Internal Audit Compliance Self-Assessment Checklist

Department/Division: _____

Date: _____

Completed by: _____

Checklist Items

Assessment Question	Yes	No	N/A	Comments/Evidence
Are internal controls documented and up to date?	☐	☐	☐	
Are relevant policies and procedures communicated to staff?	☐	☐	☐	
Has compliance training been provided in the last 12 months?	☐	☐	☐	
Are required records maintained and retained as per policy?	☐	☐	☐	
Is there a process for reporting and investigating compliance breaches?	☐	☐	☐	
Are corrective actions from previous audits implemented timely?	☐	☐	☐	
Is management regularly reviewing compliance monitoring reports?	☐	☐	☐	
Are there ongoing efforts for continuous improvement?	☐	☐	☐	

Summary of Findings / Actions Required

Observation	Action/Responsible/Deadline

Important Notes

- This checklist is intended as a self-assessment tool; results should be reviewed by management.
- Supporting evidence should be maintained for all responses marked as "Yes".
- Any areas of non-compliance must have documented action plans.
- Regular review and updating of the self-assessment checklist are recommended.
- Consult internal audit or compliance teams for guidance or questions.