

A1: PLANNING GUIDE

Purpose: Overview of Planning, Fieldwork, and Reporting Templates

Document Ref. #	Document Title	Brief Description
A1	Planning Guide	Overview of Planning, Fieldwork, and Reporting templates
A2	Initial Data Request (IDR)	Organization metadata, plus an indexed, cross-referenced list of types of documentation that will be necessary to complete a quality assessment.
A3	Domain II Planning – Head of Internal Audit's Overview	Head of Internal Audit descriptions of processes and comments on conformance with standards in Domain II.
A4	Domain III Planning – Head of Internal Audit's Overview	Head of Internal Audit descriptions of processes and comments on conformance with standards in Domain III.
A5	Domain IV Planning – Head of Internal Audit's Overview	Head of Internal Audit descriptions of processes and comments on conformance with standards in Domain IV.
A6	Domain V Planning – Head of Internal Audit's Overview	Head of Internal Audit descriptions of processes and comments on conformance with standards in Domain V.
A7	Compliance with Laws and Regulations Planning - Head of Internal Audit's Overview	Head of Internal Audit descriptions of processes and comments on compliance with relevant Laws and Regulations
B1	Board and Management Survey	Survey for individuals who can provide feedback on the operation of the internal audit function.
B2	Internal Audit Function Staff Survey	Survey for internal auditors to provide feedback on the operation of the internal audit

		function.
CI	Interview - Head of Internal Audit	Follow-up questions to clarify and confirm an understanding of the information received so far.
C2	Interview- Governing body and/or Management	Follow-up questions to clarify and confirm an understanding of the information received so far.
C3	Interview-Other Assurance Providers	Two questions: about the other provider's coordination with and reliance on IA, and vice versa.
C4	Interview-Internal Audit Function Staff	Follow-up questions to clarify and confirm an understanding of the information received so far.
D1	Domain I Fieldwork	Document the support for the conclusion on Achievement of the Purpose of Internal Auditing.
D2	Domain II Fieldwork	Document the support for the conclusions on Conformance with the Standards and Achievement of the Principles in Domain II: Ethics and Professionalism.
D3	Domain III Fieldwork	Document the support for the conclusions on Conformance with the Standards and Achievement of the Principles in Domain III: Governing the Internal Audit Function.
D4	Domain IV Fieldwork	Document the support for the conclusions on Conformance with the Standards and Achievement of the Principles in Domain IV: Managing the Internal Audit Function.
D5	Domain V Fieldwork	Document the support for the conclusions on Conformance with the Standards and Achievement of the Principles in Domain V: Performing Internal Audit Services.
D6	Domain V Supplemental Program- Engagement Workpaper Review	Document the results of a review of engagement workpapers, to support the conclusions on Conformance with the Standards and Achievement of the Principles in Domain V: Performing Internal Audit Services.
D7	Compliance with Laws and Regulations Fieldwork	Document the support for the conclusions on Compliance with relevant Laws and Regulations
E1	Overview of Rating Matrices	Guidance for applying the various Achievement (Conformance) rating scale.
E2	Summary of Conclusions	Summary of Conclusions from fieldwork files, plus Maturity and Overall conclusions.

E3	Maturity Rating Models	Guidance for applying the various maturity rating models
F1	Sample Report	Template for reporting the results of a quality assessment.
F2	Independent Validator's Report	This template will be used by an independent validator to describe the scope of their work, any observations they may want to make, and their agreement with the self-assessment's conclusions.
G1	Gap Assessment	Template for assessing confidence in the completeness of documentation of conformance with the Standards and compliance with relevant laws & regulations.



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