renewaltracker

FREE CHECKLIST

Compliance Audit Prep Checklist

A practical checklist for audits, inspections and customer or insurer reviews that ask you to prove your licenses, permits, certifications, policies and contracts are current.

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Compliance Audit Prep Checklist

For audits, inspections and customer or insurer reviews that ask you to prove your licenses, permits, certifications, policies and contracts are current. Tick each box as you go. Your auditor or regulator decides what is actually required.

1. Know what will be checked

- [ ] Get the scope in writing: which locations, entities, people and time period the audit covers.
- [ ] List the records they will ask for: licenses, permits, inspections, employee certifications and training, insurance policies and certificates, contracts.
- [ ] Find out how they want proof: originals, copies, a list, or access to a system.
- [ ] Name who will answer questions, and a backup.

2. Check that everything in scope is current

- [ ] Match your renewal list against the scope: every location, entity and person in scope has every item it needs.
- [ ] Check each expiration date against the audit date, and against the whole period the audit looks back on.
- [ ] Renew anything that expires before the audit or soon after it, so it isn't raised as a risk.
- [ ] Look for gaps: items that lapsed during the period, people who worked without a current credential, locations added without their permits.

3. Put the proof in one place

- [ ] Keep the current document for every item: license, permit, certificate, card, policy or signed contract.
- [ ] Keep earlier versions too, if the audit covers past periods.
- [ ] Keep renewal confirmations, receipts and inspection reports.
- [ ] Name and file documents the same way everywhere, so anyone can find them the same day.

4. Prepare honest explanations

- [ ] For each gap or lapse, write down what happened, when it was fixed and what changed so it won't happen again.
- [ ] Keep evidence of the fix: the reinstatement, the new certificate, the new reminder or owner.

5. During the audit

- [ ] Log every request: what was asked, by whom, when, and what you provided.
- [ ] Answer what is asked, with the document that proves it.
- [ ] If something can't be found, say when you will provide it, and follow up on time.

6. After the audit

- [ ] Fix every finding, assign an owner and a due date, and record when it is done.
- [ ] Add any item the audit showed was missing from your list, with an owner and reminders.
- [ ] Set a reminder for the next audit and start this checklist again a few weeks before it.

Free to use and share within your organization. More guides at https://www.renewaltracker.com/guides. RenewalTracker keeps every renewal in one list, emails the right people before each deadline and stores the documents, since 2007.