# Evaluating the Audit Department

The Archer Audit Planning & Quality use case uses surveys to comply with the International Professional Practices Framework of IIA, which defines a Quality Assurance and Improvement Program (QAIP) as an ongoing and periodic assessment of the entire spectrum of audit and consulting work performed by the internal audit activity. All CAEs are required to develop a QAIP that includes both internal and external assessments. Under the QAIP, quality should be assessed at both an individual audit engagement level as well as at a broader internal audit activity level.

The Audit Planning & Quality use case includes a QAIP through the use of the following surveys:

* **Internal Audit Customer Survey.** The Internal Audit Customer Survey documents the results of customer surveys that are sent to the audit customer at the conclusion of each audit engagement. The survey includes questions on the professional proficiency of IA staff, the scope of work on the engagement, the performance of the audit work, and the overall management of the internal audit department. The submitter of this survey is intended to be the primary business owner or owners on whose areas the audit focused.
* **Internal Audit Quality Assurance Review Checklist.** You can use the Internal Audit Quality Assurance Review Checklist to document the quality assurance review of both the audit engagement and the audit team for selected engagements. This survey includes questions on project administration and documentation, the overall effectiveness of the engagement, the issuance of the audit report, and other administrative matters. The manager of the QA review is the intended submitter of this survey, with reviews performed by an IA director or the Chief Audit Executive.
* **Internal Audit Annual Review.** You can use the Internal Audit Quality Assurance Review Checklist to document the quality assurance review of both the audit engagement and the audit team for selected engagements. This survey includes questions on project administration and documentation, the overall effectiveness of the engagement, the issuance of the audit report, and other administrative matters. The manager of the QA review is the intended submitter of this survey, with reviews performed by an IA director or the Chief Audit Executive

During the Wrap Up phase of the engagement, complete and review the Internal Audit Customer Survey to evaluate the audit team performance on the engagement. You can create reports or display the Wrap Up tab in the engagement to communicate the results with the Audit Committee.

Throughout the year, use the Internal Audit Quality Assurance Review Checklist to audit your audit engagements and output. At the end of the year, complete the Internal Audit Department Annual Review to evaluate the audit team. With the Executive Management access role, Audit Committee members can view the results of the Internal Audit Annual Review and all other surveys on their dashboards and create reports.