

Compliance Audit Checklist

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	Audit Prep Item	Completed?	Notes
1.	Identify the standards and regulations that are the focus of the compliance audit	<input type="checkbox"/>	For example, the EPA might contact an organization to determine whether the organization's practices meet environmental standards
2.	Communicate with senior management about the audit	<input type="checkbox"/>	Management approval is needed for internal and external audits
3.	Determine who will coordinate activities with the auditors if the audit is external	<input type="checkbox"/>	A compliance officer might serve as the main intermediary between the company and external auditors
4.	Establish the audit plan	<input type="checkbox"/>	Management approval is needed for this plan
5.	Determine who will carry out the audit, if it is an internal audit	<input type="checkbox"/>	Internal audit team members should be knowledgeable about the audit subjects
6.	Set up an audit work area	<input type="checkbox"/>	The workspace should include network access, conference tables and chairs
7.	Make sure that the auditors have access to all relevant compliance audit documentation	<input type="checkbox"/>	A compliance officer would likely supply external and internal auditors with data
8.	Identify company subject matter experts (SMEs)	<input type="checkbox"/>	These are the candidates for audit interviews
9.	Hold preliminary audit meeting with internal departments	<input type="checkbox"/>	This meeting will help make sure that all involved employees fully understand their roles and responsibilities during the audit
10.	Hold a pre-audit meeting with the auditors if applicable	<input type="checkbox"/>	The meeting should include a review of the auditors' approach and what they will need during the audit
11.	Hold periodic meetings with the auditors during the audit	<input type="checkbox"/>	Meetings will include progress reports on the audit and addressing of auditor needs

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12.	Hold a meeting to review the preliminary audit report	<input type="checkbox"/>	The meeting can provide opportunities to correct some of the audit findings before the official audit report is issued
13.	Hold a meeting in which the auditors deliver the completed audit report to compliance stakeholders	<input type="checkbox"/>	This meeting will include a review of findings and recommendations as well as the establishing of a schedule to resolve findings
14.	Provide the audit report's results if needed to obtain a formal certification of compliance from an authorized certification body	<input type="checkbox"/>	A compliance officer would provide the audit report's results
15.	Create a schedule to periodically confirm that the organization is maintaining its compliance status	<input type="checkbox"/>	A compliance officer creates the schedule