Operational Process Audit Checklist

Document Information

Document Title	Operational Process Audit Checklist
Department/Area	
Date	
Auditor(s)	
Process Owner	

Audit Checklist

#	Audit Area	Checklist Item	Compliant (Yes/No)	Evidence/Comments
1	Documentation	Are operational procedures documented and accessible?		
2	Training & Competency	Have staff received adequate training for their roles?		
3	Process Compliance	Are procedures being followed as documented?		
4	Record Keeping	Are records maintained and stored correctly?		
5	Continuous Improvement	Is there a process for identifying and implementing improvements?		

Findings & Recommendations

Reference	Findings	Recommendations

Action Plan

Action Item	Responsible Person	Due Date	Status

Important Notes

- This checklist ensures systematic evaluation of operational processes for compliance and effectiveness.
- Documented evidence should support each checklist response wherever possible.
- Regular audits help identify areas for improvement and mitigate operational risks.
- Action plans should have designated owners and due dates to ensure accountability.
- The checklist may be customized according to department or industry-specific requirements.