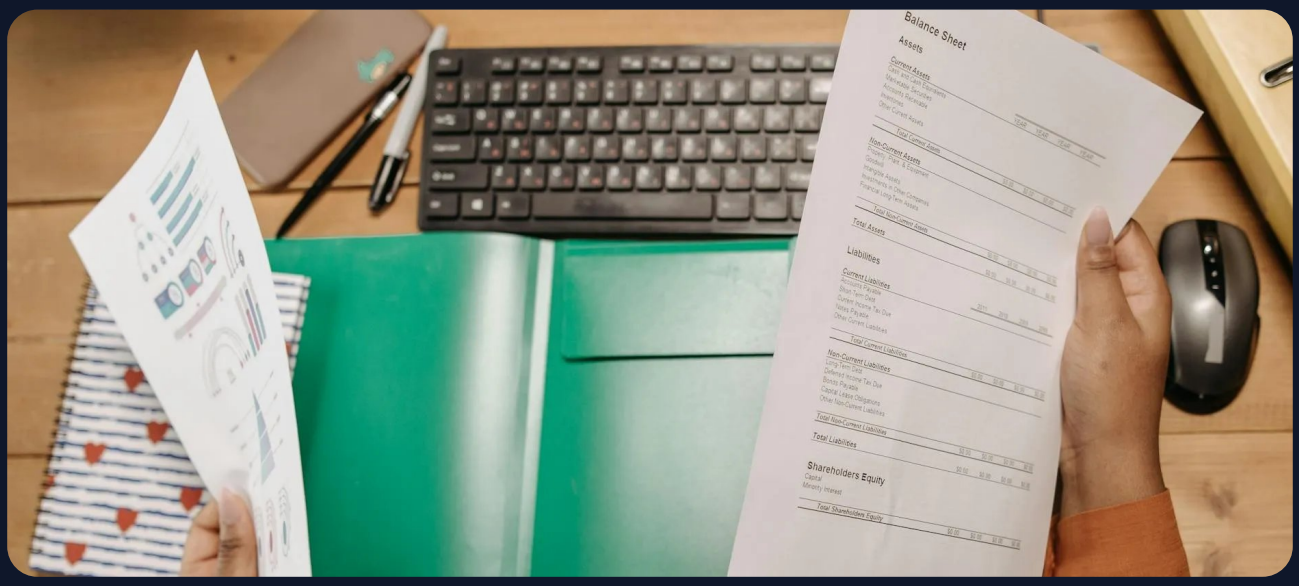
RISK ASSESSMENT WIZARD



AUDITING SERVICES

Safety Guide

Financial Services

4	16	3
Key Benefits	Control Measures	Checklist Items

KEY BENEFITS

Confidence

Increases confidence in financial statements and processes.

Improvement

Identifies areas for improvement and operational efficiency.

Compliance

Ensures compliance with accounting standards and laws.

Trust

Enhances transparency and trust with stakeholders.

KEY HAZARDS & CONTROL MEASURES

Fraudulent Financial Reporting

- ✔ Professional skepticism training
- ✔ Fraud risk assessment procedures
- ✔ Substantive testing procedures
- ✔ Management inquiry protocols

Conflict of Interest

- ✔ Independence policies
- ✔ Conflict disclosure requirements
- ✔ Rotation policies
- ✔ Ethics training

Inadequate Audit Evidence

- ✔ Documentation standards
- ✔ Evidence quality reviews
- ✔ Sampling methodologies
- ✔ Work paper reviews

Cybersecurity Threats

- ✔ Secure data transmission
- ✔ Access control protocols
- ✔ Encryption standards
- ✔ Security awareness training

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