

Production Compliance Checklist

1. Legal & Regulatory Compliance

- ☐ Verify current permits, licenses, and registrations (EPA, OSHA, FDA, etc.)
- ☐ Confirm compliance with OSHA standards for workplace safety (29 CFR 1910/1926)
- ☐ Ensure all chemical substances meet EPA and EPA Toxic Substances Control Act (TSCA) regulations
- ☐ Confirm hazardous waste disposal follows Resource Conservation and Recovery Act (RCRA)
- ☐ Ensure product compliance with applicable industry-specific regulations (e.g., FDA for food/pharma, DOT for transport)
- ☐ Maintain Safety Data Sheets (SDS) accessible and up to date

2. Occupational Health & Safety (EHS)

- ☐ Conduct daily safety inspections of equipment and work areas
- ☐ Ensure all required Personal Protective Equipment (PPE) is available and worn correctly
- ☐ Confirm emergency exits and evacuation routes are clearly marked and unobstructed
- ☐ Test fire protection systems, alarms, and suppression devices
- ☐ Document all workplace incidents, near misses, and corrective actions taken
- ☐ Verify all employees have completed required safety and hazard training
- ☐ Review compliance with confined space, lockout/tagout, and fall protection procedures

3. Control & Assurance

- ☐ Inspect raw materials against specifications before use
- ☐ Validate in-process inspections at critical control points
- ☐ Record and address non-conformities and deviations immediately
- ☐ Ensure all measuring and testing equipment is calibrated and maintained per ISO 9001 standards
- ☐ Verify batch and lot traceability throughout production and shipment
- ☐ Confirm adherence to approved Standard Operating Procedures (SOPs)

4. Process & SOP Compliance

- ☐ Follow documented start-up, shutdown, and changeover procedures
- ☐ Approve and document any process deviations or changes prior to execution
- ☐ Ensure maintenance schedules and preventive maintenance tasks are completed and recorded
- ☐ Validate cleanliness and sanitation of equipment and production areas, especially in food/pharma sectors
- ☐ Maintain controlled environments as required (temperature, humidity, cleanroom conditions)

5. Training & Workforce Competency

- ☐ Confirm all employees have up-to-date training records relevant to their tasks
- ☐ Conduct refresher courses on critical compliance topics annually or as needed
- ☐ Verify contractors and temporary workers receive site-specific safety and quality training
- ☐ Track certifications and licenses for specialized roles (e.g., forklift operators, welders)

6. Documentation & Record Keeping

- ☐ Capture inspection and test data digitally with tamper-evident timestamping where possible
- ☐ Securely store and version control SOPs, policies, and compliance documentation
- ☐ Retain all records in accordance with regulatory requirements (e.g., FDA 21 CFR Part 11, OSHA record retention)
- ☐ Document corrective and preventive actions with clear ownership and deadlines
- ☐ Ensure data privacy compliance when handling employee or customer information

7. Environmental Compliance

- ☐ Monitor emissions and discharge to comply with EPA regulations
- ☐ Track energy, water, and material consumption for sustainability reporting
- ☐ Ensure waste segregation, recycling, and disposal are properly managed
- ☐ Conduct periodic environmental impact assessments and audits

8. Supplier & Material Compliance

- ☐ Verify supplier certifications, including ISO 9001, ISO 14001, and industry-specific standards
- ☐ Review Certificates of Analysis (CoA) and Certificates of Conformance (CoC) for incoming materials
- ☐ Reject and quarantine non-compliant or suspect materials immediately
- ☐ Conduct supplier audits on critical vendors regularly

9. Audit & Continuous Improvement

- ☐ Schedule and conduct internal compliance audits regularly
- ☐ Track and close audit findings promptly with documented evidence
- ☐ Use Key Performance Indicators (KPIs) to monitor compliance and quality trends
- ☐ Implement root cause analysis for recurring issues
- ☐ Incorporate lessons learned into training and process improvements

10. Cybersecurity & Digital Integrity (for digital systems)

- ☐ Ensure access controls and user permissions are strictly managed
- ☐ Use encryption and secure backups for sensitive compliance data
- ☐ Monitor systems for unauthorized changes or data tampering
- ☐ Maintain compliance with industry standards like NIST, ISO/IEC 27001 where applicable

Compliance Officer / Production Manager: _____

Date: _____