

## Quality Assurance and Improvement Programme 2019/20: Self-assessment

Key	
<ul style="list-style-type: none"> <li>Generally effective OR</li> <li>Internal Audit good practice OR</li> <li>Generally conforms with the International Standards for the Professional Practice of Internal Auditing</li> </ul>	
<ul style="list-style-type: none"> <li>Opportunity for improvement OR</li> <li>Partially conforms with the International Standards for the Professional Practice of Internal Auditing</li> </ul>	
<ul style="list-style-type: none"> <li>Not effective OR</li> <li>Does not confirm with International Standards for the Professional Practice of Internal Auditing</li> </ul>	

No.	Standard	Frequency	Timing	Result	Reviewed by	Sign-off by	Comment
<b>1</b>	<b>Quality Assurance and Improvement Plan (QAIP)</b>						
1.1	QAIP maintained for Internal Audit	Annual review	30 June		Head of Internal Audit, Risk and Insurance	Head of Internal Audit, Risk and Insurance	Yes as identified in last self-assessment.
1.2	QAIP aligns with IIA standards	Annual review	30 June		Head of Internal Audit, Risk and Insurance	Head of Internal Audit, Risk and Insurance	Checks undertaken to standard 1300. Full compliance.
1.3	QAIP comprises: Internal assessments – ongoing Internal assessments – periodic External assessments – 5 yearly	Annual review	30 June		Head of Internal Audit, Risk and Insurance	Head of Internal Audit, Risk and Insurance	Self-assessments undertaken yearly. External Assessment undertaken June 17
<b>2</b>	<b>Internal Assessments – Ongoing</b>						
2.1	Management supervision of all engagements	Ongoing	During and after each audit		Audit Manager	Head of Internal Audit, Risk and Insurance	All ToR, CES and draft/final reports are reviewed by the Audit Manager
2.2	Professional peer reviews of a sample of engagements	Ongoing	After each audit		Audit Manager	Head of Internal Audit, Risk and Insurance	These are undertaken on school audits
2.3	Regular, structured and documented reviews of working papers and draft reports	Ongoing	After each audit		Audit Manager	Head of Internal Audit, Risk and Insurance	CES with its working papers are reviewed by the Audit Manager
2.4	Audit Policies and Procedures used for each engagement	Ongoing	During and after each audit		Audit Manager	Head of Internal Audit, Risk and Insurance	Procedures as set out in the Audit Manual are complied with
2.5	Customer satisfaction surveys	Ongoing	After each audit		Audit Manager	Head of Internal Audit, Risk and	Framework is in place for issue of customer

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4.1	An independent External Quality Assessment of Internal Audit performed at least once every 5 years by an independent assessment team from outside the organisation	5-yearly	Undertaken in August 2017		Head of Internal Audit, Risk and Insurance	Head of Internal Audit, Risk and Insurance	External assessment confirmed as fully compliant.
<b>5</b>	<b>Reporting on the QAIP</b>						
5.1	Results of QAIP reported to Audit Committee and Senior Management	Annual	Reported to Audit Committee on 18 <sup>th</sup> March 2020		Head of Internal Audit, Risk and Insurance	Head of Internal Audit, Risk and Insurance	