

Management Survey Template (To be used for periodic assessment)

Internal Audit is committed and strives to attain the highest standards of performance, professionalism, fairness and integrity in the conduct of audits.

The purpose of this questionnaire is to seek your opinion concerning both the quality of internal audit services provided and the professionalism of the audit staff. The intent is to use the feedback to enhance the overall quality of audits and help foster continuous improvements in the Internal Audit function.

Rating scale:

- 5 Excellent (far exceed expectations, flawless, proactively helpful)
- 4 Very good (above expectation only minor improvement areas)
- 3 Good (meets basic expectation but noticeable room for improvement)
- 2 Fair (below expectation and major improvement areas)
- 1 Poor (does not meet expectations/fails to meet minimum standards, requires substantial intervention)

User Note: Provide additional information for fair and poor rating in the comment section.

Internal Audit Governance		Rating
1.	Internal audit staff respect the value of information they receive and treat it with confidentiality.	
2.	Internal audit staff exhibit the highest level of professional objectivity in performing their work.	
3.	The Internal audit function adds value and helps the organization accomplish its objectives.	
4.	The placement of the Internal audit function ensures its independence and ability to fulfill its responsibilities.	
5.	Internal audit staff have free and unrestricted access to records, information, locations, and staff during the performance of their engagements.	
Comments		
Internal Audit Staff		Rating
6.	Internal audit staff communicate effectively (oral, written, and presentations).	
7.	Internal audit staff keep up to date with changes in the entity processes, the industry, and relevant regulatory issues.	
8.	Internal audit staff displays adequate knowledge of the entity/function processes, including critical success factors.	

9.	Internal audit staff exhibit effective challenges identification and advisory skills.	
	Comments	
Internal Audit Management		Rating
10.	Internal audit management communicates effectively (oral, written, and presentations).	
11.	Internal audit management keeps up to date with changes in the entity processes, the industry, and relevant regulatory issues.	
12.	The Internal audit management establishes annual audit plans to assess areas or topics that are significant to the organization.	
13.	The Internal audit management sufficiently communicates its\ audit plans to management.	
14.	The Internal audit management effectively promotes appropriate ethics and values within the entity.	
15.	The Internal audit function adequately assesses the effectiveness of risk management processes employed by management to achieve the entity objectives.	
16.	The Internal audit function adequately assesses the effectiveness of the entity's system of internal controls.	
17.	Internal audit function management demonstrates effective conflict resolution and negotiating skills.	
Internal Audit Process		Rating
18.	The Internal audit function exhibits proficiency and organizational skills to ensure timely completion of audit assignment/engagements.	
19.	The Internal audit function demonstrates sufficient knowledge of key risks and controls in performing its audit engagement/assignment.	
20.	Internal audit reports are accurate, objective, clear, concise, constructive, complete, and timely.	
	Comments	

Additional comments:
