Audit Checklist Sample

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Audit Header

- [ ] **Organization:** ABC Corporation
- [ ] **Process:** Procurement & Purchasing
- [ ] **Audit Date:** March 15-19, 2024
- [ ] **Lead Auditor:** John Smith, CIA
- [ ] **Audit Team:** Jane Doe, Mary Johnson

1. Procurement Planning

- [ ] Fully compliant: 45
- [ ] Minor issues: 3
- [ ] Major issues: 2

8. Performance Metrics

- [ ] Cost savings achieved: $2.3M (Target: $2M) '
- [ ] On-time delivery: 91% (Target: 95%) '
- [ ] Vendor satisfaction: 4.2/5 (Target: 4.0) '
- [ ] Process cycle time: 8.5 days (Target: 10 days) '
- [ ] Error rate: 2.1% (Target: <3%) '

9. Findings Summary

- [ ] **Risk:** Potential overpayment, lack of competition
- [ ] **Recommendation:** Enforce policy requiring written justification
- [ ] **Management Response:** Will implement additional controls by 4/30/24
- [ ] **Risk:** Receipt of non-conforming goods
- [ ] **Recommendation:** Update PO template to include quality specs
- [ ] **Management Response:** Template update in progress
- [ ] **Risk:** Service interruption, unfavorable auto-renewals
- [ ] **Recommendation:** Implement automated alerting system
- [ ] **Management Response:** IT project approved for Q2
- [ ] **Risk:** Incorrect departmental charges
- [ ] **Recommendation:** Provide refresher training
- [ ] **Management Response:** Training scheduled for April

10. Conclusion

- [ ] **Strengths:** Strong payment controls, good vendor management
- [ ] **Improvements Needed:** Documentation, system enhancements
- [ ] **Follow-up Required:** 60-day review of high-priority items