

Departmental Compliance Audit Checklist

Department:

Auditor:

Date:

Period Covered:
e.g. Q1 2024

1. Policies & Procedures

Item	Compliant (Y/N)	Comments/Findings
Department policies are documented and up to date	<input type="text"/>	<input type="text"/>
Staff are aware and trained on compliance requirements	<input type="text"/>	<input type="text"/>
Policies reviewed within last 12 months	<input type="text"/>	<input type="text"/>

2. Records Management

Item	Compliant (Y/N)	Comments/Findings
Records retained as per policy/guidelines	<input type="text"/>	<input type="text"/>
Records are secured and accessible to authorized personnel only	<input type="text"/>	<input type="text"/>
Confidential information is properly managed/disposed	<input type="text"/>	<input type="text"/>

3. Compliance with Legal & Regulatory Requirements

Item	Compliant (Y/N)	Comments/Findings
Department complies with relevant laws and industry standards	<input type="text"/>	<input type="text"/>
Licenses/permits maintained and up to date	<input type="text"/>	<input type="text"/>
No recent violations or penalties reported	<input type="text"/>	<input type="text"/>

4. Risk Management

Item	Compliant (Y/N)	Comments/Findings
Risks regularly identified and assessed	<input type="text"/>	<input type="text"/>

Action plans in place for remediation	<input type="text"/>	<input type="text"/>
Incident reporting process is followed	<input type="text"/>	<input type="text"/>

5. Follow-up Actions

Observation/Issue	Action Required	Responsible	Due Date
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Important Notes:

- This checklist serves as a guide and should be tailored to meet department-specific requirements.
- Supporting documentation should be attached to substantiate responses where necessary.
- Completion of this checklist does not guarantee full compliance; further investigation may be required.
- All significant findings and actions must be followed up and documented appropriately.
- Retain completed checklists for audit and review purposes.