

PSIAS Action Plan

Report Author: Angela Struthers
Generated on: 11 May 2015





| Code | Risk | Observation | Recommended Action | Priority | Note | Status Icon | Assigned To | Implementation Date |
|---------|---------------------------------------|------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|----------|---------------------------------------------------------------------------------------------------------------------------|-------------|------------------|---------------------|
| PSIAS1 | Definition of Internal Auditing | Definition of Internal Auditing is as PSIAS | All reference documents updated with new definition as per PSIAS | 1 | Intranet, financial guidance and IA manual updated with the new definition of internal audit | ✓ | Angela Struthers | 31-Mar-2014 |
| PSIAS10 | Improvements | Capture of improvement actions completed | Capture improvements | 1 | To be captured on this plan | ✓ | Angela Struthers | 31-Mar-2014 |
| PSIAS10 | Statement on compliance with standard | Ability to state that Internal Audit comply with the PSIAS | Ability to state that Internal Audit comply with the PSIAS at year end reporting and on each audit report | 1 | Completed To be completed at year end for year end reporting. To be included within audit reports once fully compliant | ✓ | Angela Struthers | 31-Mar-2014 |
| PSIAS11 | Annual internal audit opinion | Annual audit opinion to be given | The annual audit opinion should be completed in compliance with the standard | 1 | Completed To be completed at year end | ✓ | Angela Struthers | 31-Mar-2014 |
| PSIAS2 | PSIAS training plan | Develop training plan for staff to ensure compliance with | Training plan to be developed | 1 | All PDR's completed and training plan developed | ✓ | Angela Struthers | 31-Oct-2013 |


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|--|--|-------|--|--|-------------------------------------------------------------------------------------------------------------------------------------|--|--|--|
| | | PSIAS | | | PDR completed for Head of Internal Audit Service and Principal Auditor | | | |
| | | | | | PDR's delayed. to be completed May 2014 | | | |
| | | | | | IIA competency framework used as basis for training plan. Staff to self assess against the framework for PDR. PDR set for 28 Nov 13 | | | |


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| PSIAS3 | PSIAS training plan | Completion of training plan | Training to be completed | 1 | Angela Struthers - 26 February 2015 IIA Hot Topics |  | Angela Struthers | 31-Dec-2013 |
| | | | | | Kerry Beavis & Zara Steward - 26 February 2015 ACCA update | | | |
| | | | | | Kerry Beavis & Zara Steward - Midlands Fraud Forum 19 February 2015 | | | |
| | | | | | Angela Struthers & Kerry Beavis RIPA Refresher training 14 January 2015 | | | |
| | | | | | Kerry Beavis - Covalent Train the Trainer 18 November 2014 | | | |
| | | | | | Kerry Beavis - NAFN event 12 November 2014 | | | |
| | | | | | Kerry Beavis & Zara Steward - ACCA Tax update 7 October 2014 | | | |
| | | | | | Angela Struthers & Kerry Beavis - Covalent user group and roadshow 12 August 2014 | | | |
| | | | | | Kerry Beavis - ACCA Financial crime 2 hours 11 June 2014 | | | |
| | | | | | Kerry Beavis & Zara Steward - Major contract risks - 2 hours 16 September 2014 | | | |
| | | | | | Kerry Beavis - CIPFA Procurement 1 day 17 September 2014 | | | |
| | | | | | Angela Struthers & Kerry Beavis - Prince 2 foundation 3 days 21 - 23 July 2014 | | | |
| Kerry Beavis & Zara Steward Counter fraud/private prosecutions - Midlands | | | | | | | | |


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|--|--|--|--|--|-----------------------------------------------------------------------------|--|--|--|
| | | | | | Fraud Forum Masterclass 1/2 day 24/6/14 | | | |
| | | | | | 12/6/14 Angela Struthers Bid writing 1 day | | | |
| | | | | | 19/5/14 Angela Struthers Quality Assuring the Internal Audit Function 1 day | | | |
| | | | | | 1/5/14 Zara Steward Local Government Tax Forum 1/2 day | | | |


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| PSIAS4 | Internal Audit Manual | Review and update internal audit manual | up to date internal audit manual which reflects PSIAS | 1 | Procedure notes updated Manual updated . Procedure notes to be reviewed to take into account changes in Covalent |  | Angela Struthers | 31-Jan-2014 |






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| PSIAS5 | External assessment | Frequency of external assessment | Frequency of external assessment to be determined by the Audit & Governance Committee | 1 | Options being investigated by the Staffordshire Chief Auditors Group |  | Angela Struthers | 31-Mar-2016 |

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| PSIAS6 | ISO Quality Standard | Assessment against the ISO Quality Standard | Conformance with the ISO Quality Standard | 1 | Initial review shows conformance. Felt that no further requirement to pursue |  | Angela Struthers | 31-Jan-2014 |

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| PSIAS7 | QAIP | Quality Assurance & Improvement Programme | QAIP to be reported to the Audit & Governance Committee | 1 | Completed To be completed at year end |  | Angela Struthers | 31-Mar-2014 |

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| PSIAS8 | Conformance with the IPPF | Conformance with the IPPF | The wording that is used to report conformance with the IPPF is consistent with the results of the quality | 1 | Completed To be completed at year end |  | Angela Struthers | 31-Mar-2014 |

| | | | assessment. | | | | | |
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| Code | Risk | Observation | Recommended Action | Priority | Note | Status Icon | Assigned To | Implementation Date |
| PSIAS9 | Assurance Mapping | Assurance mapping | Identify other areas of assurance and map them using the Covalent Audit Hub | 1 | Completed as part of the Annual Governance Statement Assurance form others identified through Managers Assurance Statements and Covalent updated. Other assurance sources need to be identified |  | Angela Struthers | 30-Nov-2013 |

| Action Status | |
|-----------------------------------------------------------------------------------|------------------------------------|
|  | Cancelled |
|  | Overdue; Neglected |
|  | Unassigned; Check Progress |
|  | Not Started; In Progress; Assigned |
|  | Completed |