

FREE COMPLIANCE AUDIT TEMPLATE

Restaurant Compliance Audit Checklist

Use this 60-point checklist to audit restaurant licences, food safety systems, allergens, employee controls, suppliers, temperatures, sanitation, customer obligations, health and safety, data, environmental controls, records, and corrective-action closure.

Restaurant / legal entity

Audit date

Auditor

Responsible manager

1. Audit setup, legal register, scope, and accountability

- 1

Confirm the restaurant, legal entity, location, operating format, audit date, auditor, responsible manager, and areas included in the compliance audit.

COMPLIANCE AUDIT

NAME | | Enter

DATE / TIME | | Enter

APPROVAL | | Sign

 **Execution tip:** Set the legal and operational scope before the audit. Record the exact requirement and evidence source for every material finding.

- 2

Identify the local laws, permits, licence conditions, food codes, fire requirements, employment controls, environmental rules, and internal standards that apply to the location.

COMPLIANCE AUDIT

Record		Current		Owner		Evidence		Action

 **Execution tip:** Set the legal and operational scope before the audit. Record the exact requirement and evidence source for every material finding.

- 3

Verify the compliance register lists each obligation, responsible owner, renewal or review date, evidence location, and escalation route.

COMPLIANCE AUDIT

Record		Current		Owner		Evidence		Action

 **Execution tip:** Set the legal and operational scope before the audit. Record the exact requirement and evidence source for every material finding.

- 4

Confirm current policies, SOPs, risk assessments, emergency plans, approved limits, and mandatory notices are accessible to the employees who use them.

COMPLIANCE AUDIT

Record		Current		Owner		Evidence		Action

 **Execution tip:** Set the legal and operational scope before the audit. Record the exact requirement and evidence source for every material finding.

- 5

Review previous regulatory inspections, internal audit results, customer complaints, incidents, recalls, enforcement correspondence, repeat findings, and overdue actions.

CRITICAL

COMPLIANCE AUDIT

READING | | Enter

LIMIT | | Enter

DEVICE ID | | Enter

 **Execution tip:** Set the legal and operational scope before the audit. Record the exact requirement and evidence source for every material finding.

- 6

Define critical-failure rules and confirm who can stop service, isolate food or equipment, notify authorities, approve reopening, and verify corrective-action closure.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A

 **Execution tip:** Set the legal and operational scope before the audit. Record the exact requirement and evidence source for every material finding.

2. Licences, permits, certificates, notices, and premises compliance

- 7 Verify the food business licence, operating permit, occupancy approval, inspection certificate, and other location-specific authorizations are current and available.

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add



Execution tip: Compare displayed certificates and operating conditions with the current compliance register. Photograph dates, conditions, and any mismatch.

- 8 Confirm required licences, ratings, consumer notices, allergen statements, emergency information, and operating hours are displayed in the approved location and format.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Compare displayed certificates and operating conditions with the current compliance register. Photograph dates, conditions, and any mismatch.

- 9 Check approved operating activities, seating capacity, service channels, outdoor areas, alcohol service, entertainment, catering, and delivery operations match licence conditions.

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add



Execution tip: Compare displayed certificates and operating conditions with the current compliance register. Photograph dates, conditions, and any mismatch.

- 10 Verify the approved floor plan, kitchen use, storage areas, washrooms, waste zones, ventilation, drainage, and structural changes remain within authorized conditions.

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add



Execution tip: Compare displayed certificates and operating conditions with the current compliance register. Photograph dates, conditions, and any mismatch.

- 11 Confirm pest-control, grease-management, water-quality, extraction-cleaning, equipment-service, and waste-collection certificates are current where required.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Compare displayed certificates and operating conditions with the current compliance register. Photograph dates, conditions, and any mismatch.

- 12 Check renewal dates, fees, inspection appointments, conditions, exemptions, and supporting documents are monitored before expiry and escalated when overdue.

COMPLIANCE AUDIT

READING | Enter

LIMIT | Enter

DEVICE ID | Enter



Execution tip: Compare displayed certificates and operating conditions with the current compliance register. Photograph dates, conditions, and any mismatch.

