

Internal Audit Activities in Agencies and Other Bodies

PROGRESS MEETING

[AGENCY]
[TOPIC]

[date of the Progress meeting]

[Agency Name – Audit Topic]

REASON FOR THE ENGAGEMENT

Agenda

Engagement Reason

Preliminary Survey

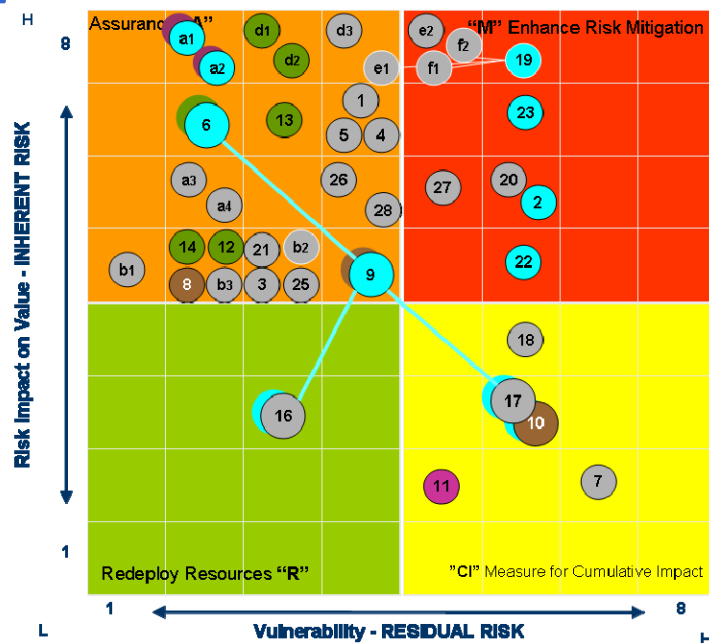
Objective & Scope

Annexes

Resources

Risk Control Matrix

Risk map from the audit plan 2010/2012 [Show the process(es) audited only]



Audited Activity / Process

[Name of the audit]

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix

Results of the desk review

[illegible]

Results of the preliminary interviews

Key information [name DG] [parent DG]

- $[\dots]$
- $[\dots]$
- \dots

Key information ECA

- $\begin{bmatrix} \cdot & \cdot & \cdot \end{bmatrix}$
- $\begin{bmatrix} \cdot & \cdot & \cdot \end{bmatrix}$
- $\begin{bmatrix} \cdot & \cdot & \cdot & \cdot & \cdot & \cdot & \cdot \end{bmatrix}$

[Agency Name – Audit Topic]

PRELIMINARY SURVEY - RESULTS

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix

Results of the preliminary interviews

Interviews performed on: [dates of PI]



People interviewed

- [Name, Title]
- [Name, Title]
- ...

Key information received

- [...]
- [...]
-

[Agency Name – Audit Topic]

PRELIMINARY SURVEY - RESULTS

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix

Key figures

Risk assessment – results of the engagement risk assessment

[illegible]

[Agency Name – Audit Topic]

PRELIMINARY SURVEY - RESULTS

Agenda

Engagement Reason

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Objective & Scope

Annexes

Resources

Risk Control Matrix

Mapping of the audited activity / process

[Agency Name – Audit Topic]

OBJECTIVE

Agenda

Engagement Reason

Preliminary Survey

Objective & scope

Annexes

Resources

Risk Control Matrix



IIA
Standard
2130-1

Audit objectives

The objective is to provide an independent assurance on the adequacy and effective application of the internal control system, related to the [process under review].



ERM
Objectives for
Internal
Controls

Controls objectives

In particular, the audit assess whether the internal control system provides reasonable assurance regarding.

[select

- 🔍 Compliance with the legal basis
- 🔍 Effectiveness and efficiency of the processes;
- 🔍 Reliability of information.]

[Agency Name – Audit Topic]

SCOPE

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix

SCOPE



...

SCOPE EXCLUSIONS



...

[Agency Name – Audit Topic]

DATES FOR THE FIELDWORK

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix

FROM [xx/xx/20xx TO xx/xx/20xx]

[Agency Name – Audit Topic]

ANNEXES

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix

ANNEXES

[Agency Name – Audit Topic]

ANNEX 1 - ENGAGEMENT RESOURCES

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix

Team



Manager [Name]

Team leader [Name]

Team member [Name]

Team member [Name]

Budget (in man-days)

| | |
|--------------------|--|
| Preliminary survey | |
| Fieldwork | |
| Reporting | |
| Total | |

[Agency Name – Audit Topic]

ANNEX 2 - RISK CONTROL MATRIX

Agenda

Engagement Reason

Preliminary Survey

Objective & Scope

Annexes

Resources

Risk Control Matrix