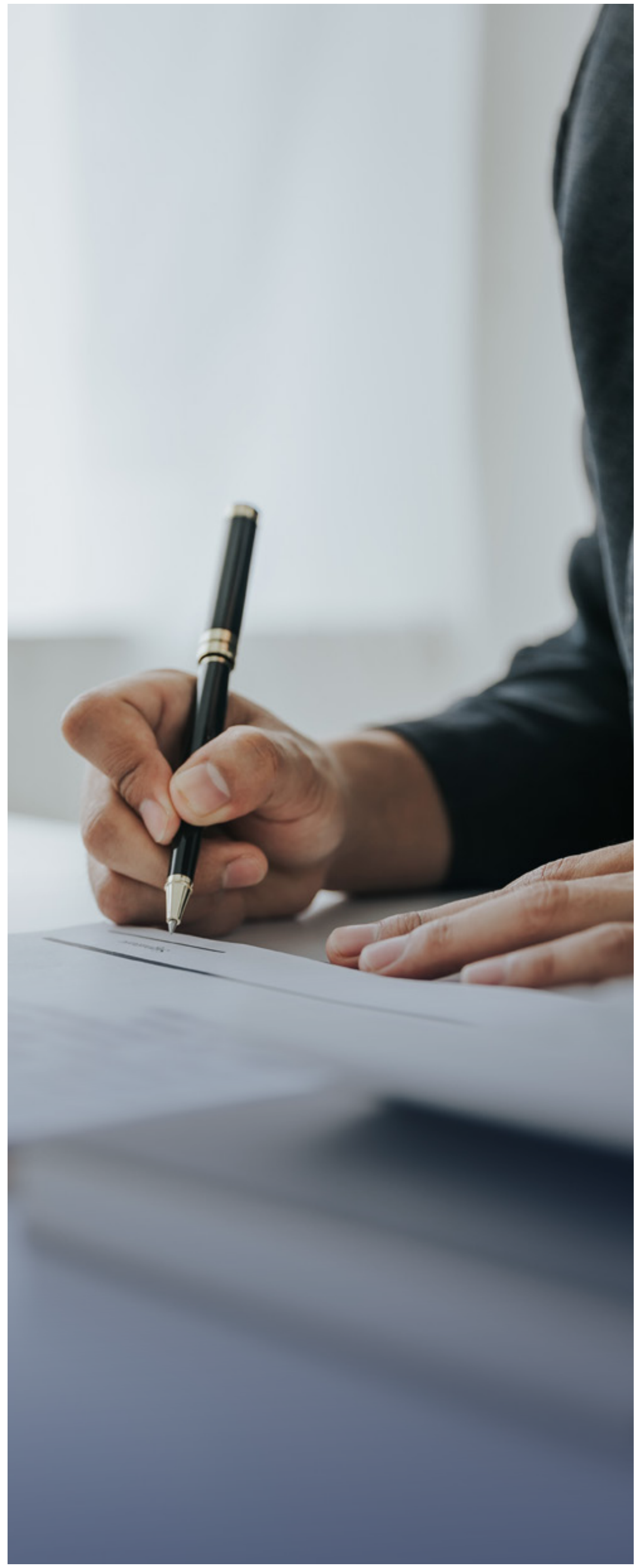
Use this checklist to: validate and tune your policy governance model. Mark each item Yes, No, or In Progress. Yes means it is in place and working. No means it is a gap to fix. In Progress means it is planned or partially implemented.

YES	NO	IN PROGRESS	
☐	☐	☐	**Hierarchy and taxonomy published** with unique IDs, version rules, and retirement criteria
☐	☐	☐	**Owner and backup named on page 1,** with RACI recorded and visible
☐	☐	☐	**Risk-based review cadence scheduled** in the system, with automated reminders and approvals
☐	☐	☐	**Authority mapped to laws,** regulations, and controls, with links maintained in each record
☐	☐	☐	**Access governed by SSO roles** and least privilege. Deny-by-default on folders and surface only the authoritative version

Authoring & Approval Workflow

Authoring and approval workflows are where many companies falter in the policy management lifecycle. While Legal or Compliance may author the policies, approval processes can quickly run into questions about who should be involved and when. It's for this reason that building strong policies requires a consistent, repeatable process.

Begin with standardized templates and a clause library to ensure clarity and consistency across all documents. Bring in **subject matter experts** during the review phase to focus feedback where it matters most. Keep everything streamlined by having authorized users edit directly within a single system of record. Use automated routing rules and service level agreements to maintain momentum, then finalize approvals with digital signatures that provide clear, defensible proof of sign-off.



