



# Regulatory Case Management Checklist Template

## Case Initiation & Assessment

Initial steps to formally begin and evaluate the case, ensuring regulatory requirements are met.

### Case Received Date

### Regulatory Framework Applicable

- ☐ Framework A
- ☐ Framework B
- ☐ Framework C

### Case Reference Number

### Initial Case Summary

### Potential Financial Exposure (Estimate)

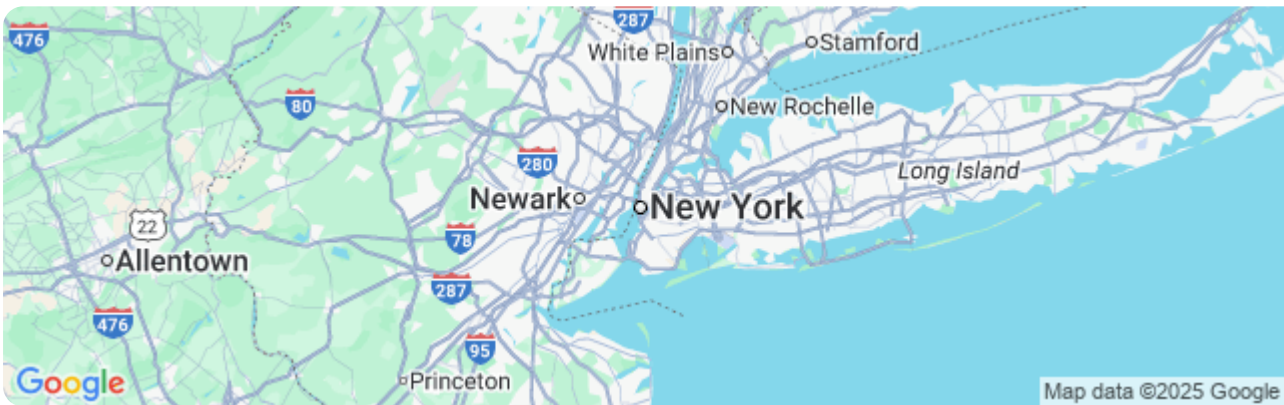
Enter a number...

### Case Priority Level

- ☐ High
- ☐ Medium
- ☐ Low

### Incident/Issue Location

[Set My Current Location](#)



## Data Collection & Documentation

Gathering all necessary information and maintaining accurate records in compliance with regulations.

### Initial Case Summary

Write something...

### Case ID

Enter a number...

### Date of Incident/Event

Enter date...

### Relevant Correspondence/Notes

Write something...

### Supporting Documents (e.g., Contracts, Reports)

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### Document Type

- ☐ Contract
- ☐ Report
- ☐ Correspondence
- ☐ Other

### Data Sources

- ☐ Client Interview
- ☐ Public Records
- ☐ Third-Party Reports

# Compliance Review

Verification against specific regulatory guidelines and internal policies.

**Applicable Regulations**

- ☐ Regulation A
- ☐ Regulation B
- ☐ Regulation C
- ☐ None Applicable

**Date of Last Regulatory Update Review**

Enter date...

**Compliance Score (e.g., 1-10)**

Enter a number...

**Detailed Explanation of Compliance Status**

Write something...

**Supporting Documentation (e.g., permits, licenses)**

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**Compliance Training Completion**

- ☐ Completed
- ☐ In Progress
- ☐ Not Required

### Identified Gaps and Remediation Plan

Write something...

## Stakeholder Communication

Managing and documenting communication with all relevant parties according to legal and regulatory standards.

### Initial Contact Date with Stakeholder

Enter date...

### Communication Method

- ☐ Email
- ☐ Phone
- ☐ Letter
- ☐ In-Person Meeting

### Summary of Communication

Write something...


### Number of Communications

Enter a number...

### Stakeholder Acknowledgment?

- ☐ Yes
- ☐ No

### Communication Record (e.g., Email, Letter)

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### Time of Last Communication

Enter time...

## Decision-Making & Approvals

Tracking all decisions and approvals made throughout the case management process, with required documentation.

### Initial Decision Authority

- ☐ Case Manager
- ☐ Team Lead
- ☐ Senior Manager

### Approval Threshold (Financial)

Enter a number...

### Date of Initial Approval

Enter date...

### Approver Signature

### Approval Rationale

Write something...

### Decision Type

☐ Approved

☐ Rejected

☐ Deferred

### Date of Final Decision

Enter date...

## Reporting & Auditing

Ensuring accurate and timely reporting and preparing for potential audits.

### Last Audit Date

Enter date...

### Number of Cases Audited

Enter a number...


### Audit Findings - Severity

- ☐ None
- ☐ Minor
- ☐ Moderate
- ☐ Major

### Summary of Audit Findings

Write something...

### Supporting Audit Documentation

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### Regulatory Reporting Status

- ☐ Not Required
- ☐ In Progress
- ☐ Completed

### Date of Next Scheduled Audit

Enter date...

## Case Closure & Archiving

Final steps to properly close the case and archive all relevant documentation in accordance with regulations.



### Case Closure Date

Enter date...


### Closure Summary & Justification

Write something...

### Closure Reason

- ☐ Case Resolved
- ☐ Case Dismissed
- ☐ Case Transferred
- ☐ Other

### Final Documentation Upload

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### Case Manager Signature

### Total Case Duration (Days)

Enter a number...

## Risk Mitigation & Contingency Planning

Identifying and addressing potential regulatory risks and developing appropriate contingency plans.

### Identify Potential Regulatory Risks

Write something...

### Risk Severity Score (1-10)

Enter a number...

### Risk Category

- ☐ Compliance
- ☐ Legal
- ☐ Financial
- ☐ Operational

### Describe Contingency Plan Actions

Write something...

### Contingency Plan Review Date

Enter date...

### Relevant Stakeholders for Contingency Execution

- ☐ Legal Team
- ☐ Compliance Officer
- ☐ Management
- ☐ External Counsel

Supporting Documentation for Risk Assessment

 Upload File