Setting up an audit (brief instruction)

Introduction

This document provides a brief overview to quickly set up an internal audit.
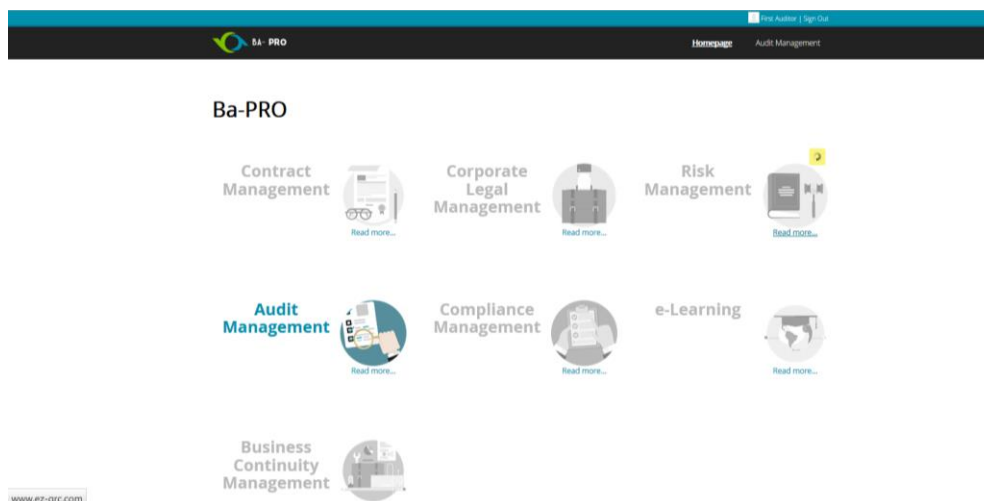Part of the document also deals with the creation of questionnaires.
Please also check out the on-line help for further details on how to use the Ba-PRO applications.

Logging in

You receive a username (typically your email) and a password to log in to your corporate audit application. You find the login page via apps.ba-pro.com and via the ba-PRO.com website.
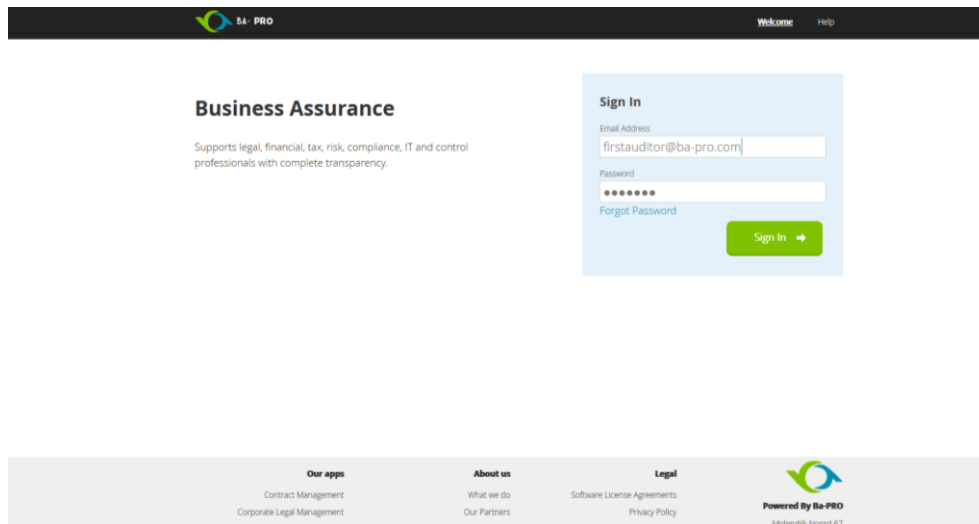
Once logged in you can select the application that you want to use. In this case this user only has access to the audit application (colored). Audit Management is often combined with the Risk Management application.

Setting up an audit (brief instruction)

Creation or acquisition of audit forms

The software allows for uploading existing audit forms and creating your own audit forms.
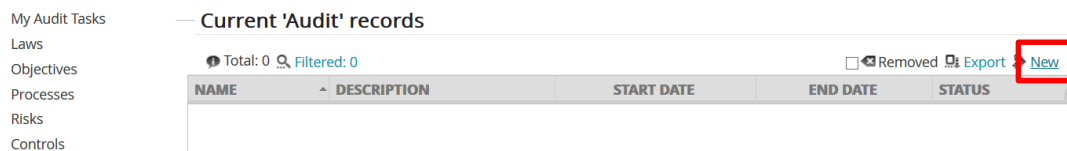
ACQUIRE AUDIT FORMS

It is possible to upload available audit forms (questionnaires). We work with partners creating audit forms which can be made available to our clients.

CREATE AUDIT FORMS

It is also possible to create your own audit forms or have us create them for you and then use / reuse them multiple times. You can also export and import your questionnaires.

