Sales & Marketing Audit Prep Checklist

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Prepare for sales and marketing audits with this editable checklist. Designed for startups, growing businesses, and corporate teams, it helps organize pre-audit planning, internal reviews, compliance checks, due diligence, and post-audit follow-up so your team stays clear, prepared, and audit-ready.

What This Template Covers

Audit Coordination

Preparing for internal, external, or compliance audits and coordinating between marketing, sales, and leadership teams.

Data & Systems

Gathering CRM and performance data, documenting marketing automation, and organizing lead management systems.

Compliance & Privacy

Supporting data privacy and GDPR/CCPA documentation, tracking marketing spend and ROI.

Due Diligence

Supporting due diligence for acquisitions or funding rounds and planning post-audit action steps.

SECTION 1

Audit Overview

Complete all fields below before beginning the audit process. This section establishes the formal record of the audit engagement and ensures all stakeholders are identified and aligned.

Organization & Audit Identification

Field	Response
Company / Organization	_____________ _____________
Audit Title	_____________ _____________
Audit Type	_____________ _____________
Department / Function	_____________ _____________
Audit Owner	_____________ _____________
Sales Lead	_____________ _____________
Marketing Lead	_____________ _____________
Auditor(s)	_____________ _____________
Date(s) of Audit	_____________ _____________
Audit Scope	_____________ _____________
Prepared By	_____________ _____________
Reviewed By	_____________ _____________

Systems, Documents & Scope Details

Field	Response
Key Systems Reviewed	_____________ _____________
Key Documents Requested	_____________ _____________
Main Audit Objective	_____________ _____________
Audit Purpose	_____________ _____________
Audit Period Being Reviewed	_____________ _____________
Sales Channels Reviewed	_____________ _____________
Marketing Channels Reviewed	_____________ _____________
CRM System Reviewed	_____________ _____________
Automation Tools Reviewed	_____________ _____________
Reporting Tools Reviewed	_____________ _____________
Known Concerns or Risk Areas	_____________ _____________
Required Documents	_____________ _____________
Internal Point of Contact	_____________ _____________

SECTION 2

Pre-Audit Planning

Confirm that all foundational planning steps have been completed before the audit begins. Each item should be verified and marked accordingly. Use the Comments / Notes column to record responsible parties, document locations, or outstanding actions.

Checklist Item	Yes	No	N/A	Comments / Notes
Audit objectives have been confirmed	▯	▯	▯	
Audit scope has been documented	▯	▯	▯	
Audit timeline has been created	▯	▯	▯	
Sales, marketing, and leadership teams have been notified	▯	▯	▯	
Required reports have been requested	▯	▯	▯	
CRM access has been confirmed	▯	▯	▯	
Marketing platform access has been confirmed	▯	▯	▯	
Audit preparation meeting has been scheduled	▯	▯	▯	
Internal point of contact has been assigned	▯	▯	▯	
Open questions have been documented	▯	▯	▯	

ⓘ Complete this section before any audit activity begins. All items marked "No" should be escalated to the Audit Owner immediately.

SECTION 3

CRM & Sales Records

Review the completeness, accuracy, and accessibility of all CRM and sales records. Auditors will typically request access to pipeline data, contact records, and historical deal information. Ensure all records are current and properly organized prior to the audit date.

Checklist Item	Yes	No	N/A	Comments / Notes
CRM contact records are organized	☐	☐	☐	
Sales pipeline stages are documented	☐	☐	☐	
Lead sources are clearly identified	☐	☐	☐	
Opportunity records are current	☐	☐	☐	
Closed-won and closed-lost records are available	☐	☐	☐	
Sales activity data is available	☐	☐	☐	
Deal notes and communication history are complete	☐	☐	☐	
Sales forecast reports are available	☐	☐	☐	
Duplicate or outdated records have been flagged	☐	☐	☐	
CRM permissions have been reviewed	☐	☐	☐	

⚠ Incomplete or duplicate CRM records are among the most common audit findings. Conduct a data hygiene review at least one week before the audit date.

SECTION 4

Sales Team Performance & Operations

This section verifies that sales team structure, performance documentation, and operational processes are clearly defined and accessible. Auditors reviewing sales operations will look for evidence of defined roles, measurable goals, and documented processes at every stage of the sales cycle.

