

Detailed Compliance Checklist for Internal Audits

#	Audit Checkpoint	Requirement	Responsible Person	Compliant? (Yes/No)	Notes / Evidence
1	Policy Documentation	All required policies are documented and up to date	Compliance Officer		
2	Employee Training	Staff have completed mandatory training modules	HR Manager		
3	Access Controls	User access to systems is appropriate and reviewed regularly	IT Administrator		
4	Incident Reporting	All incidents are logged and investigated	Operations Head		
5	Data Protection	Personal data is stored and processed securely	DPO / IT Manager		
6	Third-Party Compliance	Vendors meet compliance requirements	Procurement Lead		
7	Physical Security	Restricted areas are secured and monitored	Facilities Manager		
8	Record Retention	Retention policies are enforced	Record Custodian		

Important Notes

- This checklist should be reviewed and updated regularly to reflect current regulations and organizational policies.
- Evidence and documentation should be collected for each item during audits.
- Assign clear responsibility to ensure accountability and follow-up.
- Non-compliance items should trigger corrective actions and follow-up audits.
- Customize the checklist to fit specific regulatory frameworks and internal processes.