

10/10/2020
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1. The first part of the document is a list of items that are to be reviewed. The items are listed in a numbered format and include various types of documents and records. The list is intended to provide a comprehensive overview of the materials that will be examined during the audit process.

2. The second part of the document is a list of questions that are to be asked of the auditee.

1. How many times has the system been reviewed in the past year?
2. What is the purpose of the system?
3. How is the system used?
4. What are the main components of the system?
5. How is the system maintained?
6. What are the main risks associated with the system?
7. How are these risks managed?
8. What are the main controls in place to mitigate these risks?
9. How are these controls monitored and tested?
10. What are the main findings from the previous audit?
11. How have these findings been addressed?
12. What are the main recommendations from the previous audit?
13. How have these recommendations been implemented?
14. What are the main areas of concern for the auditee?
15. How are these areas of concern being addressed?
16. What are the main areas of strength for the auditee?
17. How are these areas of strength being maintained?
18. What are the main areas of improvement for the auditee?
19. How are these areas of improvement being addressed?
20. What are the main areas of focus for the auditee in the next year?