Process-based Compliance Audit Checklist (Sample - Interactive Excel Format)

No.	Process Step	Compliance Requirement	Compliant (Yes/No)	Evidence/Remarks	Responsible
1	Document appro	All documents	☐ Yes ☐ No	Add remarks or notes	John Doe
2	Data backup	Backups mus	☐ Yes ☐ No	Add remarks or notes	IT Team
3	Access control	Access rights	☐ Yes ☐ No	Add remarks or notes	HR Dept
4	Process step	Compliance re	☐ Yes ☐ No	Add remarks or notes	Responsible

Important Notes:

- Each process step should be clearly defined and aligned to relevant compliance requirements.
- Regular updates and reviews are essential to maintain accuracy and relevance.
- Ensure that evidence and remarks are sufficiently detailed for audit trails.
- Responsible persons should be notified for any non-compliance actions required.
- This checklist can be exported and used in Excel for broader interactive use and record-keeping.