

Wokingham BC
Public Sector Internal Audit Standards Self Assessment

2014-15 Action Plan

Action number	Ref.	Action Required	Responsible Officer	Target Date
1	2.4	The internal audit team to maintain CPD schemes for individuals, to improve their proficiency, effectiveness and quality of service.	Team Manager, Internal Audit (Shared Service)	Dec 2015
2	3.3	The Audit Charter (updated/consolidated for the Shared Service) to include arrangements for avoiding conflicts of interest if internal audit undertakes non-audit activities	Team Manager, Internal Audit (Shared Service)	Sept 2015
3	3.4	The Audit Charter (updated/consolidated) and Audit Protocol to be formally approved and adopted for the Shared Service (drafts in place as at April 2015).	Team Manager and Service Manager (Shared Service)	Sept 2015
4	5.7	Feedback to be sought from the Chair of the Audit Committee when the appraisal takes place for the Service Manager, Shared Audit & Investigation Service.	Service Manager, Shared Service	Dec 2015
5	8.4	The Service Manager/Team Manager Shared Audit & Investigation Service to rotate audits where possible, as set out in the Audit Protocol.	Team Manager and Service Manager (Shared Service)	July 2015
6	8.6	The approved Audit Protocol for the Shared Service to set out guidelines for gifts and hospitality in line with Corporate Governance policies. See Action Point 3 above.	Team Manager, Internal Audit (Shared Service)	Sept 2015
7	8.11	The Audit Committee Terms of Reference to include responsibilities to approve any significant additional consulting services engaged during the year.	Service Manager, Shared Service	Dec 2015
8	11.2	The Service Manager/Team Manager to put in place a mechanism to carry out periodic assessments for individual auditors against defined skills and competencies as part of the annual appraisal process.	Team Manager and Service Manager (Shared Service)	Dec 2015
9	11.4	Professional Development logs to be maintained by individual auditors. See Action Point 1 above.	Team Manager, Internal Audit (Shared Service)	Dec 2015
10	12.1	A Quality Assurance Improvement Programme (QAIP) to be implemented for the Shared Service.	Service Manager, Shared Service	Dec 2015

11	14.7	Agree a nominated officer to undertake a self assessment for the Shared Audit & Investigation Service (anticipate Monitoring Officer at WBC).	Team Manager, Internal Audit (Shared Service)	Sept 2015
12	15.3	The Service Manager/Team Manager (Shared Audit & Investigation Service) to agree with the Audit Committee the proposed form of the PSIAS external assessment.	Team Manager and Service Manager (Shared Service)	Sept 2015
13	16.1	The Service Manager/Team Manager to report the results of the QAIP to the Audit Committee.	Team Manager and Service Manager (Shared Service)	March 2016
14	9.8; 20.14 b) and 28.4	The IT Audit Needs Assessment to be completed and updated in the Audit Plan and suitably skilled resources allocated to these engagements.	Team Manager and Service Manager (Shared Service)	Sept 2015
15	39.5	The updated Archiving Policy for the Shared Service to be approved and adopted.	Team Manager, Internal Audit (Shared Service)	Dec 2015
16	40.2	Audit engagement supervision to be recorded for the Shared Service where applicable.	Team Manager, Internal Audit (Shared Service)	Dec 2015
17	45.1	Auditors to report that engagements are "conducted in conformance with the PSIAS" when they comply/are applicable.	Team Manager, Internal Audit (Shared Service)	Sept 2015