**AUDIT PROGRAM Form 11**

**Instructions:**

1. See section 3D for examples
2. Complete the sections per the directions highlighted in yellow below. Delete the yellow highlighted text in your completed program. Revise the green text for your engagement. The planning / General section is generic and can be revised as needed for your engagement.

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| --- | --- | --- | --- | --- | --- |
| **Audit Program:** | | | | | |
| **Step**  **#** | **Audit Objective/Procedures** | **Remarks** | **W/P Ref** | **Done By** | **Date** |
|  | **Planning / General** |  |  |  |  |
| 1. | **Objectives** |  |  |  |  |
| 2. | Issue an Audit Notification call to responsible Precinct Commander. |  |  |  |  |
| 3. | Prepare and obtain approval of an audit agenda. |  |  |  |  |
| 4. | Conduct an opening Pre-Audit Agenda meeting with Precinct Commander to determine the scope and objectives of the audit. |  |  |  |  |
| 5. | Develop an audit work plan based on the information obtained. |  |  |  |  |
|  | **Procedures** |  |  |  |  |
| 1. | Conduct an opening conference with the Precinct Commander. |  |  |  |  |
| a. | Discuss the scope and objectives of the audit. |  |  |  |  |
| b. | Identify any concerns of responsible Management. |  |  |  |  |
| c. | Document the opening conference and establish audit agenda. |  |  |  |  |
| 1. | Compile an audit-planning memo based on the preliminary information gathered. |  |  |  |  |
| 2. | Prepare a detailed audit program based on the audit plan and the preliminary information gathered. |  |  |  |  |
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| A. | **First Section (A) of your agenda** |  |  |  |  |
|  | **Objectives** |  |  |  |  |
| 1. | Objective for first item listed in this section in the pre audit agenda document |  |  |  |  |
| 2. | Objective for second item listed in this section in the pre audit agenda document |  |  |  |  |
| 3. | Etc |  |  |  |  |
|  | **NOTE: Insert rows as needed to expand table** |  |  |  |  |
|  | **Procedures** |  |  |  |  |
| 1. | Procedures for objective A.1 above |  |  |  |  |
| a. |  |  |  |  |  |
| b. |  |  |  |  |  |
| c. |  |  |  |  |  |
| 2. | Procedures for objective A.2 above |  |  |  |  |
| a. |  |  |  |  |  |
| b. |  |  |  |  |  |
| c. |  |  |  |  |  |
| 3. | Procedures for objective A.3 above |  |  |  |  |
| a. |  |  |  |  |  |
| b. |  |  |  |  |  |
| c. |  |  |  |  |  |
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| B. | **Section B Objectives** |  |  |  |  |
|  | **Etc.** |  |  |  |  |
|  |  |  |  |  |  |
|  | **Procedures** |  |  |  |  |
|  |  |  |  |  |  |
| C. | **Section C Objectives** |  |  |  |  |
|  | **Etc.** |  |  |  |  |
|  |  |  |  |  |  |
|  | **Procedures** |  |  |  |  |
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|  | **Reporting and Wrap-up** |  |  |  |  |
| 1. | Prepare a report draft of audit observations and recommendations have report reviewed by the Professional Standards Bureau Chain of Command. |  |  |  |  |
| 2. | Complete all working papers and have PSB Inspections Lieutenant review documentation. |  |  |  |  |
| 3. | Schedule and hold an audit-closing meeting with responsible Bureau Commander if requested. |  |  |  |  |
| 4. | Complete and issue final audit report. |  |  |  |  |

**AUDIT PROGRAM**

**Instructions:**

1. See ppt and workbook for examples
2. Open the audit program example in the section 12 reference folder
3. Copy and paste the planning and general objectives and procedures from the example audit program
4. Complete the sections per the directions highlighted in yellow below. Delete the highlighted text in your completed program.