

<b>IC</b>	<b>AUDIT MANAGEMENT CHECKLIST</b>		<b>Audit Reference</b>	
<b>Name of Organisation:</b>				
<b>PREPARATORY MEETING</b>				
<b>Names of participants:</b>				
<b>Questionnaire completed?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<b>Meeting Date:</b>	
<b>ADEQUACY AUDIT</b>				
<b>Date data received:</b>		<b>Date audit completed:</b>		
<b>Documentation received</b>	<input type="checkbox"/> DP Policy	<input type="checkbox"/> Procedures		
	<input type="checkbox"/> Codes of practice	<input type="checkbox"/> Other		
<b>Audit outcome:</b>	<input type="checkbox"/> Satisfactory	<input type="checkbox"/> Unsatisfactory		
<b>Compliance Audit scheduled?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<b>Scheduled Compliance Audit date:</b>	
<b>COMPLIANCE AUDIT</b>				
<b>Actual Audit date:</b>		<b>Audit duration (days):</b>		
<b>Audit Team Leader</b>				
<b>Audit Team Members</b>				
Documentation check before leaving for the audit:				
<input type="checkbox"/> Pre-Audit Questionnaire <input type="checkbox"/> Audit Plan <input type="checkbox"/> System Audit Checklists <input type="checkbox"/> Process Audit Checklists <input type="checkbox"/> Interview/Focus Group Record Sheets <input type="checkbox"/> Non-compliance Records <input type="checkbox"/> Observation Notes <input type="checkbox"/> Compliance Audit Reports				
<b>Names of participants at the Opening Meeting:</b>				
<b>Number of Major Non-compliances raised:</b>		<b>Number of Minor Non-compliances raised:</b>		
<b>Number of Observations made:</b>		<b>Number of staff One-to-One interviews held:</b>		
<b>Number of staff Focus Groups held:</b>		<b>Compliance Audit Report completed?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Names of participants at the Closing Meeting:</b>				

<b>IC</b>	<b>AUDIT MANAGEMENT CHECKLIST</b>		<b>Audit Reference</b>	
<b>Name of Organisation:</b>				
<b>AUDIT FOLLOW-UP</b>				
<b>Audit Follow-up scheduled?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<b>Scheduled Audit Follow-up date:</b>	
<b>Audit Team Leader</b>				
<b>Audit Team Members</b>				
<b>All Major Non-compliances cleared?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<b>All Minor Non-compliances cleared?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Audit closed?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<b>Audit completion date:</b>	
<b>NOTES</b>				
<b>Completed by</b>		<b>Date</b>		