



Government
Internal Audit
Agency

Government Internal Audit Agency

Corporate Plan 2018-19

a single audit practice



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Foreword

This is our fourth corporate plan since the launch of the Government Internal Audit Agency (GIAA) in April 2015. Back then, we brought together 6 internal audit teams. Now we represent three quarters of all government internal auditors and provide services to 14 departments and 120 associated bodies. The Agency is coming of age and our vision of a single audit practice is becoming a reality. We now have a single audit methodology and a single IT platform for all our auditors. We are better placed than ever before to provide the cross-government insights that our customers want.

We also have a talented cadre of trainees, gaining qualifications and experience to position us to respond to future customer needs. We have started to develop our specialist services to focus on key areas that matter to our customers.

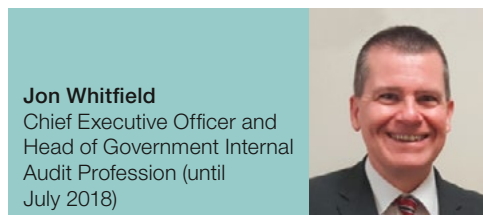
We leave the Agency in excellent hands with Steve Burnett as Chair and a new chief executive who, as a director general, will be well positioned to raise internal audit's profile and participate in the strategic discussions around government.

We have enjoyed our roles as Chief Executive and Chair of the Agency, and wish our successors – and of course our colleagues in GIAA – well for the future.

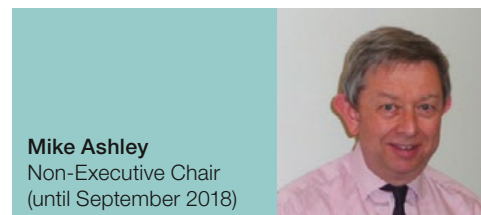
This plan is ambitious in its scope, and puts our customers and our people front and centre in our plans for the next phase of GIAA's development. I am delighted to be taking the baton from Mike to work closely with our new chief executive and build on the foundations that have been established under Mike's board leadership. We have much to do over the coming years, and this plan lays important groundwork for our longer-term strategy. Gaining our people's enthusiastic support for this plan is essential for its successful delivery, and our senior team is already fully engaged in this.



Steve Burnett
Non-Executive Chair
(from October 2018)



Jon Whitfield
Chief Executive Officer and
Head of Government Internal
Audit Profession (until
July 2018)



Mike Ashley
Non-Executive Chair
(until September 2018)

Who we are

We are an executive agency of Her Majesty's Treasury (HM Treasury), established in April 2015 to improve the quality of internal audit provided to central government.

Most of the Agency's people are professionally qualified internal auditors and accountants, as well as specialists in areas including counter fraud and investigation, project management, digital, and commercial. We also lead the government internal audit profession and function.

Our workforce brings with it a unique depth of experience gained in a wide range of government departments and related bodies. This enables us to offer a high-quality service based on cross-government insight and a strong understanding of our customers' business.

We want to make GIAA a great place to work and ensure that we have the capability and capacity to make a significant contribution to the Civil Service over the coming years.

As we mature as an organisation, our shared expertise, skills and technology will enable us to become a single audit practice for the whole of central government.



75%

Government internal auditors are employed by the Agency



14

Main government departments are customers



120

Associated government bodies are customers



475

People are employed by the Agency



64

Locations across Great Britain



6

Specialist services

Building a single culture

Engaging our people in the journey to a single audit practice is a huge challenge, especially as we are spread out over many locations. We're taking an innovative approach to managing a culture change of such magnitude.

Our change project and communications teams have collaborated with our organisational psychologist, Ross McIntosh, to introduce topics including mindfulness and developing a growth mindset as tools for helping us manage change. Based on behavioural science, we've developed webinars to enable our people to build new skills which support change and improve resilience. Our new on-line learning portal also incorporates videos covering psychological safety and personal values.

Earlier this year Ross delivered face-to-face sessions for our people at a series of networking events in 7 locations across the country. The feedback from those events clearly showed that our people benefitted from Ross's work, and there was a strong appetite for more. We're now regularly using webinars to deliver workshops on culture change and related topics.



Our vision

Our vision is to be a flexible and responsive internal audit service with a reputation among top management within government as:

- Making a real difference;
- Providing excellent value for money; and
- Being a great place to work.

Our values

We are guided by our 5 Agency values which we agreed in consultation with our people. Our core value of trust anchors our other 4 values of customer focus, professionalism, continuing development, and respect.

