



AUDIT AND PERFORMANCE COMMITTEE

20 September 2018

Internal Audit Progress Report Report by Chief Internal Auditor (Report No. G/18/124)

Purpose of report

The aim of this paper is to brief the Committee on progress of the internal audit plan

Recommendation

The Committee is asked to note updates to the 2017/18 Internal Audit Plan as well as commencement of delivery of the 2018/19 plan as outlined below.

Report Detail

2017/18								
	Audit	Indicative Scope	Target Committee	Planning commenced	Work in progress	Draft Issued	Completed	Grade
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 & Performance Committee	Ongoing	Complete				N/A
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	✓	✓	Delayed at the request of P&K IJB to allow input into planned Risk Management Developments. To be carried forward into 2018/19.		

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	✓	Agreed to combine these reviews and postpone work following successful recruitment to a relevant strategic lead post. To be carried forward into 2018/19.
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	✓	

2018/19								
PK01-19	Audit Planning	Agreeing audit universe and preparation of strategic plan	Sep-18	✓	✓	✓	✓	N/A
PK02-19	Audit Management	Liaison with managers and Directors and attendance at Audit & Performance Committee	Ongoing	ongoing				
PK03-19	Annual Internal Audit Report	CIA's annual assurance statement to the IJB, review of governance self-assessment and follow-up of previous Internal Audit recommendations	Jun-18	✓	✓	✓	✓	N/A
PK04-19	PK07-17 follow-up	Follow-up of Internal Audit Report PK07-17 which highlighted a number of areas relating to Clinical and Care Governance, including those in relation to hosted services, to ensure actions have been implemented and to take into account events subsequent to the issue of that report.	Feb-19					
PK05-19	Performance management	Accurate, relevant and reliable reporting against strategic plan objectives and core integration indicators. Compliance with DL 2016 (05) - Guidance for Health and Social Care Integration Partnership Performance Reports	Feb-19					

PK06-19	Governance & Assurance	Ongoing support and advice on further development of governance and assurance structures, including issues identified as part of the annual report process and operation of the Audit & Performance Committee	Ongoing					
PK07-19	Information Governance	Extension of testing within parent bodies' IA plans to ensure assurance systems adequately cover IJB Information Governance and GDPR.	Feb-19					

Author(s)

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