

**Appendix 4 Summary Assessment of Compliance with  
UK Public Sector Internal Audit Standards 2016/17**

Ref	Standard	Yes	Partial	No	N/A
<b>Ref</b>	<b>Definition of Internal Auditing</b>	√			
<b>Ref</b>	<b>Code of Ethics</b>				
1	Integrity	√			
2	Objectivity	√			
3	Confidentiality	√			
4	Competence	√			
<b>Ref</b>	<b>Attribute Standards</b>				
1000	<b>Purpose, Authority and Responsibility</b>	√			
1010	Recognition of the Definition of Internal Auditing, the Code of Ethics, and the Standards in the Internal Audit Charter	√			
1100	<b>Independence and Objectivity</b>	√			
1110	Organisational Independence		√		
1111	Direct Interaction with the Board	√			
1120	Individual Objectivity	√			
1130	Impairments to Independence or Objectivity	√			
1200	<b>Proficiency and Due Professional Care</b>				
1210	Proficiency	√			
1220	Due Professional Care	√			
1230	Continuing Professional Development		√		
1300	<b>Quality Assurance and Improvement Programme</b>		√		
1310	Requirements of the Quality Assurance and Improvement Programme	√			
1311	Internal Assessments		√		
1312	External Assessments				√
1320	Reporting on the Quality Assurance and Improvement Programme	√			

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Ref	Standard	Yes	Partial	No	N/A
1321	Use of Conforms with the International Standards for the Professional Practice of Internal Auditing	√			
1322	Disclosure of Non-conformance	√			
<b>Ref</b>	<b>Performance Standards</b>				
<b>2000</b>	<b>Managing the Internal Audit Activity</b>	√			
2010	Planning	√			
2020	Communication and Approval	√			
2030	Resource Management	√			
2040	Policies and Procedures		√		
2050	Coordination	√			
2060	Reporting to Senior Management and the Board	√			
2070	External Service Provider and Organisational Responsibility for Internal Audit	√			
<b>2100</b>	<b>Nature of Work</b>	√			
2110	Governance	√			
2120	Risk Management	√			
2130	Control	√			
<b>2200</b>	<b>Engagement Planning</b>	√			
2201	Planning Considerations	√			
2210	Engagement Objectives	√			
2220	Engagement Scope	√			
2230	Engagement Resource Allocation	√			
2240	Engagement Work Programme	√			
<b>2300</b>	<b>Performing the Engagement</b>	√			
2310	Identifying Information	√			
2320	Analysis and Evaluation	√			
2330	Documenting Information		√		

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2340	Engagement Supervision	√			
<b>2400</b>	<b>Communicating Results</b>	√			
2410	Criteria for Communicating	√			
2420	Quality of Communications		√		
2421	Errors and Omissions	√			
2430	Use of 'conducted in conformance with the International Standards for the Professional Practice of Internal Auditing'	√			
2431	Engagement Disclosure of Non-conformance	√			
2440	Disseminating Results	√			
2450	Overall Opinions	√			
<b>2500</b>	<b>Monitoring Progress</b>	√			
<b>2600</b>	<b>Resolution of Senior Management s Acceptance of Risks</b>	√			