

Monthly Compliance Report

Title Page

- **Title:** Monthly Compliance Report for [Month, Year]
- **Company Name:** [Company Name]
- **Prepared By:** [Name/Title of Preparer]
- **Date of Submission:** [Date]

1. Executive Summary

- **Objective:** Purpose of the compliance report.
- **Compliance Status:** General compliance status (Compliant/Non-Compliant).
- **Key Highlights:** Major compliance activities and outcomes for the month.

2. Compliance Areas Monitored

- **Legal Compliance:** Regulatory compliance and industry standards.
- **Operational Compliance:** Process and procedure adherence.
- **Health and Safety Compliance:** Health and safety compliance checks.

3. Compliance Checks & Audits

- **Audit Summary:** List of audits conducted.
- **Compliance Status:** Pass/fail results of the audits.
- **Areas of Non-Compliance:** Specific areas where non-compliance was noted.

4. Issues and Risk Areas

- **Compliance Issues:** Key compliance issues observed.
- **Risk Assessment:** Risks posed by non-compliance.
- **Corrective Actions Taken:** Steps taken to address compliance issues.

5. Compliance Metrics and KPIs

- **Compliance Rate:** Percentage of compliance for the month.
- **Audit Scores:** Scores from internal/external audits.

6. Corrective and Preventive Actions (CAPA)

- **Corrective Actions:** Actions taken to address non-compliance issues.
- **Preventive Actions:** Actions taken to avoid recurrence.

7. Regulatory Updates

- **New Rules and Regulations:** Any updates in laws or regulations that impact compliance.
- **Policy Changes:** Internal policy changes for compliance.

8. Recommendations and Next Steps

- **Recommendations:** Suggestions for process improvements.
- **Next Month's Focus:** Areas to be prioritized for next month's compliance efforts.

9. Appendices & Attachments

- **Audit Reports:** Attach internal/external audit reports.
- **Compliance Checklists:** Checklists used during compliance reviews.
- **Regulatory Documents:** Any regulatory references or standards used.