



# Compliance Audit Checklist

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## Regulatory Compliance

- ☐ Federal regulations identified
- ☐ State regulations reviewed
- ☐ Local ordinances checked
- ☐ Industry standards applied
- ☐ International requirements considered
- ☐ Regulatory changes tracked
- ☐ Compliance calendar maintained
- ☐ Filing deadlines met
- ☐ Licenses current
- ☐ Permits valid
- ☐ Registrations complete
- ☐ Certifications maintained

## Policy Compliance

- ☐ Corporate policies current
- ☐ Department procedures updated
- ☐ Policy distribution tracked
- ☐ Acknowledgments obtained
- ☐ Training completed
- ☐ Understanding verified
- ☐ Exceptions documented
- ☐ Waivers approved properly
- ☐ Version control maintained
- ☐ Review cycle followed
- ☐ Updates communicated
- ☐ Accessibility ensured

## Financial Compliance

- ☐ SOX requirements met
- ☐ Internal controls tested
- ☐ Financial reporting accurate
- ☐ Tax compliance verified
- ☐ Audit trail maintained
- ☐ Segregation of duties
- ☐ Authorization limits followed
- ☐ Documentation complete

- ☐ Reconciliations performed
- ☐ Disclosures adequate
- ☐ Material weaknesses addressed
- ☐ Fraud prevention active

## Data Protection

- ☐ Privacy policies implemented
- ☐ GDPR compliance verified
- ☐ CCPA requirements met
- ☐ Data classification followed
- ☐ Consent management proper
- ☐ Breach procedures tested
- ☐ Retention policies followed
- ☐ Deletion procedures working
- ☐ Access controls adequate
- ☐ Encryption standards met
- ☐ Third-party agreements reviewed
- ☐ Cross-border transfers compliant

## Environmental Compliance

- ☐ Environmental permits current
- ☐ Emission standards met
- ☐ Waste disposal compliant
- ☐ Water discharge permitted
- ☐ Air quality monitored
- ☐ Hazardous materials managed
- ☐ Spill prevention plans
- ☐ Emergency response ready
- ☐ Training records complete
- ☐ Inspection reports filed
- ☐ Corrective actions taken
- ☐ Sustainability goals tracked

## Health & Safety

- ☐ OSHA standards met
- ☐ Safety programs implemented
- ☐ Incident reporting functional
- ☐ Investigation procedures followed
- ☐ Corrective actions documented
- ☐ Training records current
- ☐ PPE requirements met
- ☐ Emergency procedures posted
- ☐ Evacuation plans tested
- ☐ First aid available
- ☐ Industrial hygiene monitored

- ☐ Ergonomics addressed

## Employment Law

- ☐ Equal opportunity compliance
- ☐ Wage and hour laws followed
- ☐ Leave policies compliant
- ☐ Discrimination prevention active
- ☐ Harassment training current
- ☐ Accommodation procedures working
- ☐ Termination procedures legal
- ☐ Background checks compliant
- ☐ Drug testing lawful
- ☐ Worker classification correct
- ☐ Union agreements honored
- ☐ Whistleblower protections

## Contract Compliance

- ☐ Contract terms tracked
- ☐ Performance metrics met
- ☐ Deliverables completed
- ☐ Payment terms followed
- ☐ Change orders documented
- ☐ Amendments properly executed
- ☐ Renewal dates monitored
- ☐ Termination clauses understood
- ☐ Indemnification reviewed
- ☐ Insurance requirements met
- ☐ Dispute resolution followed
- ☐ Audit rights preserved

## Information Security

- ☐ Security policies enforced
- ☐ Access controls tested
- ☐ Password requirements met
- ☐ Encryption standards followed
- ☐ Incident response tested
- ☐ Vulnerability assessments done
- ☐ Patch management current
- ☐ Security training completed
- ☐ Third-party risks assessed
- ☐ Penetration testing performed
- ☐ Compliance frameworks followed
- ☐ Audit logs reviewed

## Quality Standards

- ☐ ISO compliance verified
- ☐ Quality management system active
- ☐ Process controls working
- ☐ Product standards met
- ☐ Service levels achieved
- ☐ Customer requirements fulfilled
- ☐ Supplier standards enforced
- ☐ Inspection procedures followed
- ☐ Non-conformance tracked
- ☐ Corrective actions effective
- ☐ Preventive measures implemented
- ☐ Continuous improvement shown

## Ethics & Conduct

- ☐ Code of conduct distributed
- ☐ Ethics training completed
- ☐ Conflict of interest disclosed
- ☐ Gift policy followed
- ☐ Anti-corruption measures active
- ☐ Hotline functional
- ☐ Investigation procedures ready
- ☐ Disciplinary actions consistent
- ☐ Tone at the top positive
- ☐ Cultural alignment verified
- ☐ Values demonstrated
- ☐ Integrity maintained

## Monitoring & Reporting

- ☐ Compliance metrics defined
- ☐ KPIs tracked regularly
- ☐ Dashboard updated
- ☐ Exception reports reviewed
- ☐ Trend analysis performed
- ☐ Root cause analysis done
- ☐ Action plans developed
- ☐ Progress monitored
- ☐ Escalation procedures followed
- ☐ Board reporting completed
- ☐ Stakeholder communication done
- ☐ Continuous improvement pursued

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