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Audit Readiness Checklist

Use this checklist to assess how prepared your organisation is for audits and compliance requirements. Identify gaps in visibility, documentation, and control, and highlight areas that may increase risk.

Scoring

Yes = 2 points
Partially = 1 point
No = 0 points
Add up your score at the end to see your result.

1. Visibility & Access

Can you quickly locate required records or asset information when needed?

☐ Yes ☐ Partially ☐ No

Is all relevant information stored in a central, accessible system?

☐ Yes ☐ Partially ☐ No

Can authorised users easily access the information they need?

☐ Yes ☐ Partially ☐ No

Is access to sensitive information controlled and restricted where necessary?

☐ Yes ☐ Partially ☐ No

2. Documentation & Accuracy

Are records and asset data complete and up to date?

☐ Yes ☐ Partially ☐ No

Do you maintain consistent and standardised documentation?

☐ Yes ☐ Partially ☐ No

Are changes to records or assets tracked and recorded?

☐ Yes ☐ Partially ☐ No

Can you provide evidence or history when required (e.g. for audits)?

☐ Yes ☐ Partially ☐ No

3. Processes & Governance

Do you have defined processes for managing records and assets?

☐ Yes ☐ Partially ☐ No

Are these processes followed consistently across teams?

☐ Yes ☐ Partially ☐ No

Are roles and responsibilities for managing information clearly defined?

☐ Yes ☐ Partially ☐ No

Are governance or compliance requirements clearly understood?

☐ Yes ☐ Partially ☐ No

4. Audit Preparedness

Do you carry out regular internal checks or audits?

☐ Yes ☐ Partially ☐ No

Can you quickly respond to audit or compliance requests?

☐ Yes ☐ Partially ☐ No

Are gaps or issues identified and addressed promptly?

☐ Yes ☐ Partially ☐ No

Do you feel confident in your current level of audit readiness?

☐ Yes ☐ Partially ☐ No

5. Risk & Compliance

Can you identify areas of risk related to missing or incomplete information?

☐ Yes ☐ Partially ☐ No

Are compliance risks actively monitored and managed?

☐ Yes ☐ Partially ☐ No

Does your current approach support regulatory requirements (e.g. ISO standards)?

☐ Yes ☐ Partially ☐ No

Is there a clear process for improving compliance over time?

☐ Yes ☐ Partially ☐ No

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Your Score

Yes = 2 points / Partially = 1 point / No = 0 points
Total possible score: 40
Add up your points:

What your score means

30–40
Strong Audit Readiness

You have strong visibility, control, and processes in place to support audits and compliance.

Focus next on:

- Maintaining consistency
- Preparing for scale
- Continuous improvement

18–29
Moderate Readiness

There are gaps that could slow down audits or increase compliance risk.

Focus next on:

- Improving access and visibility
- Strengthening documentation
- Standardising processes

0–17
Limited Readiness

You may face challenges responding to audits or meeting compliance requirements.

Focus next on:

- Centralising information
- Defining processes and ownership
- Improving visibility and control

Final Insight

Organisations often overestimate their audit readiness. Improving visibility, structure, and control over assets and information is key to reducing risk and passing audits with confidence.