3. Food safety system, HACCP, allergens, traceability, and recall readiness

13

Verify the food safety plan or HACCP system reflects current products, processes, equipment, service channels, hazards, critical controls, and approved limits.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A

Execution tip: Trace one real menu item through the full process. A documented plan is not sufficient unless employees can apply it correctly during service.

14

Confirm monitoring records for critical control points and other key food safety controls are complete, timely, legible, attributable, and reviewed by an authorized person.

CRITICAL

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A

Execution tip: Trace one real menu item through the full process. A documented plan is not sufficient unless employees can apply it correctly during service.

15

Verify the approved allergen matrix is current, linked to recipes and supplier specifications, accessible to employees, and used from order capture through final handoff.

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add

Execution tip: Trace one real menu item through the full process. A documented plan is not sufficient unless employees can apply it correctly during service.

16

Observe allergen communication, ingredient verification, segregation, utensil control, cleaning, labeling, and final-order confirmation during a live service process.

CRITICAL

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A

Execution tip: Trace one real menu item through the full process. A documented plan is not sufficient unless employees can apply it correctly during service.

17

Test traceability for a selected ingredient or prepared item from supplier and batch through receiving, storage, preparation, service, and remaining stock.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A

Execution tip: Trace one real menu item through the full process. A documented plan is not sufficient unless employees can apply it correctly during service.

18

Confirm recall and withdrawal procedures define decision authority, product isolation, customer and supplier communication, regulatory notification, reconciliation, and effectiveness checks.

COMPLIANCE AUDIT

Record	Current	Owner	Evidence	Action

Execution tip: Trace one real menu item through the full process. A documented plan is not sufficient unless employees can apply it correctly during service.

4. Employee health, hygiene, competency, and required records

- 19 Confirm employee health reporting, illness exclusion, return-to-work, injury protection, and contamination-response procedures are understood and followed.

COMPLIANCE AUDIT

Record	Current	Owner	Evidence	Action



Execution tip: Sample records across new, experienced, temporary, and supervisory employees, then observe whether the documented competency is visible in live work.

- 20 Inspect handwashing, uniforms, grooming, hair restraints, gloves, jewellery, personal items, and task-specific PPE against legal and company requirements.

CRITICAL

COMPLIANCE AUDIT

READING | | Enter

LIMIT | | Enter

DEVICE ID | | Enter



Execution tip: Sample records across new, experienced, temporary, and supervisory employees, then observe whether the documented competency is visible in live work.

- 21 Verify required food-handler, allergen, alcohol-service, first-aid, equipment, fire, and safety training or certifications are current for assigned roles.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Sample records across new, experienced, temporary, and supervisory employees, then observe whether the documented competency is visible in live work.

- 22 Review induction, refresher training, observed competency, coaching, language support, and acknowledgement records for completeness and authorized sign-off.

CRITICAL

COMPLIANCE AUDIT

READING | | Enter

LIMIT | | Enter

DEVICE ID | | Enter



Execution tip: Sample records across new, experienced, temporary, and supervisory employees, then observe whether the documented competency is visible in live work.

- 23 Confirm shift schedules, break controls, supervision, lone-working arrangements, young-worker restrictions, and role assignments follow applicable requirements and company policy.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Sample records across new, experienced, temporary, and supervisory employees, then observe whether the documented competency is visible in live work.

- 24 Verify confidential employee health, training, incident, and identification records are accurate, access-controlled, retained for the required period, and securely disposed of.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Sample records across new, experienced, temporary, and supervisory employees, then observe whether the documented competency is visible in live work.

5. Approved suppliers, receiving, storage, temperature, and expiry compliance

- 25 Confirm food, packaging, chemical, pest-control, waste, maintenance, and other regulated suppliers are approved and supported by current specifications or agreements.

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO || Add



Execution tip: Sample products across receiving, storage, preparation, and service. Record actual readings, dates, batch details, device ID, and immediate containment.

- 26 Inspect delivery vehicles, seals, packaging, temperatures, dates, labels, quantities, contamination risks, and traceability details before accepting sampled deliveries.

