



Compliance Training Quiz

10 Questions // Due 1/26/14

This quiz contains 10 multiple choice questions. Each question has exactly ONE correct answer.

1

To properly evaluate the operations of an internal auditing department, a quality assurance program should include:

- Periodic supervision of internal audit work on a sample basis
- Internal reviews, by other than the internal audit staff, to appraise the quality of department operations
- External reviews at least once every three years by qualified persons who are independent of the organization
- Periodic rotation of audit managers

2

Having been given the task of developing a performance appraisal system for evaluating the audit performance of a large internal audit staff, you should:

- Provide for an explanation of the appraisal criteria methods at the time the appraisal results are discussed with the internal auditor
- Provide general information concerning the frequency of evaluations and the way evaluations will be performed without specifying their timing and uses
- Provide primarily for the evaluation of specific accomplishments directly related to the performance of the audit program

