

AUDIT NOTIFICATION FORM INSTRUCTIONS

1. Complete the Audit Notification Form (below). Include the last audit report the department received, any findings or exceptions, any corrective action plans devised and the status of the corrective action plans.
2. Submit the Form and all relevant documents to the Office of Internal Audits (OIA) as soon as the department receives notification of the audit, but no less than two weeks prior to the entrance conference or the beginning of the engagement period.
3. Set aside an hour to address any concerns or questions OIA has after receiving the Audit Notification Form.
4. Provide OIA the location where the auditors will be housed.
5. Include OIA in the audit entrance conference (sometimes referred to as a kick-off). It is usually held on the first day of the engagement and is used to establish:
 - a. Length of engagement
 - b. Days and hours of the fieldwork
 - c. Protocol for requesting and receiving documentation; for untimely responses to audit request; for clarification of possible exceptions, etc.
6. Include OIA in the exit conference. It is usually held on the last day of fieldwork and is used to communicate:
 - a. Any outstanding requests
 - b. Potential findings
 - c. Timeline for draft report and management's responses
7. Upon conclusion of the engagement, either the external auditors or the audited department will submit a copy of the report to the OIA.
8. For audits resulting in findings, the department will complete the corrective action plans (CAP) process.

AUDIT NOTIFICATION FORM

CSU Department _____

Contact Person _____ Title _____

Ext _____ email address _____

Auditing Agency

Name: _____

Contact Person _____ Title _____

Phone number _____ email address _____

Type of Audit _____

Scope of the Audit _____

Date of Entrance Conference or beginning of engagement _____

Anticipated length of engagement _____

Please provide a brief summation of any issues expected to be uncovered in the audit.

Date of last Audit by the same Agency _____ No. of findings or Exceptions _____

Please provide the report, the corrective action plan and the status of the corrective actions.