CRITICAL

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Sample products across receiving, storage, preparation, and service. Record actual readings, dates, batch details, device ID, and immediate containment.

- 27 Verify rejected, recalled, damaged, unapproved, substituted, or out-of-specification items are identified, segregated, recorded, communicated, and resolved.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Sample products across receiving, storage, preparation, and service. Record actual readings, dates, batch details, device ID, and immediate containment.

- 28 Confirm raw food, ready-to-eat food, allergens, chemicals, employee items, returned goods, waste, and quarantined products are segregated correctly.

CRITICAL

COMPLIANCE AUDIT

READING || Enter

LIMIT || Enter

DEVICE ID || Enter



Execution tip: Sample products across receiving, storage, preparation, and service. Record actual readings, dates, batch details, device ID, and immediate containment.

- 29 Record temperatures for selected chilled, frozen, hot-held, and temperature-sensitive items, and verify monitoring devices, alarms, and calibration records.

CRITICAL

COMPLIANCE AUDIT

READING || Enter

LIMIT || Enter

DEVICE ID || Enter



Execution tip: Sample products across receiving, storage, preparation, and service. Record actual readings, dates, batch details, device ID, and immediate containment.

- 30 Check FIFO and FEFO rotation, use-by and best-before dates, opened-product labels, preparation dates, batch records, stock status, and disposal authorization.

CRITICAL

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Sample products across receiving, storage, preparation, and service. Record actual readings, dates, batch details, device ID, and immediate containment.

6. Preparation, sanitation, pest, waste, water, and facility controls

- 31 Observe raw and ready-to-eat food separation, hand hygiene, utensil control, produce washing, thawing, preparation, cooking, cooling, reheating, and holding practices.

COMPLIANCE AUDIT

Record	Current	Owner	Evidence	Action



Execution tip: Inspect hidden hygiene and environmental risks, not only visible surfaces. Link each failure to a cleaning, maintenance, pest, or waste owner.

- 32 Verify approved recipes, process steps, portion controls, time and temperature limits, substitutions, and corrective actions are followed and documented.

CRITICAL

COMPLIANCE AUDIT

Record	Current	Owner	Evidence	Action



Execution tip: Inspect hidden hygiene and environmental risks, not only visible surfaces. Link each failure to a cleaning, maintenance, pest, or waste owner.

- 33 Confirm the cleaning and disinfection program defines areas, frequency, methods, chemicals, concentrations, contact times, responsible employees, and verification.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Inspect hidden hygiene and environmental risks, not only visible surfaces. Link each failure to a cleaning, maintenance, pest, or waste owner.

- 34 Inspect food-contact surfaces, dishwashing systems, ice machines, extraction, drains, grease traps, hard-to-reach spaces, and high-touch points for effective sanitation.

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add



Execution tip: Inspect hidden hygiene and environmental risks, not only visible surfaces. Link each failure to a cleaning, maintenance, pest, or waste owner.

- 35 Confirm pest-monitoring devices, contractor reports, proofing, corrective actions, and employee reporting controls are current and there is no active infestation evidence.

CRITICAL

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add



Execution tip: Inspect hidden hygiene and environmental risks, not only visible surfaces. Link each failure to a cleaning, maintenance, pest, or waste owner.

- 36 Verify potable water, drainage, sewage, waste segregation, used oil, food waste, hazardous waste, storage, collection, and disposal records meet applicable requirements.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Inspect hidden hygiene and environmental risks, not only visible surfaces. Link each failure to a cleaning, maintenance, pest, or waste owner.

7. Customer information, allergen communication, restricted sales, and complaints

- 37 Verify menu names, ingredients, prices, taxes, service charges, promotions, dietary claims, calorie or nutrition information, and other mandatory disclosures are accurate and consistent.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Test information across printed menus, digital channels, POS, delivery platforms, and employee responses. Record any contradiction that could mislead a customer.

- 38 Confirm allergen and dietary requests are captured, repeated back, communicated to preparation teams, marked on the order, and confirmed at final service or handoff.

