Compliance Calendar Checklist

A starting checklist of common obligations to confirm for your business

Intended for: owners, compliance leads, and managers building or checking a compliance calendar.
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Use this list to build or check your compliance calendar. It is not complete for any business: confirm which items apply to you, and add any others your licenses, leases, and rules create. Each item that applies needs a due date, a lead time, an owner, and a backup. Pair it with the SPL Compliance Calendar Template (Excel), which uses the same categories.

01 Licenses and permits

- ☐ State or provincial operating license: expiry and renewal window
- ☐ Local business license or conditional use permit
- ☐ Tobacco, vapor, or nicotine permits, where they apply
- ☐ Sales tax or seller's permit registration
- ☐ Owner, manager, or staff licenses that expire
- ☐ Change notices: ownership, managers, or premises

02 Leases and facilities

- ☐ Lease expiry, renewal option, and notice deadline
- ☐ Rent increases and operating cost reconciliations
- ☐ Fire alarm, sprinkler, and extinguisher service dates
- ☐ Security system, camera, and video retention checks
- ☐ Landlord signatures needed for license renewals

03 Policies and training

- ☐ New-hire training finished within the required window
- ☐ Refresher training for all staff on a set cycle
- ☐ ID-checking and age-verification procedure review
- ☐ SOP review dates, each with a named owner
- ☐ Incident, emergency, and recall procedure practice

04 Reporting and filings

- ☐ Sales, excise, and other tax returns by due date
- ☐ Inventory or track-and-trace reports, where required
- ☐ Annual entity reports and registered agent renewals
- ☐ Required notices to regulators, such as incidents
- ☐ Record retention and scheduled destruction dates

05 Insurance and vendors

- ☐ General liability, property, and product policies
- ☐ Workers' compensation and any required bonds
- ☐ Certificates of insurance landlords and vendors require
- ☐ Supplier and vendor license expiry checks
- ☐ Service contracts: security, waste, POS, and software

Make it work

Owner and backup. An accountable role, the person assigned now, and a backup who can act when they are out.

Lead time. Record the date work starts, in calendar days before the due date.

Source and evidence. Note where each requirement comes from and what proves it was done.

Review cadence. Review the whole calendar on a set day, such as once a month. This is a suggestion; follow any schedule your rules set.

Prepared by SPL Management | Want a second set of eyes? spl-management.com/consultation

General information only. Requirements vary by jurisdiction and change often; confirm current rules with your regulator or a qualified professional.