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Audit Checklist

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Pre-Audit Planning

- ☐ Define audit scope and objectives
- ☐ Identify audit team members
- ☐ Review previous audit reports
- ☐ Gather relevant documentation
- ☐ Create audit schedule
- ☐ Notify departments being audited
- ☐ Prepare audit tools and templates
- ☐ Review applicable standards/regulations
- ☐ Identify key stakeholders
- ☐ Set audit timeline
- ☐ Allocate resources
- ☐ Conduct risk assessment

Documentation Review

- ☐ Collect policies and procedures
- ☐ Review organizational charts
- ☐ Examine process documentation
- ☐ Check compliance records
- ☐ Review training materials
- ☐ Examine incident reports
- ☐ Check corrective action records
- ☐ Review management reviews
- ☐ Examine performance metrics
- ☐ Check customer complaints
- ☐ Review vendor documentation
- ☐ Examine contracts and agreements

Financial Audit Areas

- ☐ Review financial statements
- ☐ Check general ledger
- ☐ Examine accounts receivable
- ☐ Review accounts payable
- ☐ Check payroll records
- ☐ Review expense reports
- ☐ Examine bank reconciliations
- ☐ Check cash handling procedures

- ☐ Review revenue recognition
- ☐ Examine cost allocations
- ☐ Check budget vs actual
- ☐ Review internal controls

Operational Audit Elements

- ☐ Process efficiency review
- ☐ Resource utilization check
- ☐ Quality control assessment
- ☐ Productivity measurement
- ☐ Workflow analysis
- ☐ Technology utilization
- ☐ Equipment maintenance
- ☐ Inventory management
- ☐ Supply chain review
- ☐ Customer service evaluation
- ☐ Safety procedures check
- ☐ Environmental compliance

Compliance Verification

- ☐ Regulatory compliance check
- ☐ Legal requirement review
- ☐ License verification
- ☐ Permit validation
- ☐ Policy adherence check
- ☐ Standard compliance review
- ☐ Contract compliance
- ☐ Tax compliance verification
- ☐ Labor law compliance
- ☐ Environmental regulations
- ☐ Industry standards check
- ☐ Certification maintenance

IT Systems Audit

- ☐ System security review
- ☐ Access control verification
- ☐ Data backup procedures
- ☐ Disaster recovery plans
- ☐ Change management process
- ☐ Software licensing compliance
- ☐ Network security assessment
- ☐ Database integrity check
- ☐ User access review
- ☐ Password policy compliance
- ☐ Encryption verification

- ☐ Incident response procedures

Human Resources Audit

- ☐ Employee file completeness
- ☐ I-9 verification
- ☐ Benefits administration
- ☐ Payroll accuracy
- ☐ Time and attendance
- ☐ Performance review process
- ☐ Training records
- ☐ Safety training compliance
- ☐ Disciplinary procedures
- ☐ Hiring practices
- ☐ Termination procedures
- ☐ Leave management

Quality Management Audit

- ☐ Quality policy review
- ☐ Quality objectives assessment
- ☐ Process control verification
- ☐ Product/service conformity
- ☐ Customer satisfaction measurement
- ☐ Corrective action effectiveness
- ☐ Preventive action review
- ☐ Continual improvement evidence
- ☐ Management commitment
- ☐ Resource adequacy
- ☐ Measurement and monitoring
- ☐ Supplier quality

Risk Assessment

- ☐ Risk identification
- ☐ Risk evaluation
- ☐ Control effectiveness
- ☐ Mitigation strategies
- ☐ Residual risk assessment
- ☐ Risk monitoring procedures
- ☐ Business continuity planning
- ☐ Insurance coverage review
- ☐ Security risk assessment
- ☐ Fraud risk evaluation
- ☐ Compliance risk review
- ☐ Operational risk assessment

Audit Execution

- ☐ Opening meeting conducted
- ☐ Interviews scheduled
- ☐ Observations documented
- ☐ Evidence collected
- ☐ Testing performed
- ☐ Sampling completed
- ☐ Non-conformities identified
- ☐ Opportunities noted
- ☐ Best practices documented
- ☐ Working papers organized
- ☐ Daily debriefs held
- ☐ Issues escalated appropriately

Post-Audit Activities

- ☐ Findings documented
- ☐ Evidence organized
- ☐ Report drafted
- ☐ Management review conducted
- ☐ Recommendations developed
- ☐ Closing meeting held
- ☐ Report finalized
- ☐ Action plans requested
- ☐ Follow-up scheduled
- ☐ Lessons learned documented
- ☐ Audit file archived
- ☐ Continuous improvement initiated

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