

Annual Internal Audit Compliance Checklist

Sample Format (XLSX Spreadsheet)

Period Covered: _____

Department/Unit: _____

No.	Compliance Area/Item	Reference	Compliant (Yes/No)	Evidence/Remarks	Risk Level (High/Medium/Low)	Action Required/Responsible
1	Policies and procedures are documented and updated	Policy Manual Sec. 2				
2	All transactions are authorized as per delegation matrix	Delegation Matrix v3				
3	Monthly reconciliations performed	Reconciliation SOP				
4	Data privacy controls reviewed	Data Privacy Act				
5	Employee training records up-to-date	Training Log 2024				

Important Notes:

- This checklist should be reviewed and updated annually, or as regulations require.
- Ensure all evidence and remarks are supported by documentation during audits.
- Clearly assign responsibility for action items to facilitate follow-up and accountability.
- High-risk areas should be prioritized for corrective action and monitoring.
- Maintain a separate version/history log for audit trail purposes.