

Functional Operations Audit Checklist

Audit Checklist Table

No.	Audit Area	Checklist Item	Yes	No	Comments / Evidence
1	Policies & Procedures	Are current operating procedures documented and accessible?			
2	Compliance	Are regulatory requirements consistently monitored and followed?			
3	Resource Management	Are resources (staff, equipment) adequately allocated for operations?			
4	Process Efficiency	Are there established KPIs to monitor operational efficiency?			
5	Risk Management	Is there a risk assessment and mitigation plan in place?			
6	Communication	Are communication protocols effective and well-documented?			
7	Training	Are all staff sufficiently trained for their roles?			
8	Continuous Improvement	Is there evidence of regular review and improvement of processes?			

Important Notes

- This checklist should be tailored to the specific operational context and compliance requirements of your organization.
- Supporting evidence and comments help improve the audit's reliability and provide a basis for follow-up actions.
- Regular audits help identify gaps, promote accountability, and support continuous operational improvement.
- The audit team should be familiar with relevant policies and industry-specific regulations before conducting the review.