Creation / scheduling an audit

It is possible to create an audit (select new) and you can then provide the details of that audit.

When creating a new audit you can fill out the relevant details, assign a lead auditor and auditor(s) to execute the audit. You include an audit form in the audit to guide the audit process. Once you have created an audit you can use the audit as a template so that will make it easier to create a sequence of identical audits which is very handy when creating monthly or quarterly audits.

The Business assurance Professionals
Ba-PRO, P.O. Box 315, 5480 AH Schijndel, the Netherlands
Email: info@Ba-PRO.com

# Setting up an audit (brief instruction)

PLANNING

You can plan the audits ahead and they will automatically get activated when the start date is due. Clients often schedule their audits typically a full year ahead using the copy function.

AUTOMATIC EMAIL ALERT

The auditor can receive an automatic email with a link to the audit due and also the lead auditor can get informed that an audit is started. Furthermore it is possible to let the system send a reminder email x days prior to the due date if an audit is not completed yet.

Executing an audit

When an audit is assigned to you as auditor, you receive an automatic email with a link to the audit and information on the audit subject (e.g. a risk or a process).
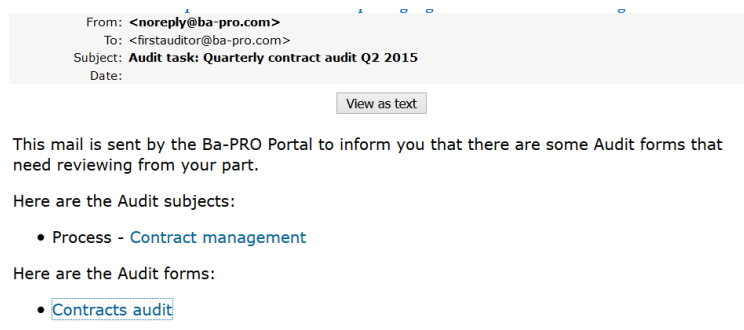
When you click on the link you can log in the application and check your audit tasks. This list contains all audit activities that <u>you</u> have to execute.
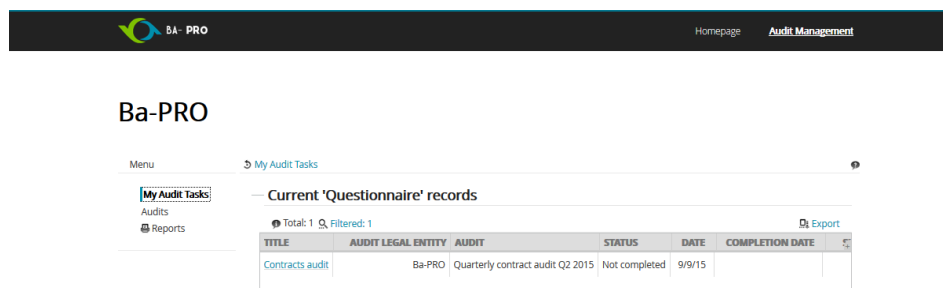
Selecting the task at hand will immediately get you to the linked audit form with instructions. Now you can open up the sections of the audit, fill out the required information and upload documents or evidence as required.

Setting up an audit (brief instruction)

You can save your audit results as a draft and later continue until completed. Once saved (save and close) you can no longer edit your results and all answers and uploaded documentation are securely stored in the audit file and the underlying Document Management System. Of course it is possible that more auditors execute the same audit and all the information is combined for the lead auditor to review and report on.

Setting up an audit (brief instruction)
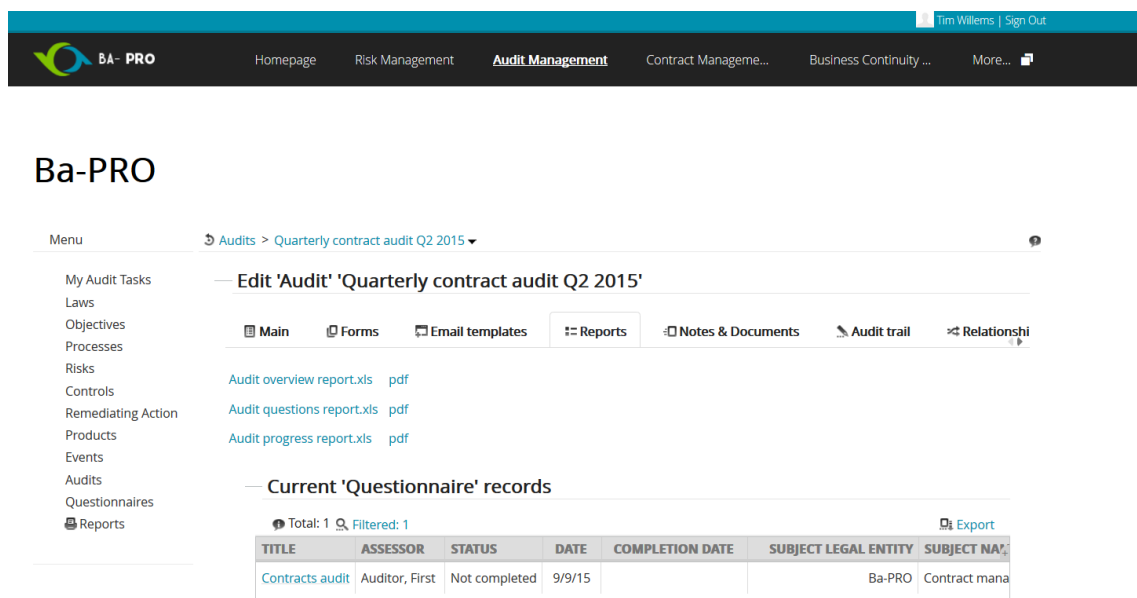
Lead auditor, audit completion