Our vision and values complement and help to build the wider vision for a brilliant Civil Service.





Our services

We help our customers improve how they deliver public services and provide value for money for the taxpayer.

We look at the bigger picture, considering the wider government context, as well as looking at an organisation’s specific risks and management challenges.

We are primarily funded by fees charged to our customers. We want to give our customers excellent value for money, and we’re focused on making the most effective and efficient use of the time our people spend on customer-facing activities.

We’re also working to reduce our reliance on commercial partners for generalist support. If our customers require specialist services that our people cannot provide, we have ready access, through our framework contract, to the best skills in the private sector at competitive rates.

We follow and are subject to Public Sector Internal Audit Standards (PSIAS).

The services we offer can be grouped into five broad categories:

Assurance services

We provide an independent and objective evaluation of management activities. This enables us to give an evidence-based, professional opinion on an organisation’s effectiveness in relation to governance, risk management and controls. Our work is often referred to as third line assurance, with operational management providing the first line of assurance and internal governance (including subject matter experts) providing the second line.



Advisory services

Our advisory work supports the design of enhanced governance, risk management and control activities. The scope of our reviews is wide-ranging, from advice on business process re-engineering to support on delivering successful projects and programmes.



Counter fraud and investigation services

Our award-winning team provides advice and support to customers on counter fraud strategies, fraud risk assessments, and measures to prevent, deter and detect fraud. Where commissioned, our professionally trained staff investigate suspicions of internal or supplier fraud or malpractice.



Government internal audit policy and profession

Overall responsibility for internal audit policy in government rests with HM Treasury. We maintain a small team, funded by HM Treasury, to deliver this role on its behalf and lead the profession.



EU Audit Authority

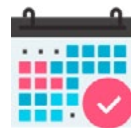
The Agency is the audit authority for several European Union (EU) structural fund schemes, such as the European Regional Development Fund and the European Social Fund. These functions will cease after the UK leaves the EU, although the timing of this will not be known until the UK completes its exit negotiations with the EU. We will work with our customers to wind up the structural fund schemes in the UK.



Key achievements 2017-18



1500 Audits completed



100% On time delivery of annual assurance package of the 2014-20 suite of European programmes



Up 4% points Customer satisfaction increased from 76% to 80%



1st Annual planning event using our new single audit methodology across all our audit customers



12 New government bodies using our service



6 People or teams received awards from government and professional bodies



4 Bulletins published for our customers on cross-government trends and issues



81 People studying towards a professional qualification, up from 56 last year



221 Investigations concluded by our counter fraud and investigation team



20 Graduate trainee auditors accepted into our training scheme, bringing the total on the scheme to 39



9 Criminal convictions



Up 7% points Policy and profession stakeholder satisfaction up from 80% to 87%



£776k Fraud detected



8 Countries collaborated with us to share good practice and learn from our experiences



£160m Projected savings for Student Loans Company by working with operations in relation to student support payments

More details on our performance in 2017-18 can be found in our Annual Report and Accounts 2017-18, available on our website www.gov.uk/gjaa from July 2018.



How we fit into the bigger picture

As the government's primary provider of internal audit services, we lead the government internal audit profession and function. We also support finance professionals across government in their role as stewards of public money.

- The **government internal audit profession** refers to everyone who works in central government who maintains an internal audit qualification, even if they do not work in internal audit. We work closely with the heads of internal audit for the devolved administrations to lead the profession across the whole UK and jointly maintain PSIAS and other standards.
- The **government internal audit function** refers to everyone who works in internal audit in central government, including those without audit qualifications. We also form part of the wider government finance function to support increased opportunities for sharing skills and facilitating secondments.
- The **Government Internal Audit Agency** refers to all our colleagues directly employed by GIAA.

We already collaborate with experts from some of the core government functions, including commercial, digital, data and technology, and project delivery. This helps us align our internal audit coverage with their priorities and risks. Over the coming year, we will strengthen and extend our relationships with the core government functions and functional leads.

We also collaborate with other assurers, including the Infrastructure and Projects Authority (IPA) and the National Audit Office (NAO), together with independent monitoring bodies, inspectorates and regulatory authorities. These helps us provide a comprehensive assurance picture for our customers.

We contribute directly to the objectives of our sponsor, HM Treasury, and the aims of its [Single Departmental Plan](#), particularly its objective to control public spending.

The Agency's role in the UK's exit from the European Union

Through our work, we support customers as they adjust their policy objectives and structures to deliver the government's agenda for the UK's exit from the EU.