Checklist Item	Yes	No	N/A	Comments / Notes
Sales goals and quotas are documented	☐	☐	☐	
Sales team roles are clearly defined	☐	☐	☐	
Sales scripts or talk tracks are available	☐	☐	☐	
Follow-up process is documented	☐	☐	☐	
Proposal or quote process is documented	☐	☐	☐	
Sales performance reports are available	☐	☐	☐	
Win/loss data has been reviewed	☐	☐	☐	
Sales meeting notes or scorecards are available	☐	☐	☐	
Training records are organized	☐	☐	☐	
Sales process gaps have been documented	☐	☐	☐	

Proactively documenting known process gaps demonstrates organizational maturity and reduces audit risk. Include a brief remediation note for any identified gap.

SECTION 5

Marketing Strategy & Campaign Documentation

Confirm that all active and historical marketing campaigns are properly documented, organized, and accessible for review. Auditors will assess whether campaigns were executed against defined goals, with measurable KPIs and organized creative assets.

Checklist Item	Yes	No	N/A	Comments / Notes
Current marketing strategy is documented	▯	▯	▯	
Campaign plans are organized	▯	▯	▯	
Campaign launch dates are available	▯	▯	▯	
Campaign goals and KPIs are documented	▯	▯	▯	
Audience targeting information is available	▯	▯	▯	
Offer and landing page details are documented	▯	▯	▯	
Campaign performance reports are available	▯	▯	▯	
Creative assets are organized	▯	▯	▯	
Active and past campaigns are clearly labeled	▯	▯	▯	
Underperforming campaigns have been flagged	▯	▯	▯	

ⓘ Organize campaign documentation in a shared folder structure by year, quarter, and channel. Include brief performance summaries alongside each campaign file for quick auditor reference.

SECTION 6

Branding, Messaging & Collateral

Verify that all brand assets, messaging frameworks, and sales and marketing collateral are current, consistent, and properly organized. Brand consistency is a key indicator of operational maturity and is frequently reviewed during due diligence and leadership evaluations.

Checklist Item	Yes	No	N/A	Comments / Notes
Brand guidelines are available	▯	▯	▯	
Logo files and brand assets are organized	▯	▯	▯	
Messaging documents are current	▯	▯	▯	
Sales collateral is up to date	▯	▯	▯	
Marketing collateral is up to date	▯	▯	▯	
Website copy has been reviewed	▯	▯	▯	
Social media profiles are consistent	▯	▯	▯	
Case studies or testimonials are organized	▯	▯	▯	
Outdated materials have been flagged	▯	▯	▯	
Approval process for new materials is documented	▯	▯	▯	

⚠ Outdated or inconsistent brand materials can signal operational risk to auditors and investors. Flag and archive all deprecated assets before the audit begins.

SECTION 7

Digital Marketing & Automation

Confirm that all digital marketing platforms, automation workflows, and reporting tools are accessible, documented, and functioning correctly. Auditors reviewing digital operations will assess platform access, workflow ownership, and the availability of performance data across all digital channels.

Checklist Item	Yes	No	N/A	Comments / Notes
Website analytics access is confirmed	▯	▯	▯	
Email marketing platform access is confirmed	▯	▯	▯	
Marketing automation workflows are documented	▯	▯	▯	
Landing pages are documented	▯	▯	▯	
Forms and conversion points are reviewed	▯	▯	▯	
Paid ad accounts are organized	▯	▯	▯	
Organic traffic reports are available	▯	▯	▯	
Email campaign reports are available	▯	▯	▯	
Automation ownership is assigned	▯	▯	▯	
Known technical issues are documented	▯	▯	▯	

Ensure that all platform login credentials and admin access are confirmed at least 48 hours before the audit. Unresolved access issues are a common cause of audit delays.

SECTION 8

Lead Management & Attribution

Review the completeness of lead management processes, from initial capture through handoff to sales. Attribution reporting and MQL/SQL definitions are frequently scrutinized during audits, particularly in funding reviews and due diligence engagements where pipeline quality is a key evaluation criterion.

Checklist Item	Yes	No	N/A	Comments / Notes
Lead capture process is documented	▯	▯	▯	
Lead assignment rules are documented	▯	▯	▯	
Lead response process is reviewed	▯	▯	▯	
Lead source tracking is active	▯	▯	▯	
Attribution reporting is available	▯	▯	▯	
MQL and SQL definitions are documented	▯	▯	▯	
Handoff process between marketing and sales is clear	▯	▯	▯	
Lost lead reasons are tracked	▯	▯	▯	
Follow-up delays have been identified	▯	▯	▯	
Lead quality issues have been documented	▯	▯	▯	

Undefined MQL/SQL criteria and undocumented marketing-to-sales handoff processes are among the most frequently cited findings in sales and marketing audits. Resolve these before the audit date.

