

SECTION B-3.2

AUDIT PROCESS QUESTIONNAIRE

Beginning with the audit reports presented at the November 2006 Board of Regents meeting, Internal Audit Feedback Questionnaires will be collected via the departmental website (www.uh.edu/audit).

Note: Feedback Questionnaires are not sent for the annual Cash Handling Audit, or for the quarterly Follow Up Report.

The questionnaire distribution and collection process is as follows:

- The Auditor-In-Charge (AIC)/Supervisor determines the key players among the auditees from whom we would like to receive feedback.
- The AIC/Supervisor populates the “Quest200X” excel workbook (located at “I:\REPORTS\FY 200X\Quest200X”) with the names and job titles of client department employees that they worked with.
- The AIC/Supervisor emails the department webmaster (currently Liana Hadjigeorgiou) with the report number and name.
- The department webmaster: 1) creates and publishes a webpage with the questionnaire that contains the audit report number and name; 2) enters the survey web address in the Quest200X workbook; and 3) emails the survey web page to the AIC/Supervisor.
- The AIC/Supervisor prepares the Questionnaire Distribution email with no Outlook signature or disclaimer, enters the email addresses of the clients to be surveyed, and copies this email to the distribution 6 folder of the Audit Report. The Questionnaire Distribution email contains a hyperlink to the report questionnaire as well as the login ID (*customer*) and the password (*survey*).
 - If you would like this email installed in your Outlook as a form, please contact the department webmaster.
- After the Board of Regents meeting, the Executive Administrative Assistant opens the emails in the distribution 6 folders, adds the Director’s signature, and sends the emails to the client. The email created by the AIC/Supervisor is retained in the Distribution 6 folder. The Executive Administrative Assistant also forwards the sent emails to the TeamMate Administrator.
- When clients complete the survey, an email is generated that contains the audit report number, client name, and survey responses (0 = no, 1 = yes). The survey also generates a thank-you page for the client.
- The emails are automatically returned to the Director. The Director reviews the responses and forwards the emails to the Executive Administrative Assistant, the Assistant Director and the TeamMate Administrator to perform the following tasks:
 - The Executive Administrative Assistant enters the date of receipt and the response for question 11 into the QUEST200X workbook. Question 11 pertains to overall client satisfaction with the audit, and is one of the metrics used to evaluate departmental performance on an annual basis.

- The Assistant Director reviews the responses and forwards copies of the emails to the appropriate AIC/Supervisor.
- The TeamMate Administrator files the copy of the sent email and the questionnaire response emails into the Annual Governor's Report TeamMate Project.

Examples:

[Questionnaire Distribution Email](#)
[Web Survey](#)

Sample Questionnaire Distribution Email

TO: **[enter email addresses]**

CC:

Subject: Audit Feedback Questionnaire – **[AR200X-XX, Audit Name]**

Recently an internal audit was completed within your area. To assist us in evaluating the quality and effectiveness of the internal audit function at the University of Houston System, we would appreciate your candid response to the questionnaire at: **[enter web address]**. The login is: customer and the password is: survey. This is designed to help us identify opportunities for improvement in order to provide a more effective service to management and maintain a high level of quality.


Please complete and submit the questionnaire within two weeks. Please contact us if you have any questions or if you would like to discuss the quality of the audit or our audit process in more detail.


Thank you for your time and constructive comments. We appreciate your feedback.

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Example Customer Service Survey

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 **Internal Auditing Department**

AUDIT FEEDBACK QUESTIONNAIRE

AR2007-01 [AUDIT NAME: Test]

1. Did you receive timely or advance notification of the audit?
 Yes
 No
2. Were you provided the opportunity for an opening meeting to discuss the objectives and timing of the audit?
 Yes
 No
3. Did the auditor exhibit an understanding of your mission/ operations/procedures and the related University policies?
 Yes
 No
4. Was the auditor cooperative in attempting to minimize interruptions to your operations and schedule?
 Yes
 No
5. Did the auditor(s) convey, verbally or in writing, their questions, conclusions, and recommendations effectively?
 Yes
 No
6. Did you consider the audit report observations accurate?
 Yes
 No
7. Did you have an opportunity to provide explanations or responses to the auditor's observations and recommendations?

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- Yes
- No

8. Did you consider the report and any other written communications clearly written?

- Yes
- No

9. Were you and/or your staff kept well informed of the audit's progress, during the course of the audit?

- Yes
- No

10. Did the auditor(s) carry out their responsibilities in a courteous and businesslike manner?

- Yes
- No

11. Overall, were you satisfied with the audit?

- Yes
- No

Comments and/or Suggestions :

Questionnaire Completed by :

-Tel:-(713) 743-8000
Fax:(713) 743-8015

University Business Park,
5000 Gulf Freeway, Bldg. 3, Room 281, Houston, TX 77204-0930,
Campus Mail Code: AUDIT-0930



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