

Finance Department Audit Checklist

Date: _____ Auditor: _____ Department: _____

1. Financial Statements

Audit Item	Compliant	Comments
All financial statements are prepared and reviewed regularly.	<input type="checkbox"/>	
Statements are reconciled to bank records.	<input type="checkbox"/>	
Supporting documentation is available for all entries.	<input type="checkbox"/>	

2. Internal Controls

Audit Item	Compliant	Comments
Duties are segregated to prevent fraud or error.	<input type="checkbox"/>	
Access to financial data is properly restricted.	<input type="checkbox"/>	
Regular internal reviews are conducted and documented.	<input type="checkbox"/>	

3. Compliance

Audit Item	Compliant	Comments
All statutory filings are up-to-date and accurate.	<input type="checkbox"/>	
Policies and procedures are updated and followed.	<input type="checkbox"/>	
Required approvals are documented and retained.	<input type="checkbox"/>	

4. Cash Management

Audit Item	Compliant	Comments
Cash handling procedures are in place and enforced.	<input type="checkbox"/>	
Cash balances are reconciled daily.	<input type="checkbox"/>	
Petty cash records are complete and accurate.	<input type="checkbox"/>	

5. Accounts Payable & Receivable

Audit Item	Compliant	Comments
Invoices are processed and approved promptly.	<input type="checkbox"/>	
Payments are made according to schedule and policy.	<input type="checkbox"/>	
Receivables are monitored and collected timely.	<input type="checkbox"/>	

Additional Comments/Notes:

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