We work collaboratively across the profession and with other assurance providers to share insight and best practice to assist government in making the most of the opportunities arising from Brexit.

We also provide the internal audit service to the Department for Exiting the European Union (DExEU).



Our priorities for 2018-19

We are proud of what we have achieved since the Agency was established 3 years ago, but we are still on a journey. We recognise that we need to do more, and at greater pace, to deliver our vision.

While this plan focuses on the next 12 months, it also lays important groundwork for the Agency's longer-term strategy and sets a clear direction of travel.

Building on our work last year, we are focusing on 5 key priorities in 2018-19.

These priorities have been shaped by feedback from our customers and our people, including the 2017 People Survey.

In this section, we provide a summary of our milestones and performance measures. The following sections set out more detail on each of our priorities, including case studies of our people's successes and personal commitments from senior leaders responsible for championing our priorities and values.





Summary of our milestones

Priority 1: Putting our customers at the centre of what we do

1. Agree improved approach to customer feedback – July 2018
2. Seek customer feedback – September 2018 to March 2019
3. Launch customer and stakeholder engagement strategy – December 2018



Priority 2: Working together to provide a better service for customers

4. Complete roll-out of new audit methodology and software to audit teams – May 2018
5. Progress report on benefits realisation – September 2018
6. Upgrade software and roll out to counter fraud team – March 2019



Priority 3: Improving our specialist services to meet customer demand

7. Agree management team for each specialism – July 2018
8. Seek feedback from core functional leads – throughout 2018-19



Priority 4: Making GIAA a great place to work

9. Launch new performance management system – May 2018
10. Develop leadership programme for our senior leaders – July 2018
11. Submit initial pay strategy business case to Cabinet Office – July 2018
12. Launch diversity and inclusion action plan – September 2018
13. Coordinate resource forums – throughout 2018-19
14. Develop career development pathways – throughout 2018-19
15. Update HR policies and procedures – throughout 2018-19



Priority 5: Strengthening our foundations

16. Develop a clearer arrangement with our shared services provider – October 2018
17. Improve understanding of co-location opportunities – September 2018
18. Coordinate audit and workforce planning and budgeting – November 2018 to March 2019
19. Commence procurement activity for new commercial framework – March 2019



Summary of our performance measures

Customer satisfaction and impact

1. Achieve 70% for customer satisfaction with individual pieces of work
2. Aim that 75% of higher importance recommendations are actioned
3. Achieve 80% satisfaction in our annual policy and profession survey



Delivery and quality

4. Deliver 90% of planned audits to at least draft report stage by March 2019
5. Publish 3 bulletins on key cross-government themes
6. Publish 4 'thought leadership' publications on specialist themes
7. Organise a customer event on specialist themes in early 2019
8. Meet internal audit standards in 97% of reviews undertaken



Value for money

9. Reduce spend on general resource support from private sector by 25%



People Survey targets

10. Increase overall engagement from 49% to 54%
11. Increase score for leadership and managing change from 42% to 46%
12. Increase score for learning and development from 44% to 48%
13. Reduce bullying, harassment and discrimination to below Civil Service averages



Diversity

14. Meet HM Treasury diversity targets for Senior Civil Servants (SCS)
15. At least 20% of GIAA SCS participate in diversity shadowing scheme



Cross-agency working

16. Increase number of people involved in at least one assignment outside their immediate team – from 35% to 45%



Putting our customers at the centre of what we do

Overview

As a customer-centred organisation, we're taking a more strategic approach to the way we engage with our customers.

We've started work on our first, formal customer engagement strategy to improve:

- how we gather customer insight and share it across the Agency;
- how we use that insight to inform service delivery; and
- how we build relationships and communicate with existing and potential customers.

We'll take forward this work in the context of a broader stakeholder strategy.

We're also bringing together our auditors covering HM Treasury, Cabinet Office and DExEU into a Centre of Government Team. This reflects the nature of these departments and has been agreed in consultation with them. We plan to identify similarities in risks through combined or linked work, where appropriate. We also aim to drive cross-government assurance work, where helpful, from this new team.

