Compliance Audit Program Checklist

General Information

Organization Name

Auditor

Date

Audit Scope

Compliance Checklist

#	Requirement/Control	Compliant	Comments
1	Policies are documented, reviewed, and updated annually.	[ ] Yes [ ] No [ ] N/A	
2	Employee training on compliance requirements is conducted regularly.	[ ] Yes [ ] No [ ] N/A	
3	Records retention meets legal and regulatory standards.	[ ] Yes [ ] No [ ] N/A	
4	Access controls are implemented for sensitive information.	[ ] Yes [ ] No [ ] N/A	
5	Incident response procedures are documented and tested.	[ ] Yes [ ] No [ ] N/A	

Findings and Recommendations

Finding	Recommendation	Responsible Person	Target Date

Important Notes

- This checklist is a guidance tool and should be tailored to the specific audit scope and requirements.
- Regular updates ensure relevance to evolving regulations and internal policies.
- Supporting evidence should be collected and referenced for each item evaluated.
- Clear documentation of findings and corrective actions is critical for effective compliance management.
- Involve relevant stakeholders when reviewing and updating the checklist items.