Use this checklist to: confirm structure, speed approvals, and capture defendable sign-off.

- [ ] **Structure:** Enforced template + clause library
- [ ] **Flow:** Rules-based routing with SLAs and advisory review
- [ ] **Evidence:** Single record for edits and digital signatures

Targeted Distribution & Accessibility

Even the best-written policies fail if they don't reach the people who need them. When employees can't find relevant policies (or receive ones that don't apply to them) compliance suffers and your policy program loses credibility. Effective distribution means connecting each person to the right policies at the right time, in a format they can actually use.

Use this checklist to: assess your distribution strategy, identify accessibility gaps, and improve policy reach.

- [ ] **HR-driven audience targeting** by role, location, BU, and risk profile.
- [ ] **Language support** with managed translations and linked source files.
- [ ] **AI search with previews** plus **bookmarks and shareable links** to the authoritative version.
- [ ] **Release types used intentionally:** Read, Test or Questionnaire, Review, Reference.
- [ ] **Accessibility and mobile readiness** validated for keyboard use, contrast, and small screens.

Attestation & Knowledge Validation

Attestation transforms policy awareness into documented proof of compliance. Require acknowledgment of critical policies, validate understanding through targeted assessments, and set up automatic reminders when deadlines are missed. Track the precise moment each employee receives a policy to maintain a clear distinction between delivery and acknowledgment in your audit trail. That level of evidence is increasingly expected: in 2025, 76% of chief audit executives ranked advancing auditors' use of data and analytics as a top focus area, which raises the bar for reliable, time-stamped records like attestations and receipt logs.[2]

Use this checklist to: confirm you can prove who received what, who understood it, and how gaps were handled. Mark each one Yes, No, or In progress to surface immediate fixes.

YES	NO	IN PROGRESS	
			Attestations on release and renewal, with digital signatures where required
			Knowledge checks using Test/Questionnaire documents, with auto-numbering for clarity
			"Date received" recorded in compliance reports to separate delivery from acknowledgment
			Manager escalation and delinquency oversight to chase non-responders
			Exception workflow with owners, approvals, and expiry dates

2 Gartner. (n.d.). Audit trends. Gartner. Retrieved from https://www.gartner.com/en/audit-risk/trends/audit-trends

Monitoring, Reporting, & Continuous Improvement

If you can't see it, you can't improve it. Treat your policy activity as valuable data: track who received which policies, monitor attestation completion rates, identify where compliance gaps appear, and analyze which topics generate the most questions. Centralized dashboards and exportable audit trails turn your day-to-day operations into actionable insights and compliance evidence you can present with confidence.

Continuous improvement is the goal: use these insights to revise content, adjust training, and retire what no longer serves the business. Monitoring also comes from "speak-up" channels like ethics hotlines, not just change tickets. Feed those reports into policy reviews so real-world issues drive updates.

Use this checklist to: connect what you measure to what you change. Mark each item Yes, No, or In progress, then note the follow-up action you'll take this quarter.

YES	NO	IN PROGRESS	
☐	☐	☐	**Auditor-ready reports** that export authorship, approvals, distribution, attestations, and signatures
☐	☐	☐	**"Date received" captured** per user to separate delivery from acknowledgment
☐	☐	☐	**Dashboards for completions,** overdue reviews, and exceptions, plus a delinquent user overview for targeted follow-ups
☐	☐	☐	**Search and inquiry analytics monitored** — top terms, no-result queries, hotline/incident themes — and results fed into content updates
☐	☐	☐	**Quarterly improvement loop documented:** policy revisions, training adjustments, and retire/merge decisions based on the data

Turn Policy Into Provable Outcomes

These five building blocks are crucial to building a policy program that scales, produces clean evidence, and keeps your people aligned as regulations and operations change. And if you think technology could help, you're right (and in good company).

PwC reports that **49% of organizations already use technology for 11 or more compliance activities in 2025**, and 72% use technology for regulatory disclosures and reporting.[3] Programs that leverage the right solutions to standardize processes and data will keep pace and prove results.

Want real-world examples?

Watch our on-demand session with DISH Network, Prudential Financial, and Nature's Sunshine Products. See how leading teams implement and sustain policy and procedure management across regions.

3 PricewaterhouseCoopers. (2025). Global compliance survey 2025. https://www.pwc.com/gx/en/issues/risk-regulation/global-compliance-survey.html

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About Mitratech

Mitratech has a 35-year history as a leader in providing technology and services that empower organizations to autmoate compliance, manage risks, increase efficiency, control costs, and scale for the future.

Mitratech serves over 28,000 organizations worldwide, spanning more than 160 countries. For more information, please visit: **www.mitratech.com**

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