CRITICAL

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Test information across printed menus, digital channels, POS, delivery platforms, and employee responses. Record any contradiction that could mislead a customer.

- 39 Check alcohol, tobacco, age-restricted items, promotional claims, and refusal-of-sale procedures follow applicable licence conditions and age-verification requirements.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Test information across printed menus, digital channels, POS, delivery platforms, and employee responses. Record any contradiction that could mislead a customer.

- 40 Verify customer receipts, bills, refunds, deposits, gratuities, loyalty terms, delivery fees, and cancellation conditions are transparent and correctly applied.

COMPLIANCE AUDIT

READING | | Enter

LIMIT | | Enter

DEVICE ID | | Enter



Execution tip: Test information across printed menus, digital channels, POS, delivery platforms, and employee responses. Record any contradiction that could mislead a customer.

- 41 Review complaint logging, food-safety escalation, injury or illness reports, service recovery, customer communication, investigation, and closure evidence.

COMPLIANCE AUDIT

ACTUAL | | Enter

TARGET | | Enter

VARIANCE | | Enter



Execution tip: Test information across printed menus, digital channels, POS, delivery platforms, and employee responses. Record any contradiction that could mislead a customer.

- 42 Confirm customer privacy, accessibility, dignity, service-animal, discrimination, and reasonable-assistance procedures are understood and applied consistently.

COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Test information across printed menus, digital channels, POS, delivery platforms, and employee responses. Record any contradiction that could mislead a customer.

8. Health and safety, fire, gas, electrical, accessibility, and emergencies

- 43 Verify current risk assessments cover slips, cuts, burns, manual handling, chemicals, hot surfaces, vehicles, lone work, violence, and other restaurant hazards. CRITICAL COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add



Execution tip: Treat blocked exits, failed fire systems, gas or electrical hazards, and unsafe equipment as immediate risks. Isolate first, then document and escalate.

- 44 Inspect exits, escape routes, emergency lighting, fire doors, extinguishers, suppression systems, alarms, evacuation diagrams, assembly points, and inspection records. CRITICAL COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Treat blocked exits, failed fire systems, gas or electrical hazards, and unsafe equipment as immediate risks. Isolate first, then document and escalate.

- 45 Check gas isolation, ventilation, extraction, electrical panels, sockets, cords, portable equipment, lockout controls, and contractor service records for safe condition. COMPLIANCE AUDIT

READING | Enter

LIMIT | Enter

DEVICE ID | Enter



Execution tip: Treat blocked exits, failed fire systems, gas or electrical hazards, and unsafe equipment as immediate risks. Isolate first, then document and escalate.

- 46 Confirm first-aid supplies, trained responders, injury reporting, emergency contacts, spill kits, eyewash, PPE, and incident-response materials are available and current. COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Treat blocked exits, failed fire systems, gas or electrical hazards, and unsafe equipment as immediate risks. Isolate first, then document and escalate.

- 47 Verify customer and employee routes, entrances, seating, washrooms, counters, alarms, and evacuation arrangements meet applicable accessibility requirements. CRITICAL COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Treat blocked exits, failed fire systems, gas or electrical hazards, and unsafe equipment as immediate risks. Isolate first, then document and escalate.

- 48 Test emergency readiness for fire, gas leak, power loss, water interruption, refrigeration failure, contamination, severe weather, security threat, and temporary closure. COMPLIANCE AUDIT

Compliant

Partial

Non-compliant

N/A



Execution tip: Treat blocked exits, failed fire systems, gas or electrical hazards, and unsafe equipment as immediate risks. Isolate first, then document and escalate.

9. POS, cash, data privacy, security, environmental, and vendor compliance

49

Verify POS prices, taxes, discounts, refunds, voids, complimentary items, manager overrides, receipts, and end-of-day records follow approved financial controls.

COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add

🔍

Execution tip: Reconcile system settings and transaction evidence with written policy. Restrict access immediately when credentials, cash, data, or security controls are compromised.

50

Confirm cash drawers, floats, safe access, deposits, till sharing, key control, variance investigation, and record retention follow policy and applicable requirements.

