Compliance Audit Checklist for Financial Records

Checklist Item	Compliant?	Comments
Financial statements are up-to-date and accurately maintained	☐ Yes ☐ No ☐ N/A	
Bank reconciliations are performed regularly	☐ Yes ☐ No ☐ N/A	
Invoices and receipts are properly filed and archived	☐ Yes ☐ No ☐ N/A	
Expense approvals are documented according to policy	☐ Yes ☐ No ☐ N/A	
Tax filings are completed and records retained	☐ Yes ☐ No ☐ N/A	
Internal controls for financial transactions are observed	☐ Yes ☐ No ☐ N/A	
Access to financial systems is appropriately restricted	☐ Yes ☐ No ☐ N/A	
Supporting documentation is available for all transactions	☐ Yes ☐ No ☐ N/A	

Audit Summary

Auditor Name:

Audit Date:

Overall Comments: