



Global Legal Solutions®

# Corporate Policies Checklist

Legal Dept. | Policy Asset Excellence



## PART A: INTRODUCTION

### 1. USING THIS CHECKLIST

- 1.1 In Part B of this checklist, we outline the different sources of corporate policy that should potentially be present in your ecosystem and in relation to which the legal department's actions should draw upon.
- 1.2 Even if you do not have 'formal' policies in place for all areas, it is still quite likely that you have 'practices' that are being observed and understanding the same is equally important.
- 1.3 Once a comprehensive policy landscape is established, you can, for example, ensure that your legal department's precedents reflect and re-enforce those corporate policies, practices and procedures.

### 2. FURTHER SUPPORT

- 2.1 If you would like to discuss the results of this Checklist / your transformation plans with GLS, you can always book a [free consultation](#) with a GLS Legal Operations expert.
- 2.2 Many policies referenced in this Checklist are available on the [GLS Legal Operations Centre](#), so you can quickly backfill and improve your policy landscape efficiently.

## PART B: CHECKLIST

### 1. GROUP LEGAL POLICIES

Policy Asset	Responses
1.1 Contracting Parameters Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.2 New Market Risk Mitigation	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.3 Corporate Governance Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.4 Internal - Operational Risks Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.5 Tax Risk Mitigation Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.6 Intellectual Property Management Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.7 Regulatory / Compliance Risk Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.8 Insurance Risk Mitigation Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.9 Claims Management Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
1.9.1 Systems and Data Management Policy	Present: <input type="checkbox"/>



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Not Present:

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## 2. RISK & COMPLIANCE POLICIES

Policy Asset	Responses
2.1 Business Ethics Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.2 Corporate Governance Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.3 Operational Risks Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.4 Anti-Bribery & Corruption Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.5 Anti-Money Laundering Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.6 KYC Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.7 Anti-Child Labour Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.8 Health & Safety Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.9 Anti-Animal Testing Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.10 OFAC (and/or equivalent) Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.11 Product Liability & Recalls Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.12 Whistleblowers Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.13 Conflict of Interest Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.14 Environmental Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
2.15 Competition / Anti-Trust Policy	Present: <input type="checkbox"/>



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Not Present:

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### 3. INFORMATION MANAGEMENT POLICIES

Policy Asset	Responses
3.1 Data Protection / Privacy Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
3.2 Data Protection Operating Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
3.3 Confidentiality Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
3.4 Internet & Email Usage Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
3.5 Cybersecurity Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
3.6 Document Storage, Retention & Destruction Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
3.7 Reporting Practices Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>

### 4. LEGAL TEAM POLICIES

Policy Asset	Responses
4.1 Contracting Parameters Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
4.2 Legal Dept. Operating Mandate Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
4.3 Delegation of Authority Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
4.4 Guidelines for External Legal Counsel Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
4.5 Claims Management Policy: Managing Litigation Risk	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
4.6 Claims Management Policy: Processing Claims	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
4.7 Claims Management Policy: Settlement Policy	Present: <input type="checkbox"/>



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4.8 Claims Management Policy: Managing Litigation Counsel

Not Present:

Present:

Not Present:

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## 5. SUPPLIER/DISTRIBUTOR MANAGEMENT POLICIES

Policy Asset	Responses
5.1 Vendor Codes of Conduct Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
5.2 Good Distribution Practices Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
5.3 Sub-Contractor Usage Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
5.4 Procurement Clubbing Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
5.5 Vendor Onboarding Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
5.5.1 Vendor Personal Data Protection Undertakings	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
5.5.2 Audit Rights Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
5.5.3 Personnel/Contractor/Distributor Background Check Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>

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## 6. HUMAN RESOURCES POLICIES

Policy Asset	Responses
6.1.1 Employee Handbook	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.2 Human Rights Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.3 Labour Rights Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.4 Equal Opportunity Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.5 Diversity Policy	Present: <input type="checkbox"/>

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		Not Present: <input type="checkbox"/>
6.6	Employee Face Mask	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.7	Employee Disciplinary Action Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.8	Employee Complaints Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.9	Acceptable Technology Usage Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.10	Anti-Harassment Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.11	Human Rights Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.12	Attendance, Vacation & Time-off Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.13	Substance Abuse Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.14	Workplace Security	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.15	Bring Your Own Device Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.16	Travel Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.17	Costs & Expenses Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.18	Employee Fraternization Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.19	Remote Working Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
6.20	Social Media Usage Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>

**7. GROUP TECHNICAL STANDARDS POLICIES**

Policy Asset	Responses
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7.1	Business Continuity Plan	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
7.2	Systems Security Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
7.3	Premises Security Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
7.4	Disaster Recovery Planning Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
7.5	Crisis Management Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
7.6	Quality Technical Assurance Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
7.7	Sales / Pricing Policy (e.g. RRP, MRP) Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
7.8	Warehousing / Safe Storage Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>

**8. ENVIRONMENTAL POLICIES**

	<b>Policy Asset</b>	<b>Responses</b>
8.1	Environmental Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
8.2	Occupational, Health and Safety Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
8.3	Site Access Policies	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>

**9. FINANCING POLICIES**

	<b>Policy Asset</b>	<b>Responses</b>
9.1	Negative Covenants Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
9.2	Tax Provisions Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>
9.3	Payment Cycles Policy	Present: <input type="checkbox"/>
		Not Present: <input type="checkbox"/>



9.4 Vendor Invoicing Requirements Policy

Present:

Not Present:

9.5 General Payments Terms

Present:

Not Present:

**10. INSURANCE POLICIES**

Policy Asset	Responses
10.1 Inured Risks / Non-Insured Risks Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>
10.2 Insurance Covenants Policy	Present: <input type="checkbox"/> Not Present: <input type="checkbox"/>