SECTION 9

Budget, ROI & Spend Allocation

Confirm that all marketing and sales budget documentation, spend records, and ROI calculations are organized and available for review. Financial documentation is a critical component of external audits, compliance reviews, and investor due diligence. Ensure all figures are reconciled and variances are explained.

Checklist Item	Yes	No	N/A	Comments / Notes
Marketing budget is documented	▯	▯	▯	
Sales budget is documented	▯	▯	▯	
Paid advertising spend is available	▯	▯	▯	
Campaign spend is organized by channel	▯	▯	▯	
Vendor costs are documented	▯	▯	▯	
ROI reports are available	▯	▯	▯	
Cost per lead is calculated	▯	▯	▯	
Cost per acquisition is calculated	▯	▯	▯	
Budget variances have been reviewed	▯	▯	▯	
Spend allocation concerns have been documented	▯	▯	▯	

⚠ Unexplained budget variances or missing vendor documentation are high-risk findings. Prepare a brief written explanation for any variance exceeding 10% of planned spend.

SECTION 10

Compliance & Data Privacy

Verify that all data privacy policies, consent records, and compliance documentation are current, accessible, and aligned with applicable regulations including GDPR and CCPA. Compliance gaps in this section carry the highest regulatory and reputational risk and must be addressed before the audit date.

Checklist Item	Yes	No	N/A	Comments / Notes
Data privacy policies are available	▯	▯	▯	
Consent collection process is documented	▯	▯	▯	
Email opt-in records are organized	▯	▯	▯	
Unsubscribe process is working correctly	▯	▯	▯	
GDPR or CCPA requirements have been reviewed	▯	▯	▯	
Customer data access permissions are reviewed	▯	▯	▯	
Sensitive data handling process is documented	▯	▯	▯	
Third-party platform access is reviewed	▯	▯	▯	
Compliance gaps have been documented	▯	▯	▯	
Corrective action owner has been assigned	▯	▯	▯	

Any identified compliance gap must have an assigned owner and a documented remediation timeline before the audit begins. Do not leave compliance items unresolved or unassigned.

SECTION 11

Post-Audit Preparation

Use this section to plan and track all post-audit activities. A well-structured post-audit process ensures that findings are addressed promptly, corrective actions are assigned and tracked, and updated policies and processes are properly documented and communicated to all relevant stakeholders.

Checklist Item	Yes	No	N/A	Comments / Notes
Audit findings will be reviewed with leadership	▯	▯	▯	
Corrective action plan will be created	▯	▯	▯	
Owners will be assigned to each action item	▯	▯	▯	
Due dates will be documented	▯	▯	▯	
Follow-up meeting will be scheduled	▯	▯	▯	
Updated policies will be filed	▯	▯	▯	
Updated processes will be documented	▯	▯	▯	
CRM or reporting fixes will be assigned	▯	▯	▯	
Progress tracking method will be created	▯	▯	▯	
Final summary will be shared with stakeholders	▯	▯	▯	

A completed post-audit action plan with assigned owners and documented due dates demonstrates organizational accountability and significantly reduces the risk of repeat findings in future audits.

SECTION 12

Additional Comments / Notes

Use this section to capture any findings, questions, or follow-up items that do not fit within the structured checklist sections above. All entries should include the relevant section reference, responsible party, and target resolution date where applicable.

Additional Findings

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Open Questions

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Follow-Up Items

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Assigned Owners

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Target Completion Dates

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Final Notes

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FINAL SUMMARY

Sales & Marketing Audit Readiness Summary

Complete this summary page after all checklist sections have been reviewed. This page serves as the executive-level record of audit readiness and should be shared with leadership, the audit owner, and all relevant stakeholders upon completion.

Overall Assessment

Overall Audit Readiness Rating:

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Highest Risk Area

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Highest Priority Fix

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Top 3 Strengths

1. _______________________________ ____________________________
2. _______________________________ ____________________________
3. _______________________________ ____________________________

Top 3 Gaps

1. _______________________________ ____________________________
2. _______________________________ ____________________________
3. _______________________________ ____________________________

Action Plan

Immediate Action Items	Assigned Owners	Target Completion Dates
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Final Notes

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