As Lead auditor you have an immediate overview of all the audits and their status. For instance here you can see that the contracts audit of Q2 is past due (red clock). You can also order or filter the audits to get a quick overview.

You can go to the audit and see the status (*tab reports*). You can generate one of the reports, for instance the status progress or questions report that displays a structured overview all answers provided in the audit form (automatic combination of results). The latter being highly relevant if you have more than one auditor execute the audit (e.g. over multiple entities).

Or you can immediately drill down to the details of the audit as (partially) filled in by the auditors, see the status per auditor and drill down to all the details in the audit form.
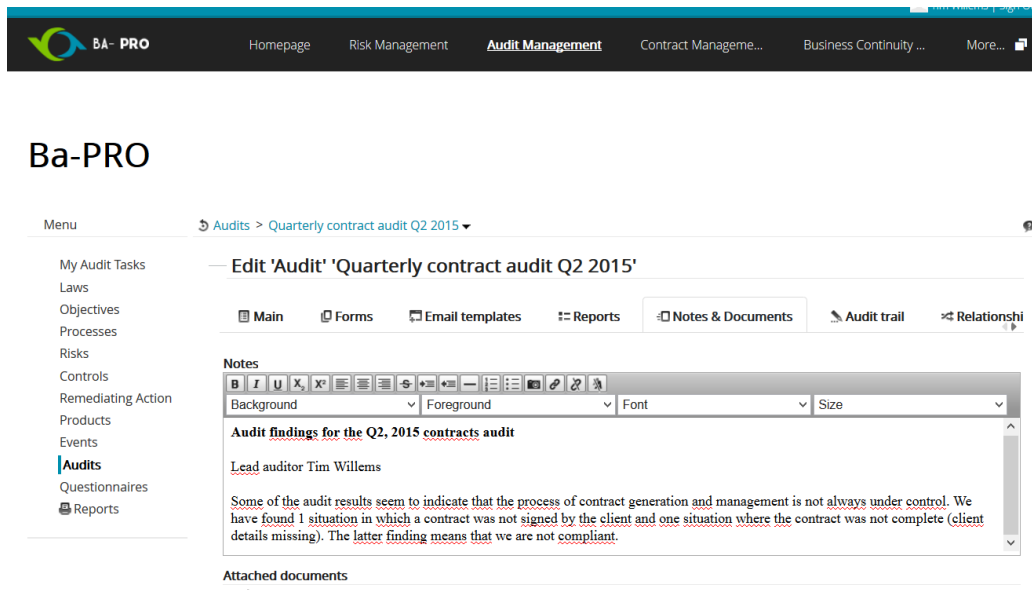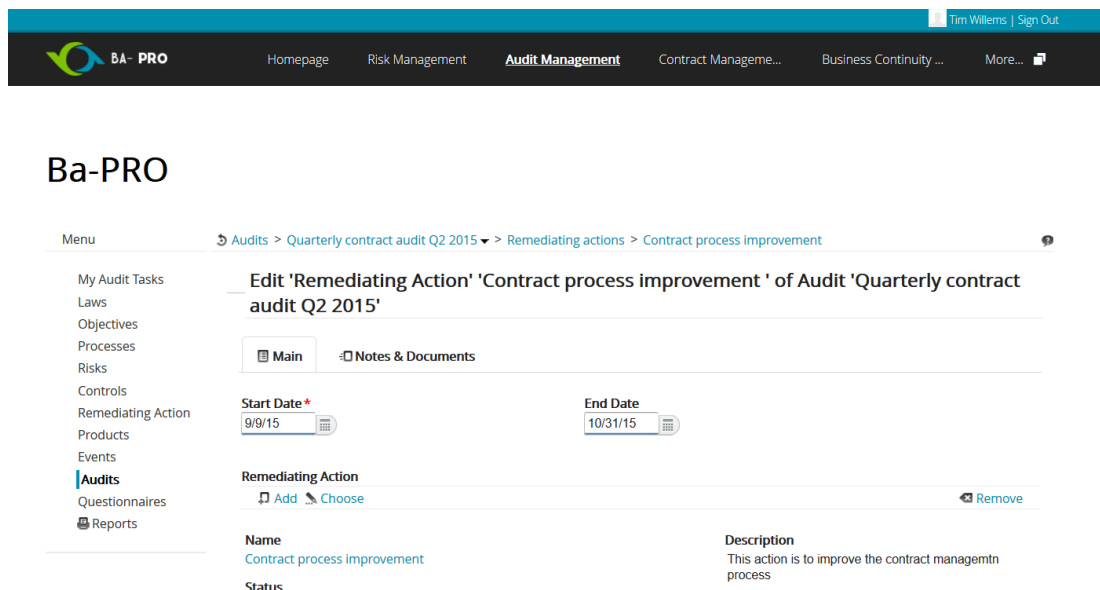
Setting up an audit (brief instruction)

