Operational Audit of the Partner Validation Service ´26-28 Q and A

Question 1:

Could you please clarify whether the approximately 750–800 requests in each annual audit population can be considered homogeneous in terms of the request type(s), underlying process, applicable validation requirements and associated risks and controls? If not, could you please indicate which attributes recorded in PIO can be used to group or stratify the population into distinct sub-populations, and, if available, what is their approximate distribution?

Answer:

The requests in the audit population comprise 5 validation types, ranging from a simplified to a more complex check. The underlying process and requirements follow the same structure for all validation requests. Differences depend on the type and quantity of documents checked and how they are recorded in the system. All requests are processed via PIO Tool, so the information to stratify the requests is available there. Unfortunately, we cannot share detailed information on its distribution for confidentiality reasons.

Question 2:

Does the population include all cases handled during the relevant audit period, including cases initiated before the period, pending or non-responsive cases, and cases not completed by the end of the period, or only cases completed within the audit period?

Answer:

The audit population includes all requests received and finalised within the audit period, including those categorised as non-responsive. The audit excludes ongoing requests.

Question 3:

Answer:

Question 4:

Answer: