

Professional Services Compliance & Renewal Checklist

For accounting, architecture, engineering, insurance, IT services & staffing firms.

Company / Business	Review Date

How to use: Check each item when current and compliant. Record the responsible owner, expiration/renewal date, and any follow-up notes.

1	Core Business & Entity Documents	Owner	Expires	Notes
☐	General business license (city / county / state)			
☐	Certificate of good standing			
☐	DBA / fictitious name registration			
☐	Articles of incorporation / organization			
☐	Operating or partnership agreement			
☐	Annual state reports			
☐	Foreign state registrations (if applicable)			
2	Professional & Occupational Licenses	Owner	Expires	Notes
☐	CPA / Accounting firm license			
☐	Architect license			
☐	Professional engineer license			
☐	Surveyor license			
☐	Insurance agency producer license			
☐	Individual professional licenses			
☐	Notary commission			
☐	Continuing education (CE) certificates			
3	Industry-Specific Firm Registrations	Owner	Expires	Notes
☐	Professional firm registration (state)			
☐	Insurance DOI registrations			
☐	Staffing / employment agency license			
☐	IT services reseller authorizations			
☐	Government contractor registrations			
4	Insurance Policies & Proof	Owner	Expires	Notes

☐	General liability insurance			
☐	Professional liability / E&O; insurance			
☐	Cyber liability insurance			
☐	Workers' compensation insurance			
☐	Employment practices liability (EPLI)			
☐	Certificates of insurance (COIs)			
☐	Additional insured endorsements			
☐	Waivers of subrogation			

5	Client & Contract Requirements	Owner	Expires	Notes
☐	Master service agreements (MSAs)			
☐	Client compliance attestations			
☐	Third-party risk questionnaires			
☐	NDAs / confidentiality agreements			
☐	Client-mandated renewal proofs			
☐	Background check confirmations			

6	Regulatory, Privacy & Security Compliance	Owner	Expires	Notes
☐	Privacy policy attestations			
☐	Data protection addenda			
☐	SOC reports (if applicable)			
☐	ISO / security certifications			
☐	Cybersecurity awareness training			
☐	Access review attestations			

7	Financial, Tax & Payroll Filings	Owner	Expires	Notes
☐	IRS EIN confirmation			
☐	Sales tax registrations			
☐	Payroll tax registrations			
☐	Unemployment insurance registration			
☐	Franchise / gross receipts tax filings			

8	Facilities & Office Compliance	Owner	Expires	Notes
☐	Certificate of occupancy			
☐	Use & zoning permits			

☐	Fire inspection certificates			
☐	Signage permits			
☐	Lease compliance documents			

9	Technology, Software & Digital Assets	Owner	Expires	Notes
☐	Domain registrations			
☐	SSL certificates			
☐	Software & SaaS licenses			
☐	Cloud service agreements			
☐	IT acceptable-use policies			

10	Staffing & Workforce Compliance	Owner	Expires	Notes
☐	Employee credential validations			
☐	Contractor agreements			
☐	Temporary worker licenses			
☐	Labor law notices			
☐	Training completion records			

11	Certifications & Accreditations	Owner	Expires	Notes
☐	Industry association memberships			
☐	Minority / woman / veteran-owned certifications			
☐	Small business certifications			
☐	Quality management certifications			

12	One-Off & High-Risk Expiring Items	Owner	Expires	Notes
☐	Provisional licenses			
☐	Conditional approvals			
☐	Temporary authorizations			
☐	Waivers with expiration dates			

Final Review / Follow-Up		Owner	Due Date
Outstanding items / renewals requiring action			
Additional notes			