



Internal Audit Process & Task Completion Checklist 2026

Pre-Audit Preparation & Scope Definition

Defining the audit objectives, identifying key stakeholders, and establishing the timeline and scope of the audit parameters.

Audit Project Name

Write something...

Audit Objectives & Scope Description

Write something...

Audit Commencement Date

Enter date...

Audit Severity Level

- ☐ Low
- ☐ Medium
- ☐ High
- ☐ Critical

Departments to be Audited

- ☐ Finance
- ☐ Operations
- ☐ Human Resources
- ☐ IT/Security
- ☐ Legal/Compliance

Audit Charter or Reference Policy

 Upload File

Lead Auditor Approval

Audit Documentation & Evidence Collection

Gathering all necessary logs, financial records, policy documents, and digital footprints required for verification.

Document Retrieval Date

Enter date...

Document Type

- ☐ Financial Statement
- ☐ Policy Manual
- ☐ Training Log
- ☐ Compliance Certificate
- ☐ Third-party Contract

Evidence Attachment

 Upload File

Document Reference ID

Write something...

Observations & Discrepancies

Write something...

Verification Status

- ☐ Complete
- ☐ Incomplete
- ☐ Requires Re-submission
- ☐ Missing

Auditor Verification Signature

Process Verification & Control Testing

Testing internal controls, verifying compliance with established SOPs, and evaluating the effectiveness of existing safeguards.

Control Test Status

- ☐ Pass
- ☐ Fail
- ☐ In Progress
- ☐ Not Applicable

Control ID/Reference Number

Observation Notes

Write something...

Evidence Documentation

 Upload File

Testing Completion Date

Enter date...

Auditor Verification Signature

Discrepancy Identification & Risk Assessment

Documenting findings, identifying gaps in compliance, and assessing the potential impact of discovered risks to the organization.

Discrepancy Description

Write something...

Detailed Impact Analysis

Write something...

Risk Severity Level

- ☐ Critical
- ☐ High
- ☐ Medium
- ☐ Low

Affected Departments

- ☐ Finance
- ☐ Operations
- ☐ IT / Security
- ☐ HR / Legal
- ☐ Customer Service

Date of Discovery

Enter date...

Supporting Evidence

 Upload File

Corrective Action Plan (CAP) Development

Assigning ownership to identified issues, setting remediation deadlines, and outlining the steps required to resolve non-compliance.

Identified Deficiency Summary

Write something...

Root Cause Analysis

Write something...

Risk Priority Level

- ☐ Critical
- ☐ High
- ☐ Medium
- ☐ Low

Remediation Task Description

Write something...

Remediation Deadline

Enter date...

Responsible Departments

- ☐ Operations
- ☐ Finance
- ☐ IT/Security
- ☐ Human Resources
- ☐ Legal/Compliance

Audit Manager Approval

Audit Report Finalization & Distribution

Compiling final findings into a formal report and communicating results to executive leadership and relevant department heads.

Final Audit Report Title

Write something...

Report Finalization Date

Enter date...

Audit Severity Level

- ☐ Low
- ☐ Medium
- ☐ High
- ☐ Critical

Executive Summary of Findings

Write something...

Distribution List (Stakeholders)

- ☐ CEO/Executive Board
- ☐ Compliance Officer
- ☐ Department Head
- ☐ Legal Counsel
- ☐ Operations Manager

Upload Finalized Audit Report (PDF)

 Upload File

Lead Auditor Approval Signature

Post-Audit Follow-up & Verification

Tracking the progress of remediation tasks and conducting a secondary review to ensure all corrective actions were successfully implemented.

Follow-up Completion Date

Enter date...

Remediation Status

- ☐ Pending
- ☐ In Progress
- ☐ Resolved
- ☐ Closed - No Further Action Required

Verification Notes & Observations

Write something...

Evidence of Remediation

 Upload File

Auditor Verification Signature

< Previous

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✓ Finish

 **Generate Sample Report**