

<b>Audit title</b>	
<b>Audit reference</b>	

Review check and reference to related area of PSIAS	Yes or No (If 'No' provide comments)	Action taken by HIA (if required)
<b>Were the key risks identified from the risk register and added to Galileo?</b> PSIAS – 2120 Risk Management & 2210 .a1 Engagement Objectives		
<b>Was a process map, system description or documented procedures drawn up (or available from management) showing the processes and controls in place?</b> PSIAS - 2130 Control		
<b>Did the Galileo controls and tests matrices align to the terms of reference for coverage?</b> PSIAS - 2240 Engagement Work Programme		
<b>Were the terms of reference and controls and tests approved by the HIA?</b> PSIAS - 2340 Engagement Supervision		
<b>Was the testing approach:</b> - Clearly defined for each control? - In line with internal guidance e.g. method, sample size and selecting a sample? PSIAS - 2320 Analysis and Evaluation		
<b>Was Galileo completed (controls and tests) with sufficient evidence and detail to allow another auditor to reach the same conclusion?</b> PSIAS - 2310 Identifying Information		
<b>Were all audit findings identified through fieldwork raised and concluded appropriately?</b> PSIAS - 2320 Analysis and Evaluation		
<b>For each audit finding/issue was the correct risk identified?</b> PSIAS - 2320 Analysis and Evaluation		

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<b>Were review points raised and were they adequately addressed and signed off?</b> PSIAS - 2340 Engagement Supervision		
<b>Were the:</b> - Draft and final reports approved by the HIA prior to issue? Is sufficient evidence of approval held on shared drive eg version changes of the report and accompanying emails from the HIA)? PSIAS - 2340 Engagement Supervision		
<b>Is it clear how the auditee management's response to the draft report has been addressed (eg emails, meeting notes)?</b> PSIAS – 2420 Quality of Communications		
<b>Did the management action plan address satisfactorily the findings/issues?</b> PSIAS - 2320 Analysis and Evaluation		
<b>Did the final report reconcile to the terms of reference?</b> PSIAS – 2400 Communicating Results		
<b>Were the findings/issues updated in Galileo to reflect the final report?</b> PSIAS – 2330 Documenting Information		
1. Was a customer satisfaction questionnaire issued? 2. Was it received back completed? 3. If not, was it chased? 4. If completed, were the results/scores/comments recorded on Galileo? 5. If there were any adverse comments, were they dealt with by the HIA?		

<b>Reviewed by</b>	
<b>Review date</b>	