

**Internal Audit – Self Assessment Against  
Code of Audit Practice Checklist 2011/2012**

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1.	Internal Audit Terms of Reference – Updated January 2012
2.	Report to Audit and Risk Committee 30 January 2012 Approving updated Terms of Reference and Internal Audit Strategy
3.	Audit Strategy 2012 – 2015 approved by Audit and Risk Committee 30 January 2012
4.	Risk Assessment Methodology used for Audit Plan
5.	Financial Regulations-Updated February 2010
6.	Anti Fraud and Anti Corruption Framework - April 2012
7.	Fraud Response Plan – April 2012
8.	Internal Audit Structure (within Resources & Support Services)
9.	Copy of Statement of Independence and Confidentiality
10.	Terms of Reference for – Audit and Risk Committee
11.	Quarterly Report to Audit and Risk Committee for 1 April 2011 to 30 June 2011 (minutes and agenda- 26 September 2011)
12.	Report to the Audit and Risk Committee 30 January 2012 approving Audit Plan for 2012/13
13.	Internal Audit Annual Report 2010/11
14.	Audit Commission Audit Opinion Plan (External Audit - Protocol for working with Internal Audit)
15.	Annual Audit & Inspection letter-March 2011
16.	Job Description - Audit Manager/Audit Technician/Trainee Audit Technician
17.	Person Specifications- Audit Manager/Audit Technician/Trainee Audit Technician
18.	Employee Appraisal Scheme including Learning and Development Plan
19.	Corporate Training Policy Corporate Training Scheme 2011/12
20.	Individual Training Log (inc 2011/12)
21.	Consultation with ED's re 2011/12
22.	Monthly Assurance Statements sent to Directors-March 2012
23.	Internal Audit-Audit Brief
24.	Audit Review and Checklist Audit Testing Control Sheet
25.	Retention of Records Document
26.	Employees Handbook
27.	Employees Code of Conduct
28.	Whistle Blowing Policy-April 12
29.	Combined Audit Satisfaction Scores (Qtr 1-4 2011/12)
30.	Internal Audit Annual Client Satisfaction Survey
31.	Performance Indicator's for Quarters 1-4 2011/12
32.	Internal Audit Protocol Document 2012