



Internal audit progress report

Purpose of report

The aim of this paper is to brief the Committee on the completion of the 2016/17 internal audit plan and progress on the 2017/18 internal audit plan.

Recommendation

The Committee is asked to note the completion of the 2016/17 internal audit plan and progress on the 2017/18 internal audit plan.

Report Detail

	Audit	Indicative Scope	Target Audit Committee	Planning commenced	Work progress in	Draft Issued	Completed	Grade
PK01-17	Audit Planning	Agreeing audit universe and preparation of strategic plan		✓	✓	✓	✓	N/A
PK02-17	Audit Management	Liaison with managers and Directors and attendance at Audit Committee		✓	✓	✓	✓	N/A
PK03-17	Annual Internal Audit Report	CIA's annual assurance statement to the IJB and review of governance self-assessment		✓	✓	✓	✓	N/A
PK04-17	Governance Assurance	Ongoing support and advice on further development of governance and assurance structures, including issues identified as part of the annual report process		✓	✓	✓	✓	N/A
PK05-17	Due Diligence	Review/Validation of IJB post-implementation review		No longer relevant- no added value				
PK06-17	Delayed Discharges	Review of arrangements within the Partnership to plan, support and deliver an improvement in the level of hospital and community delays. To be undertaken in parallel with the NHS Tayside Internal Audit review of Delayed Discharge.		✓	✓	✓	✓	B-
PK07-17	Clinical & Care Governance	Management Consultancy Support to develop robust accountability, reporting and scrutiny routes across the Partnership and with NHS Tayside in respect of Clinical Care and Professional Governance		✓	✓	✓		B

PK01-18	Audit Planning	Agreeing audit universe and preparation of strategic plan	Aug-17	✓	✓	✓	✓	N/A
PK02-18	Audit Management	Liaison with managers and Directors and attendance at Audit Committee	Ongoing	ongoing				
PK03-18	Annual Internal Audit Report	CIA's annual assurance statement to the IJB and review of governance self-assessment	Jun-18	✓	✓	✓	✓	N/A
PK04-18	Risk Management	Review of systems of risk management, assessment of risk maturity and consideration of assurance mechanisms for key controls	Dec-17	✓	✓			
PK05-18	Strategic Planning	Review of production and update of the Strategic Plan, development of local delivery plans including stakeholder engagement and partnership working.	Mar-18	✓				
PK06-18	Corporate Support & Capacity Review	The scope of this audit is to review the proposed process for updating support arrangements and to ensure that any attendant risks are fully reflected within the IJB Risk register as necessary. A more detailed scope which may include aspects such as organisational and management structures, including for hosted services, will be discussed in detail and agreed with management	Sep-17	✓				

Conclusion

All reports from the 2016/17 plan have now been issued in final- see separate agenda item. Work on the completion of the 2017/18 plan is continuing and progress is as expected.