Milestones



Agree formal and structured programme to gather, analyse and share customer feedback to improve service delivery – July 2018



Seek qualitative feedback on overall Agency performance from a range of customers – September 2018 to March 2019



Launch customer and stakeholder engagement strategy – December 2018

Performance measures

Customer satisfaction and impact



Achieve an average of 70% for overall customer satisfaction with our individual pieces of audit and investigation work



Aim that 75% of the higher importance recommendations we make are actioned on time by customers



Achieve an average of 80% satisfaction in our annual stakeholder survey on the quality of our internal audit policy and profession work

Delivery and quality



Deliver 90% of planned audits to at least draft report issued stage by end March 2019



Publish 3 bulletins on key cross-government themes



Publish 4 'thought leadership' publications on specialist themes



Organise a customer event on specialist themes in early 2019



Meet internal audit standards in 97% of reviews undertaken as part of our quality assurance monitoring of individual pieces of audit work

Value for Money



Reduce expenditure on general resource support from private sector audit firms by 25%, compared to 2017-18

Making a real difference



The GIAA team for DWP collecting their Outstanding Team, Public Sector Award

In November 2017, we collected the Outstanding Team, Public Sector Award at the Chartered Institute of Internal Auditors' Audit & Risk Awards.

This recognised the way in which the entire GIAA team for the Department for Work and Pensions (DWP) had come together to respond to the unprecedented challenges posed by the scale and complexity of the Welfare Reform Act. The team was praised for its high levels of customer engagement and its willingness to face the challenges head-on through their professional dedication, personal attitudes and sheer determination. This made a real difference to the control framework and outcomes of the DWP change programmes.

"Over the last year working closely with our colleagues from the Work and Health Programme has been a very rewarding experience. From the start, open and honest communication has helped develop a positive relationship built on trust. This collaborative approach helped to identify opportunities to better target planned assurance activities, resulting in the delivery of a more robust and meaningful assurance opinion."

Bob Wilson – GIAA Senior Auditor

Adding value with real-time assurance



The GIAA team for MHCLG

This year we changed the way we deliver services to the Ministry of Housing, Communities and Local Government (MHCLG). MHCLG now has its own dedicated audit team who have built up a deep understanding of MHCLG business. We also changed the method of delivery for several reviews to an ‘embedded assurance model’. This means we provide advice, challenge and assurance in real time, when this adds more value. For example, our interventions can be more useful to customers as a policy develops, rather than conducting a retrospective review.

This method of engaging with policy areas enables us to understand the policy aims and objectives more quickly, therefore improving our consideration of key risks. Customer satisfaction in these areas has been notably more positive

“Over the past year or so, the department has needed to re-prioritise work and associated risk as a result of a changing environment, not least due to the Grenfell tragedy and the need to urgently set up new teams for the Public Enquiry and Victim Support Unit.

The delivery of the audit plan has reflected the additional risk areas and Jane’s team has been responsive and considered throughout conversations around how best to provide assurance to the accounting officer in such times of change. Jane and her team are enthusiastic and energised when it comes to the service they deliver, and actively seek out improvements and opportunities on our behalf, or to achieve mutual aims more efficiently.”

Finance Director, MHCLG

GIAA value: Customer focus



Our whole purpose is to provide a professional and high-quality service for government. We have a duty to our customers to strive for excellence in the way we deliver our services to them. We pledge that we’ll continue to build strong relationships with our customers and wider stakeholders, always listening to them and staying focused on their requirements and expectations.

Chris Westwood and Jo Rowley
Operational Director and Professional Practice Director



Working together to provide a better service for customers

Overview

This year, for the first time, the whole Agency will be using the same high-quality audit methodology and software on a single IT platform. This will be a huge factor in helping us feel and act as a single organisation.

Our challenge for 2018-19 is to work together to maximise the use of our new technology and tools, so that we can deliver the benefits of a single audit practice to our customers and our people.

Our new methodology defines how we carry out each step of our audit-related assignments. It is based on industry best practice and was developed with input from many people across the Agency, drawing on their expertise and feedback from customers.

Our new software will give us access to more consistent data and management information, as we'll all be using the same system.

We'll be able to provide higher quality audit reports, based on better analysis and more cross-government insight, including specialist areas. We'll also be able to manage resources more effectively and efficiently, and give our people more opportunities for cross-Agency working and learning.

We'll complete the roll-out of the new methodology and software by the end of May 2018. During the year, we'll upgrade our software to a web-based version, enabling greater flexibility to implement the system for use within our counter fraud and investigation work.

We've already begun developing a new quality assurance framework as part of our new audit methodology. This framework will be completed and implemented during the year.

We're also working to make better use of data analytics, which will become integral to our new audit methodology. Our customers increasingly use data to inform strategic policy direction and improve service delivery. The use of artificial intelligence and robotics is growing in the public sector. As government's internal audit service provider, we need to keep pace with technological developments.

