

# Template

## Intro to Audit Kit



### About this template

For some business areas, Internal Audit may be a new concept. Having never been exposed to an audit beforehand, they may be confused about what needs to be done, the reasons for such strict timelines and how we generally perform an audit.

This template aims to help both the auditee and audit teams ensure there is a clear understanding of what is required from everyone at the very beginning of an internal audit.

### Why use this template

This template sets the tone from the very beginning of the audit. It clearly states who the key stakeholders are, the audit timeframes, documents required, and next steps. By having clear communication with the audit area we can ensure a high quality audit is delivered on time.

### When to use this template

This template should be used at the very beginning of the audit, even before planning has started. By communicating the timeframes as early as possible, we are able to work through any conflicts or issues before it becomes too late.

### Things to be careful about

Where the team being audited has not been audited before, extra time should be taken to make sure they have understood the audit process and are comfortable with what needs to be done. Whilst it may make sense to us and be completely normal, it could be intimidating for someone new.



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# Review of Audit title

Date, Year

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# Welcome

Everything you need to know about this review

In this deck you will find the following:

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Next steps

**6**

# The audit team and key stakeholders

DRAFT

**INTRO TO  
AUDIT KIT**

Below is an overview of our audit team and some of the key stakeholders in this review.

Please let us know if there are any other key team members who we should consider.

## Internal Audit

Name	Audit Director

## Audit Stakeholders

Name	Position

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Make this section more personable. You may wish to remove the table and instead use team member photos. See next slide for example.

If this page is completed correctly, you can simply copy and paste it into your Assignment Plan / Scope document.

# The audit team and key stakeholders

Below is an overview of our audit team and some of the key stakeholders in this review.

Please let us know if there are any other key team members who we should consider.

## Internal Audit

## Audit Stakeholders

Name

Position

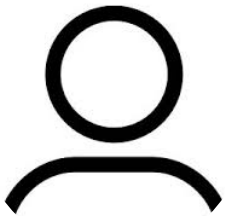
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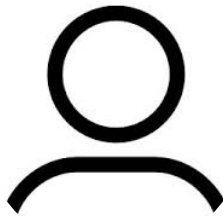


If this page is completed correctly, you can simply copy and paste it into your Assignment Plan / Scope document.



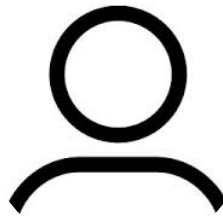
Name

Audit Team Member



Name

Audit Team Member



Name

Audit Team Member

# Our audit approach

We follow a very strict set of processes when performing an internal audit. This is to ensure all our reviews are conducted in a timely manner, yet meet the high standards we expect from ourselves. Below is an overview of our audit approach and our guiding principles we apply on every audit.



Our guiding principles

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within the business,

Obtain, or develop, high level process maps noting any key controls or risks; and

**Develop and approve the audit scope and objectives**

Bigger Picture

It's important that we are all aware of the agreed audit timelines. This ensures that we are both working to the same deadline and that the audit can be completed in a timely manner. When timelines slip, this often means more of your valuable time is taken up; which is the last thing we want to do. Below is an overview of our preliminary audit timeline to be agreed with you.

Definition	<b>Week 1</b>		WC DD Month	
	<b>Week 2</b>		WC DD Month	Internal Planning activities will commence. The Audit team will contact you to arrange initial planning meetings.
	<b>Week 3</b>		WC DD Month	

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File	<b>Week 12</b>	WC DD Month	Close out meeting held with all observations finalised.
	<b>Week 13</b>	WC DD Month	Findings and Actions Workshop held. Draft report issued.
Reporting	<b>Week 14</b>	WC DD Month	
	<b>Week 15</b>	WC DD Month	Management comments received.
	<b>Week 16</b>	WC DD Month	Final report issued along with satisfaction survey.
Close	<b>Week 17</b>	WC DD Month	
	<b>Week 18</b>	WC DD Month	Survey responses due.
	<b>Week 19</b>	WC DD Month	Action Tracking to commence.

As we progress through each week of the review, you will begin to see new slides appear in our weekly update deck. An example of what you can expect to see is included below.

Each audit objective, as per the scoping document, will have its own slide. This is so you can see what we are doing and what we have done.

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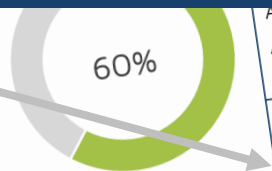
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Regularly communicate any preliminary observations. Even if they turn out not to be an issue, we will still let you know so you can help us, should we not have all the information available to us.

Any outstanding requests will be noted so that we can all ensure this audit is completed in a timely manner.



Audit task  
Audit task

**Preliminary observations**  
Include here any observations identified so far during your testing.

**Outstanding requests**  
Include here any outstanding or new documentation requests you may have.



Below is a list of key documents which will help us with our planning process. The sooner we are able to gain these documents, the sooner we can start planning and ensure we can meet our audit timelines.

No	Document	Who	Status	Date Received
1	Organisation Chart	Name	Received	20 May 2020

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Below is a high level summary of what our next steps are.

Planning and Familiarisation

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Below is a high level summary of what our next steps are.

Planning and Familiarisation

Fieldwork

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Only include this slide where you're moving from one phase into the next

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