Internal Audit Compliance Checklist

Department:

_____

Date of Audit:

_____

Auditor(s):

_____

1. General Compliance

Checklist Item	Compliant (Yes/No)	Evidence / Notes	Action Required
All relevant policies & procedures are documented and current			
Employees have received compliance training			
Regulatory requirements are regularly reviewed and updated			

2. Financial Controls

Checklist Item	Compliant (Yes/No)	Evidence / Notes	Action Required
Transactions are properly authorized			
Reconciliations are performed regularly			
Physical assets are periodically verified			

3. Information Security

Checklist Item	Compliant (Yes/No)	Evidence / Notes	Action Required
User access is reviewed and updated periodically			
Confidential data is securely stored and transmitted			
Incident response procedures are established			

4. Follow-Up Actions

Issue Identified	Action to be Taken	Responsible	Due Date

5. Sign-Off

Auditor Name & Signature	Date	Manager Approval

Important Notes:

- This document should be tailored to the specific compliance requirements of your organization and industry.
- Checklists should be regularly reviewed and updated to reflect policy and regulatory changes.
- Evidence should be documented clearly to support findings and recommendations.
- All issues must have clear follow-up actions and assigned responsibility.
- Maintain audit records for future reference and continuous improvement.