

**Internal Audit – Self Assessment against
Code of Audit Practice Checklist 2012/2013****Contents Page**

1.	Internal Audit Terms of Reference – Updated February 2013
2.	Report to Audit and Risk Committee 18 February 2013 Approving updated Terms of Reference and Internal Audit Strategy
3.	Audit Strategy 2013 – 2016 approved by Audit and Risk Committee 18 February 2013
4.	Risk Assessment Methodology used for Audit Plan
5.	Financial Regulations-Updated July 2012
6.	Anti Fraud and Anti Corruption Framework - April 2013
7.	Fraud Response Plan – April 2013
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 2012 to 30 June 2012 (minutes and agenda- 26 September 2012)
12.	Report to the Audit and Risk Committee 18 February 2013 approving Audit Plan for 2013/14
13.	Internal Audit Annual Report 2011/12
14.	Audit Commission Audit Opinion Plan (External Audit - Protocol for working with Internal Audit) (relevant for part year until Nov 12)
15.	Annual Audit & Inspection letter-March 2012
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.	Individual Training Log (inc 2012/13)
20.	Consultation with ED's re 2012/13
21.	Monthly Assurance Statements sent to Directors-March 2013
22.	Internal Audit-Audit Brief
23.	Audit Review and Checklist Audit Testing Control Sheet
24.	Retention of Records Document
25.	Employees Handbook
26.	Employees Code of Conduct
27.	Whistle Blowing Policy-April 13
28.	Combined Audit Satisfaction Scores (Qtr 1-4 2012/13)
29.	Internal Audit Annual Client Satisfaction Survey
30.	Performance Indicator's for Quarters 1-4 2012/13
31.	Internal Audit Protocol Document 2013