

Internal Audit Compliance Checklist Template

Date: _____
Department/Area: _____
Auditor(s): _____

Compliance Area	Audit Criteria/Questions	Compliant (Yes/No)	Evidence/Remarks	Action Required
Documentation Control	Are all required documents up to date and properly maintained?			
Training & Competence	Have all staff received necessary training for their roles?			
Process Compliance	Are procedures being followed as defined in policy?			
Health & Safety	Are all Health & Safety guidelines being complied with?			
Risk Management	Are risks regularly assessed and documented?			
Corrective Actions	Are previous audit findings addressed and closed?			

Important Notes

- This checklist serves as a guide and can be customized for specific organizational needs.
- Maintain evidence and proper documentation for all findings and action items.
- Regularly review and update the checklist to reflect changes in regulations or internal policies.
- Ensure all corrective actions are tracked and closed out in subsequent audits.
- Use this template as part of a broader internal audit and continuous improvement process.