CRITICAL COMPLIANCE AUDIT

READING | Enter

LIMIT | Enter

DEVICE ID | Enter

🔍

Execution tip: Reconcile system settings and transaction evidence with written policy. Restrict access immediately when credentials, cash, data, or security controls are compromised.

51

Check payment terminals, customer data, employee credentials, passwords, access rights, CCTV, Wi-Fi, delivery platforms, and printed records are protected from unauthorized access.

COMPLIANCE AUDIT

Record	Current	Owner	Evidence	Action

🔍

Execution tip: Reconcile system settings and transaction evidence with written policy. Restrict access immediately when credentials, cash, data, or security controls are compromised.

52

Verify privacy notices, consent, marketing preferences, reservations, loyalty records, incident data, and deletion or retention controls are applied consistently.

CRITICAL COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add

🔍

Execution tip: Reconcile system settings and transaction evidence with written policy. Restrict access immediately when credentials, cash, data, or security controls are compromised.

53

Review energy, water, food waste, packaging, recycling, cooking oil, chemical disposal, noise, emissions, and local environmental obligations relevant to the site.

CRITICAL COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add

🔍

Execution tip: Reconcile system settings and transaction evidence with written policy. Restrict access immediately when credentials, cash, data, or security controls are compromised.

54

Confirm contractors and service providers have current approvals, insurance, competency evidence, permits to work, site induction, service reports, and closure records.

CRITICAL COMPLIANCE AUDIT

Safe

Needs action

Critical

LIVE PHOTO | Add

🔍

Execution tip: Reconcile system settings and transaction evidence with written policy. Restrict access immediately when credentials, cash, data, or security controls are compromised.

10. Records, regulatory findings, corrective actions, verification, and sign-off

55 Verify required records are complete, dated, attributable, legible, protected from alteration, retrievable, retained for the required period, and securely disposed of.

COMPLIANCE AUDIT

Finding	Priority	Owner	Due	Proof

 Execution tip: Keep findings open until objective evidence confirms both the immediate risk and the underlying compliance failure have been controlled.

56 Classify every finding by requirement, risk, affected area, immediate containment, root cause, responsible owner, due date, evidence, and escalation level.

CRITICAL

COMPLIANCE AUDIT

Finding	Priority	Owner	Due	Proof

 Execution tip: Keep findings open until objective evidence confirms both the immediate risk and the underlying compliance failure have been controlled.

57 Confirm critical failures trigger service stoppage, product or equipment isolation, customer protection, senior notification, and regulatory reporting where required.

CRITICAL

COMPLIANCE AUDIT

Finding	Priority	Owner	Due	Proof

 Execution tip: Keep findings open until objective evidence confirms both the immediate risk and the underlying compliance failure have been controlled.

58 Review repeat findings, overdue actions, missed renewals, complaints, incidents, inspection outcomes, and trends requiring regional or head-office support.

CRITICAL

COMPLIANCE AUDIT

| Enter
 | Enter
 | Enter

 Execution tip: Keep findings open until objective evidence confirms both the immediate risk and the underlying compliance failure have been controlled.

59 Verify corrective actions through documents, live photos, readings, interviews, system records, or repeat inspection, and reopen actions when evidence is incomplete.

COMPLIANCE AUDIT

 Execution tip: Keep findings open until objective evidence confirms both the immediate risk and the underlying compliance failure have been controlled.

60 Record the final compliance score, critical failures, unresolved risks, notifications, next review date, restaurant manager, auditor, reviewer, date, time, and signatures.

CRITICAL

COMPLIANCE AUDIT

| Enter
 | Enter
 | Sign

 Execution tip: Keep findings open until objective evidence confirms both the immediate risk and the underlying compliance failure have been controlled.

RUN THIS CHECKLIST DIGITALLY

Turn compliance findings into verified operational control

Use Taqtics to schedule restaurant compliance audits, capture documents and live evidence, escalate critical failures, assign responsible owners, verify closure, and compare recurring risks across every location.

Try the Restaurant Compliance Audit Checklist in Taqtics