
AUDIT PREPARATION WORKSHEET

Audit-readiness checklist

Clarify gaps, owners and delivery before the audit starts.

SIX REVIEW AREAS

1 **Scope and request · Roles and coordination**

2 **Evidence inventory · Review and gaps**

3 **Traceability · Delivery and follow-up**

Four pages · ready to complete · one copy per case

Review readiness in six areas.

Use one copy per audit. Add owner, due date and status beside every open point in your task or audit system.

1. SCOPE AND REQUEST

Is the team preparing for the same audit question?

- ☐ Audit type, requesting party and target date are known.
- ☐ Entities, sites, processes and time period in scope are documented.
- ☐ Expected evidence format and delivery channel are clarified.

OWNER	DUE DATE	STATUS
NOTES AND NEXT ACTION		

2. ROLES AND COORDINATION

Does every part of the preparation have an owner?

- ☐ One person coordinates the overall audit response.
- ☐ A responsible reviewer is assigned for each evidence area.
- ☐ Escalation path and decision deadlines are agreed.

OWNER	DUE DATE	STATUS
NOTES AND NEXT ACTION		

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3. EVIDENCE INVENTORY

Can the team identify the required concrete records?

- ☐ Expected evidence is mapped to the audit scope.
- ☐ Concrete versions, sources and validity are identifiable.
- ☐ Duplicate, conflicting or obsolete records are marked.

OWNER	DUE DATE	STATUS
NOTES AND NEXT ACTION		

4. REVIEW AND GAPS

Are open issues visible and owned?

- ☐ Relevant evidence has a documented review outcome.
- ☐ Missing records, expired versions and decision gaps are separated.
- ☐ Every open gap has owner, due date and next action.

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5. TRACEABILITY

Can the team explain the evidence and its history?

- ☐ Evidence remains connected to requirement, process or business object.
- ☐ Approvals, changes and qualifications can be reconstructed.
- ☐ Answers and supporting evidence are consistent with each other.

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6. DELIVERY AND FOLLOW-UP

Is the handoff agreed and reusable?

- ☐ Only approved evidence for the intended recipient is selected.
- ☐ Recipient, shared version and release decision will be recorded.
- ☐ Post-audit findings and follow-up actions have an owner.

OWNER	DUE DATE	STATUS
NOTES AND NEXT ACTION		