

# Operational Audit Prep Checklist Template

*Internal Use Only – Confidential*

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- 📄 Prepare your team for internal and external operational audits with a checklist template designed to keep the entire process organized and efficient.

This ready-to-use resource helps you identify gaps before they become problems, maintain consistent documentation, and support compliance across departments. With a clear structure and step-by-step guidance, your team can stay focused on what matters most while reducing the risk of missed requirements.

# SECTION 1: Overview & Audit Scope

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## AUDIT IDENTIFICATION

Field	Details
Audit Title	
Department / Function	
Audit Owner	
Auditor(s)	
Date(s) of Audit	
Audit Type	
Audit Scope	
Prepared By	
Reviewed By	

## AUDIT SCOPE DETAIL

Field	Details
Audit Purpose	
Department or Process Being Audited	
Audit Timeframe	
Key Systems Involved	
Key People Involved	
Audit Goals	
Known Concerns or Risk Areas	
Documents Requested Before Audit	

# SECTION 2: Pre-Audit Planning

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## PRE-AUDIT PLANNING CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Audit objectives have been defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Audit scope has been confirmed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Audit timeline has been documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Responsible departments have been notified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Required documents have been requested	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Internal point of contact has been assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Audit meeting schedule has been created	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Access to systems or records has been confirmed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 3: Documentation & Records Review

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## DOCUMENTATION & RECORDS REVIEW CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Current SOPs are available for review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Policies and procedures are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Employee records are current and complete	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Vendor records are organized	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Customer or client records are organized	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial records are accessible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Compliance documents are available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Prior audit findings have been reviewed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 4: Operations & Process Controls

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## OPERATIONS & PROCESS CONTROLS CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Core workflows are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Daily operating procedures are followed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Approval processes are clearly defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Handoffs between team members are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Quality control steps are in place	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Process bottlenecks have been identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Key operational risks have been noted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Corrective action steps are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 5: Risk Management & Compliance

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## RISK MANAGEMENT & COMPLIANCE CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Major operational risks have been identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Compliance requirements have been reviewed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Internal controls are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Incident reporting process is defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Security or privacy procedures are reviewed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Required licenses or certifications are current	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Known compliance gaps have been documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Corrective action owner has been assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 6: Performance Metrics & Reporting

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## PERFORMANCE METRICS & REPORTING CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Key performance metrics are defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Current performance reports are available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Targets or benchmarks are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Reporting frequency is established	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Data sources are accurate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Dashboard or report access is confirmed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Trends or performance gaps are noted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Action steps are linked to performance issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 7: People, Training & Culture

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## PEOPLE, TRAINING & CULTURE CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Roles and responsibilities are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Training records are current	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
New staff onboarding process is documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Performance review process is followed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Team communication process is clear	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Staff feedback has been collected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Culture or morale concerns have been noted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Management follow-up process is documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 8: Systems & Technology

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## SYSTEMS & TECHNOLOGY CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Core software systems are listed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
System access permissions are reviewed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
User roles are current	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Data backup process is confirmed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Cybersecurity procedures are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
System integrations are reviewed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Technology issues or gaps are logged	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
System owner is assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 9: Internal Review & Final Check

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## INTERNAL REVIEW & FINAL CHECK CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
All requested documents have been collected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
All required interviews have been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Checklist sections have been reviewed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Major findings have been summarized	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Open questions have been documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Follow-up items have been assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Internal review meeting has been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Final audit prep status has been confirmed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# SECTION 10: Post-Audit Preparation

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## POST-AUDIT PREPARATION CHECKLIST

Checklist Item	Y e s	N o	N / A	Comments / Notes
Audit findings will be reviewed with leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Corrective action plan will be created	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Owners will be assigned to each action item	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Due dates will be documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Follow-up meeting will be scheduled	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Progress tracking method will be created	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Updated SOPs will be filed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Lessons learned will be documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# Audit Readiness Summary

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## AUDIT READINESS SUMMARY

Field	Details
Overall Audit Readiness Rating	<input type="checkbox"/> Ready <input type="checkbox"/> Mostly Ready <input type="checkbox"/> Needs Work <input type="checkbox"/> Not Ready
Top 3 Strengths	1. 2. 3.
Top 3 Gaps	1. 2. 3.
Highest Risk Area	
Immediate Action Items	
Assigned Owners	
Target Completion Dates	
Final Notes	

### **Want Help Finding the Biggest Leaks in Your Business?**

This template is a starting point. If you completed it and noticed missing processes, unclear ownership, weak follow-up, poor visibility, or owner bottlenecks, those may be signs of deeper operational leaks.

MarcusWells.info helps small business owners identify their highest-priority leaks, rank what needs to be fixed first, and build a clear 30-day repair plan.

Next Step:  Schedule a Strategy Call at: [www.MarcusWells.info](http://www.MarcusWells.info)