

Statewide Internal Audit  
Quality Assessment Review - Progress Chart  
June 2009

Tool	Title	Completed Date	Notes
Tool 1	Preparation and Planning for Conducting a QA	12/2008	
Tool 2	Self-Assessment Guide		This repeats a lot of what we have already done, so it should be quick to complete
Tool 3	Chief Audit Executive Questionnaire	5/8/09	
Tool 4	Audit Customer Survey		Plan to send out the surveys after May commencement
Tool 5	Internal Audit Activity Staff Survey		
Tool 6	Interview Guide - Board (Audit Committee) Member		
Tool 7	Interview Guide – Executive to Whom the CAE Reports		
Tool 8	Interview Guide – Senior and Operating Management		
Tool 8A	Interview Guide – Chief Information Officer		
Tool 9	Interview Guide – Chief Audit Executive		
Tool 10	Interview Guide – Internal Audit Activity Staff		
Tool 11	Interview Guide – External Auditor		
Tool 12	IA Activity Structure and Responsibilities	1/12/2009	
Tool 13	Risk Assessment and Audit Planning	1/20/2009	
Tool 14	Staff Professional Proficiency	2/2/2009	
Tool 15	Information Technology	2/16/2009	
Tool 16	Assessing Production and Value Added	3/9/2009	
Tool 17	Planning and Conducting the Engagement, Work Paper Review, Audit Report, and Monitoring Progress		We will pick a selection of prior audit work papers (within the past 12 months) to review and evaluate them against the Standards. <i>4/13/09 – We will select four or five completed audits and Laycie will evaluate these against the checklist. This should be complete by the end of August 2009.</i>

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Tool 18	Observations and Issues Worksheet		This is where we would note the exceptions noted in any of the other Tools.
Tool 19	Standards Compliance Evaluation Summary		This is the summary of all the other work papers
Tool 20	Reports – Explanatory Information		Report