

Operations Audit Checklist: Compliance Document

Document Details

Document Title	Operations Audit Checklist - Compliance Assessment
Date	_____
Auditor(s)	_____
Department/Unit	_____

Checklist Items

#	Compliance Area	Description	Status (Yes/No/N/A)	Notes
1	Policies & Procedures	Are all operational policies updated and communicated?	_____	_____
2	Documentation	Are compliance documents easily accessible and retained as required?	_____	_____
3	Training	Is all staff training on compliance up-to-date?	_____	_____
4	Reporting	Are incidents and breaches reported and addressed promptly?	_____	_____
5	Internal Controls	Are controls in place to prevent and detect non-compliance?	_____	_____
6	Legal & Regulatory	Is the operation compliant with all relevant laws and regulations?	_____	_____

Findings & Recommendations

Finding	Recommendation	Priority	Responsible Party
_____	_____	High / Medium / Low	_____
_____	_____	High / Medium / Low	_____

Sign-Off

Auditor Name	_____
Signature	_____
Date	_____

Important Notes:

- This checklist should be reviewed and updated regularly to reflect current compliance requirements.
- All findings and recommendations should be clearly documented for accountability and follow-up.
- Evidence supporting compliance should be retained and made available for audit purposes.
- This document is confidential and should be handled according to internal document security policies.