



ERP Regulatory Compliance Checklist

Data Privacy & Protection

Ensuring adherence to relevant data privacy regulations (e.g., GDPR, CCPA).

Applicable Data Privacy Regulations?

- ☐ GDPR
- ☐ CCPA
- ☐ Other

Summary of Data Subject Rights Processes

Write something...

Data Categories Processed

- ☐ Personal Data
- ☐ Sensitive Personal Data
- ☐ Financial Data
- ☐ Health Data

Estimated Number of Data Subjects

Enter a number...

Last Data Privacy Impact Assessment Date

Enter date...

Description of Data Retention Policies

Write something...

Privacy Policy Document (upload)

 Upload File

Financial Reporting Compliance

Verification of ERP settings and processes aligning with financial reporting standards (e.g., GAAP, IFRS).

Fiscal Year End Date

Enter a number...

Accounting Standard Used

☐ GAAP

☐ IFRS

☐ Other

Last Financial Statement Approval Date

Enter date...

Chart of Accounts Review Frequency

Enter a number...

Description of Key Accounting Policies

Write something...

Currency Configuration Validation

- ☐ Valid
- ☐ Needs Review

Tax Management

Confirmation of proper configuration for tax calculations, reporting, and compliance with local tax laws.

Tax Rate (%)

Enter a number...

Last Tax Rate Update Date

Enter date...

Tax Calculation Method

- ☐ Destination-Based
- ☐ Origin-Based
- ☐ Hybrid

Applicable Tax Types

- ☐ Sales Tax
- ☐ VAT
- ☐ GST
- ☐ Use Tax

Tax Exemption Certificates on File

Write something...

Tax Returns (Supporting Documents)

 Upload File

Industry-Specific Regulations

Addressing specific regulatory requirements pertinent to your industry (e.g., FDA for pharmaceuticals, HIPAA for healthcare).

Relevant Industry Standard(s)

- ☐ FDA (Pharmaceuticals)
- ☐ HIPAA (Healthcare)
- ☐ SOX (Financial)
- ☐ PCI DSS (Retail/Payment Processing)
- ☐ ISO 27001 (Information Security)
- ☐ Other (Specify in Long Text)

Specify 'Other' Industry Standard (if selected)

Write something...


Batch Number Validation Threshold (if applicable)

Enter a number...

Last Compliance Audit Date

Enter date...

Supporting Documentation (e.g., audit reports, certifications)

 Upload File

Key Compliance Areas requiring ERP Configuration

- ☐ Data Security
- ☐ Reporting
- ☐ Inventory Management
- ☐ Access Controls
- ☐ Traceability

Audit Trail & Record Keeping

Verification of adequate audit trail functionality and record retention policies within the ERP system.

Maximum Audit Trail Retention Period (in days)

Enter a number...

Audit Trail Access Permissions - Who can access?

- ☐ System Administrators Only
- ☐ Designated Audit Team
- ☐ All Users

Last Audit Trail Review Date

Enter date...

Summary of Audit Trail Review Findings

Write something...

Modules with Enhanced Audit Logging Enabled (Select all that apply)

- ☐ Finance
- ☐ Inventory
- ☐ Manufacturing
- ☐ Sales
- ☐ HR

Authorized Reviewer Signature

Security Controls & Access Management

Assessment of security controls, user access permissions, and data encryption practices.

Number of Active User Accounts

Enter a number...

Role-Based Access Control (RBAC) Implemented?

- ☐ Yes
- ☐ No
- ☐ Partially Implemented

Authentication Method

- ☐ Username/Password
- ☐ Multi-Factor Authentication (MFA)
- ☐ Single Sign-On (SSO)

Description of Password Complexity Requirements

Write something...

Privilege Escalation Controls

- ☐ Strictly Defined
- ☐ Limited
- ☐ None

Last Password Policy Review Date

Enter date...

Contract Management & Compliance

Reviewing how the ERP handles contractual obligations and ensures compliance with vendor agreements.

Contract Review Process Description

Write something...

Contract Approval Threshold (Value)

Enter a number...

Contract Approval Workflow Type

- ☐ Sequential Approval
- ☐ Parallel Approval
- ☐ Automated Approval

Last Contract Compliance Review Date

Enter date...

Supporting Documentation (e.g., contracts, agreements)

 Upload File

Relevant Compliance Areas

- ☐ Data Privacy
- ☐ Financial Reporting
- ☐ Tax Regulations
- ☐ Industry Specific

Compliance Officer Signature

Inventory & Supply Chain Compliance

Verifying processes related to inventory management and supply chain activities adhere to relevant regulations.

Serialized Inventory Tracking Enabled?

Lot Control Implemented?

- ☐ Yes
- ☐ No

Last Supply Chain Risk Assessment Date

Relevant Supply Chain Certifications (e.g., ISO, FSC)

- ☐ ISO 9001
- ☐ ISO 14001
- ☐ FSC Certification
- ☐ Other

Summary of Key Supply Chain Risks and Mitigation Strategies

Write something...

Number of Supply Chain Partners Audited Annually

Enter a number...

Supply Chain Partner Compliance Documentation (e.g., Audit Reports)

 Upload File


Reporting & Documentation

Ensuring proper reporting capabilities and documentation exist for demonstrating regulatory compliance.

Description of Compliance Documentation

Write something...

Compliance Report (e.g., Audit Trail)

 Upload File

Date of Last Compliance Report Generation

Enter date...

Number of Compliance Reports Generated per Year

Enter a number...

Reports Distributed to Stakeholders (Select All)

- ☐ Executive Management
- ☐ Audit Committee
- ☐ Regulatory Body
- ☐ Internal Teams

Summary of Key Findings in Last Report

Write something...

Change Management & Updates

Managing changes to the ERP system to maintain compliance and minimize disruption.

Scheduled Update Date

Enter date...

Description of Changes

Write something...

Version Number

Enter a number...

Modules Affected

- ☐ Finance
- ☐ Inventory
- ☐ Sales
- ☐ HR
- ☐ Manufacturing

Change Type

- ☐ Bug Fix
- ☐ Enhancement
- ☐ Security Patch
- ☐ Regulatory Update

Supporting Documentation (e.g., Release Notes)

 Upload File

Approval Status (Pending, Approved, Rejected)

Write something...