Once the audits are completed, the lead auditor can attach notes and documents to provide his conclusions to the audit.

The lead auditor can also upload a report or any other document that is relevant for the completion of this audit.
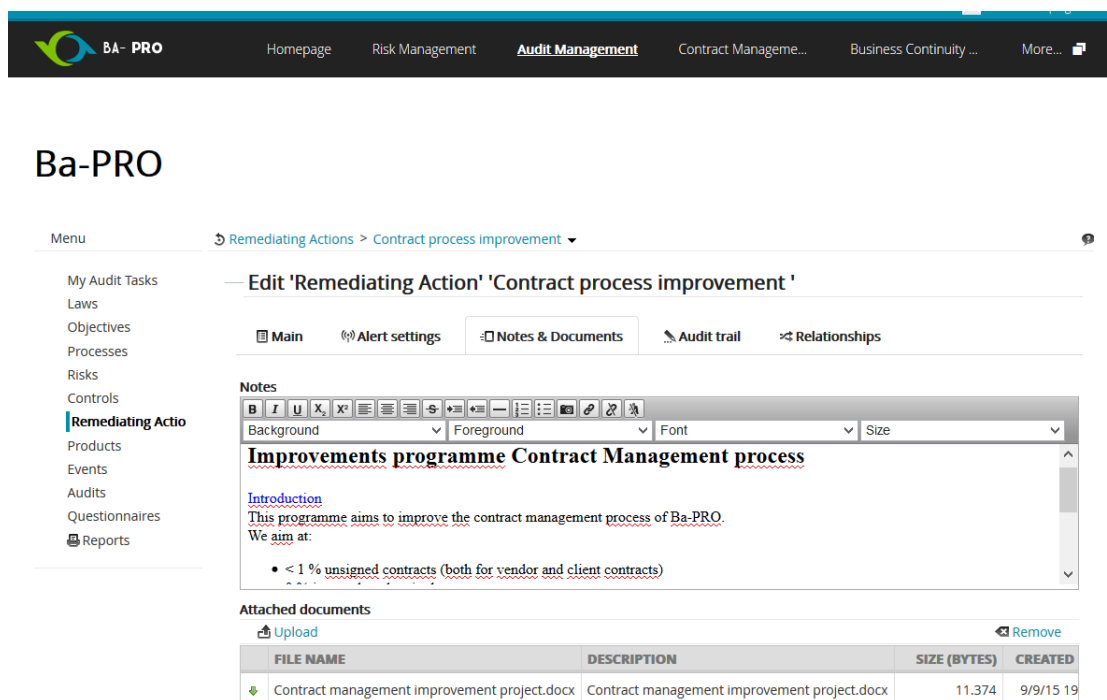
Remediating actions

The lead auditor can, if the audit results give cause to it, create a remediating action and link it to this audit. This gives a trace of the improvement projects triggered by the audit results.

Setting up an audit (brief instruction)

After linking a new remediating action you can detail the remediating action information by indicating the due date, the responsibilities (RACI), alert options, a project description (and possible documents) to ensure proper execution of the remediating action. The responsible will receive automatic email alerts to support the completion of the remediating action.

Reports are available on the status and details of the remediating action but also on the audit, the results, the status of the remediating action etc. All to be used for management reporting and direct overview. Reports can be created in pdf and excel.

Conclusion

Ba-PRO audit management supports the full audit cycle. You can set up your own audit forms or use audit forms that our partners make available.
Plan and set up your audits (planning) and then monitor the execution. Audit alerts get sent automatically and the audit results are combined in reports and can be followed up eventually by remediating actions that are driven by the system and can also be traced via the system. Full cycle audit management.

All data is securely stored, full audit trail created and all relevant documentation stored structured in the built in Document Management System.