

PSIAS Conformance Action Plan 2015

Ref	Conformance with the Standard	Yes	Partial	No	Evidence
	Do internal auditors have regard to the on Standards of Public Life's <i>Seven Principles of Public Life</i> ?	Y			In annual governance review all staff confirmed. Action: to add reference to standards in annual declaration
	e) Board approves decisions relating to the appointment and removal of the CAE			Y	This is the decision of the Executive Director (S151) and would be reported to CEO and Audit Committee. No planned changes to this. In action plan for information only
	Does the chief executive or equivalent undertake, countersign, contribute feedback to or review the performance appraisal of the CAE?		Y		This process is undertaken by the Executive Director (S151). In forming a review EMT, HoS and partners have an opportunity to comment. Dorset partners have been given the opportunity and provided verbal updates. Not formally undertaken by the CEO however.
	Is feedback sought from the chair of the audit committee for the CAE's performance appraisal?		Y		Not formally undertaken, but concerns of the Audit Committee could be reported to CEO and Executive

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					Director (S151).
LGAN	Have internal auditors complied with the Bribery Act 2010?	Y			As per council policy and declarations. Action: ensure staff undertake new on line training.
	Do internal auditors have sufficient knowledge to evaluate the risk of fraud and anti-fraud arrangements in the organisation?		Y		Will be led by NFDC Senior Auditor - qualified NVQ Investigators Practice. Action: Training schedule to be extended following the self assessment against the code.
	Do internal auditors have sufficient knowledge of key information technology risks and controls?	Y			IT Auditor now in place, however opportunity to further improve team learning as technology changes at a fast pace.
3.4	1300 Quality Assurance and Improvement Programme				
	Has the CAE developed a Quality Assurance and Improvement Programme (QAIP) that covers all aspects of the internal audit activity and enables conformance with all aspects of the PSIAS to be evaluated?	Y			However additions could be made by Audit Committee
	<i>1310 Requirements of the Quality Assurance and Improvement Programme</i>				
	Does the QAIP include both internal and external assessments?		Y		Doesn't contain final decision on external assessment yet. This is an

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					action. Due within 4 years. Looking to have a review first, then have formal assessment completed. Looking to find consortium of similar bodies who are independent. If not got contacts of independents
	In developing the risk-based plan, has the CAE taken into account the organisation's risk management framework and relative risk maturity of the organisation?	Y			Used strategic risk register, however improvement can be made to formally demonstrate the risk maturity level
	<i>2040 Policies and Procedures</i>				
	Has the CAE developed and put into place policies and procedures to guide the internal audit activity?	Y			Manual – although needs updating to take into account the improvements identified from this review
LGAN	Has the CAE established policies and procedures to guide staff in performing their duties in a manner than conforms to the PSIAS? Examples include maintaining an audit manual and/or using electronic management systems.		Y		Opportunity to improve as above
LGAN	Are the policies and procedures regularly reviewed and updated to reflect changes in working practices and standards?		Y		Needs to be done more regularly
	Has the internal audit activity evaluated the:				

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	a) design b) implementation, and c) effectiveness of the organisation's ethics-related objectives, programmes and activities?		Y		Need to undertake further reviews in this area

Progress will be reported back to Audit Committee by January 2016.