

Bank Name Here
Internal Audit Department

INFORMATION & DOCUMENTATION REQUEST LIST

An [**Internal/Compliance**] audit of your department is scheduled to begin [**DATE**]. Due to the nature of this audit, we are providing you advanced notice to prepare the requested information that will be used in the course of this audit. The following information is requested to obtain an understanding of your departmental operations and activities. This list is not intended to be all-inclusive. Additional information or questions may be required throughout the course of the audit.

If the information detailed below is not available, we do not intend for you to create this information for our purposes. Please feel free to advise us of any additional information/documentation not listed below that may be useful to us in conducting this audit. If you have any questions or need clarification regarding this request, please call [**Auditor**] at extension [#####].

[For EXAMPLE PURPOSES ONLY]

1. Departmental Organization chart
2. List of all accounts (i.e. all CD's, all consumer loans, or only loans with executive reserve)
3. Trial Balance for the accounts requested in #2, if applicable
4. Bank policy/departmental policy/ - **or** Procedures (will not always have both)
5. Board Reports or Internally generated reports
6. Training performed