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**Audit Preparation Checklist Survey**

**Purpose:**This survey assesses the organization’s audit readiness, ensuring financial records, systems, and processes are prepared for upcoming audits.

**Financial Records**

1. **Are all financial records from the previous year complete and accurate?**☐ Yes  
   ☐ No  
   ☐ In Progress
2. **Have all necessary reconciliations (e.g., bank statements, accounts payable, accounts receivable) been completed for the prior fiscal year?**☐ Yes  
   ☐ No  
   ☐ In Progress
3. **Are there any discrepancies in the financial records that need to be resolved?**☐ Yes  
   ☐ No **If yes, please describe:**

**Policies and Procedures**

1. **Are all financial policies and procedures documented and up-to-date?**☐ Yes  
   ☐ No  
   ☐ Not Sure
2. **Do all team members involved in the audit process understand their roles and responsibilities?**☐ Yes  
   ☐ No  
   ☐ Somewhat
3. **Have all required approvals and sign-offs for financial documents been completed?**☐ Yes  
   ☐ No

**Compliance and Risk**

1. **Are financial records compliant with all applicable regulatory requirements?  
   ☐** Yes  
   ☐ No  
   ☐ Not Sure
2. **Have potential compliance risks been identified and addressed before the audit?**☐ Yes  
   ☐ No  
   **If no, please specify the risks:**
3. **Are there any unresolved issues from previous audits that need attention?**☐ Yes  
   ☐ No  
   **If yes, please describe:**

**Systems and Tools**

1. **Are all financial systems (e.g., accounting software, ERP) functioning correctly and ready for the audit?  
   ☐** Yes  
   ☐ No  
   **If no, please describe the issues:**
2. **Do you have access to all the data and reports needed for the audit?**☐ Yes  
   ☐ No
3. **Are there any tools or resources that could improve the audit preparation process?**☐ Yes  
   ☐ No **If yes, please specify:**

**Audit Schedule and Communication**

1. **Has the audit schedule been communicated to all relevant stakeholders?  
   ☐** Yes  
   ☐ No
2. **Are there any potential challenges or bottlenecks in the audit process that need to be addressed?**☐ Yes  
   ☐ No  
   **If yes, please specify:**
3. **What additional steps should be taken to improve audit readiness?**

**Instructions for Completion:**

* This survey is intended for finance teams, accounting staff, and department heads responsible for audit preparation.
* Please provide honest and detailed feedback to help ensure a smooth audit process.
* Responses will guide improvements to systems, policies, and audit readiness strategies.

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