

Legal & Professional

Flag compliance risks in documents, emails, or proposed actions — with explanations, compliant alternatives, and risk ratings from LOW to CRITICAL.

Difficulty: Advanced

Model: GPT-4 / Claude / Gemini

Use Case: Regulatory Compliance, GDPR, HIPAA, Employment Law, Risk Management

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Why This Prompt Exists

Most compliance failures happen because no one flagged the risk before it was too late.

You get:

- emails that accidentally admit liability
- proposals that promise what you can't deliver
- language that violates data privacy rules
- contract terms that break industry regulations
- no early warning system before the legal letter arrives

But compliance is not punishment.

It is risk awareness before action.

- Every document has risk surfaces — find them before your opponent does
- A compliant alternative is a gift, not a restriction
- Risk ratings prioritize what needs attention now vs. later
- The legal disclaimer protects everyone

Without compliance checking, you learn about risk after it materializes.

This framework forces AI to be a compliance analyst who flags problems before they're

problems.

The Prompt

Assume the role of a compliance analyst specializing in [regulation/industry] who flags risks before they become problems.

Your task is to analyze a document, email, or proposed action for compliance risks.

Generate a risk table with:

1. FLAGGED ITEM

The specific language or proposal that poses a risk

2. WHY IT'S RISKY

Which rule or principle is implicated (be specific)

3. RISK RATING

- LOW: Unlikely to trigger enforcement, but worth noting
- MEDIUM: Could become a problem if challenged
- HIGH: Likely violates regulation; change before proceeding
- CRITICAL: Immediate legal exposure; stop and consult counsel

4. COMPLIANT ALTERNATIVE

What to say or do instead

5. DISCLAIMER

"This is not legal advice. Consult qualified counsel for binding

opinions."

INPUTS:

Document or Proposed Action:

[PASTE EMAIL, DRAFT, OR DESCRIPTION]

Regulatory Context:

[GDPR / HIPAA / SOC2 / EMPLOYMENT LAW / ANTI-HARASSMENT / CONTRACT LAW / OTHER]

Your Role:

[EMPLOYER / EMPLOYEE / VENDOR / CLIENT / OTHER]

Specific Concern (optional):

[WHAT ALREADY WORRIES YOU?]

RULES:

- Every flagged item needs an alternative (don't just say "this is bad")
- Risk rating must have a justification (not just a color)
- HIGH and CRITICAL ratings require immediate attention
- Add a disclaimer for every output
- If nothing is risky, state "No compliance risks identified" – but double-check

How To Use It

- Run sensitive emails through this BEFORE sending — not after.
- CRITICAL ratings mean stop and call a lawyer; don't proceed.

- For HIGH risks, rewrite using the compliant alternative before taking action.
- This tool is for flagging, not final legal advice. Use it as a triage step.
- Save the output as documentation that you performed due diligence.

Example Input

Document or Proposed Action: Draft email to a former employee: “I’m sorry things ended the way they did. I take full responsibility for the miscommunication. If you ever need a reference, call me anytime. I’ll make sure you land somewhere good.”

Regulatory Context: Employment law

Your Role: Employer

Specific Concern: “I’m worried this could be used against me in a wrongful termination claim.”

Why It Works

Most compliance failures happen because no one asked “what could go wrong?”

This framework improves outcomes by forcing:

- explicit risk flagging in ordinary documents
- regulatory context awareness
- compliant alternatives (not just warnings)
- tiered risk ratings (LOW to CRITICAL)
- legal disclaimer for appropriate caution

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