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**Internal Controls and Audit Readiness Survey**

**Purpose:**This survey evaluates the effectiveness of the organization’s internal controls and its readiness for scheduled internal or external audits.

**Internal Controls Assessment**

1. **How effective are the current internal controls in mitigating financial, operational, and compliance risks?**☐ Very Ineffective
☐ Ineffective
☐ Neutral
☐ Effective
☐ Very Effective
2. **Are all internal controls documented and accessible to relevant stakeholders?**☐ Yes
☐ No
☐ Somewhat
3. **Have there been any instances of control breaches or failures in the past year?**☐ Yes
☐ No **If yes, please describe:**

**Audit Preparation**

1. **Are all financial and operational records complete and organized for upcoming audits?**☐ Yes
☐ No
☐ In Progress
2. **Do all relevant departments understand their roles in the audit process?**☐ Yes
☐ No
☐ Somewhat
3. **Have follow-ups from previous audits been addressed and resolved?**☐ Yes
☐ No
☐ In Progress

**Risk and Compliance**

1. **Have all high-risk areas been identified and addressed as part of audit readiness?**☐ Yes
☐ No
☐ In Progress
2. **How confident are you that the organization is ready for upcoming internal or external audits?**☐ Not Confident
☐ Slightly Confident
☐ Neutral
☐ Confident
☐ Very Confident
3. **Are there any potential compliance risks that could impact audit results?**☐ Yes
☐ No **If yes, please describe:**

**Documentation and Tools**

1. **Are the systems used to track and report internal controls adequate and reliable?**☐ Yes
☐ No **If no, please describe any limitations:**
2. **Do you have access to all the data and reports needed for audit purposes?**☐ Yes
☐ No
3. **Are additional tools or systems needed to improve audit readiness?**☐ Yes
☐ No **If yes, please specify:**

**Future Improvements**

1. **What steps can be taken to improve the effectiveness of internal controls?**
2. **What additional resources (e.g., staff, training, tools) are needed to improve audit readiness?**
3. **Is there anything else you would like to share about internal controls or audit preparation?**

**Instructions for Completion:**

* This survey is intended for finance, compliance, and audit teams, as well as department heads involved in internal controls and audit preparation.
* Please provide detailed feedback to identify gaps and improve processes.
* Responses will guide strategies to strengthen internal controls and ensure audit readiness.

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