

# Financial Compliance Audit Checklist

## 1. FINANCIAL POLICIES & PROCEDURES

- ☐ Policies and procedures are documented and up to date
- ☐ Staff are trained on financial policies

## 2. INTERNAL CONTROLS

- ☐ Segregation of duties is enforced
- ☐ Access to financial systems controlled

## 3. ACCOUNTING & REPORTING

- ☐ Financial statements are regularly prepared
- ☐ Bank reconciliations are performed

## 4. REGULATORY COMPLIANCE

- ☐ Compliance with tax filing requirements
- ☐ Reports filed as required by law

## 5. RECORD KEEPING

- ☐ Financial records are complete and retained
- ☐ Document retention policy is followed