Milestones



Complete roll-out of our single audit methodology and management software to audit teams – May 2018



Review progress on realising the benefits of our single audit methodology and software – September 2018 – and take any action required to improve benefits delivery – October 2018 to March 2019



Complete roll-out of upgraded audit management software across the Agency, including the counter fraud and investigation team – March 2019

Performance measures

We will measure our success by feedback from our customers (see previous section) and our people, particularly scores in the 2018 People Survey.

Greater than the sum of our parts



Nigel Dawbney-Fisher

Last year, the Agency received a request from the Director General for Market Frameworks in the Department for Business, Energy and Industrial Strategy (BEIS) regarding minimum wage issues for sleep-in shifts in the social care sector. This was a high-profile cross-cutting issue involving a wide range of stakeholders. Working across a number of audit teams, GIAA was tasked with providing assurance that current issues and risks were being resolved effectively, and that governance, risk and controls were appropriate to ensure that a future potential state aid scheme design would be fit for purpose.

Our customers gave us positive feedback on the work we delivered for them and have since invited us to sit on the cross-government programme board to provide real time challenge and on-going assurance.

This assignment is an excellent example of cross-government work that our people and customers value. Nigel Dawbney-Fisher, the GIAA senior audit manager who led the work with colleagues across the Agency, said: *“One thing that drew me to the Agency was to be able to be part of adding greater value to government as a whole, I was really pleased that I was able to draw on our collective expertise and lead on this work – collectively we really are greater than the sum of our parts.”*

When a plan comes together



Julie Kitchin-Professional Practice Directorate and Rob Laid, DDaT specialist

In November 2017, we launched our new approach to annual assurance planning at a team event for all our heads of internal audit. Our new single audit methodology ensures we have a common way of developing audit plans for all our 140 customers. It's a real step forward for us in our ambition to become greater than the sum

of our parts, and this was an important moment in our organisational story. Our new tools give us an increased capability to assure risks that span organisational boundaries; to flag risks and highlight good practice from across government; and to collect the information we need to target and develop our audit specialisms.

GIAA value: Professionalism



We pledge to keep up with the pace of change in internal audit. We'll look to our peers and competitors for inspiration as we continue to innovate our working practices and improve our use of technology. The profession is changing and we're changing with it.



Tim Le Mare and Linda Costello

NAMMS* Delivery Director and Operational Director

*New Audit Methodology and Management System



Improving our specialist services to meet customer demand

Overview

Our specialist services are at the heart of our offering to customers. Our customers tell us that they want high-quality assurance and advice on complex, specialist areas, which cut across departmental boundaries.

Last year we focused on the further development of our specialist services in Counter Fraud and Investigation, Digital, Data and Technology (DDaT), Programme and Project Management (PPM), Commercial, and Shared Services.

In 2018-19 we will build on our work in these areas, continuing to improve the impact and quality of our specialist work. We've appointed a senior lead for each specialism and an overall specialisms co-coordinator.

We're particularly focused on supporting the government functions to reflect their growing importance and maturity.

We're therefore extending our specialisms to cover more of the government functions, and we're strengthening our engagement with the functional leads to ensure our services are responding to their needs, alongside those of other customers. We've recently set up two new specialisms in Finance and HR, which will build on the work of our Shared Services specialism. We'll also start work on developing a Property specialism.

For our people, our specialist work is important because it enables them to develop their skills and undertake more cross-Agency work.

Some of our people are specialists with expertise and qualifications in one of our specialist areas. As we develop our annual audit plans, we ensure we make the most effective and efficient use of our specialists. They can work on dedicated specialist assignments or support colleagues on assignments which require specialist input.

We'll be putting more emphasis this year on communicating our specialist work both to our customers with 'thought leadership' publications and a customer event, and to our people with information and technical guidance so they understand how our specialisms work can support them. We'll also provide clearer information on career pathways for colleagues wanting to get more involved in specialist work.

Milestones



Agree management team for each specialism, and conduct capability assessments as needed – July 2018



Seek feedback from core functional leads to inform the ongoing development of our specialisms – throughout 2018-19

Performance measures

We will measure our success by feedback from our customers (see pages 12 and 13) and our people, particularly scores in the 2018 People Survey.

Counter Fraud and Investigation



The GIAA Counter Fraud and Investigation team collecting the CIPFA Government Counter Fraud Team of the Year award.

Our GIAA Counter Fraud and Investigation team is a recognised centre of excellence across government. The team provided services to 30 separate government organisations in 2017-18. In addition to investigating more than 200 cases of suspected fraud, the range of counter fraud services includes support with Fraud Risk Assessments, a key product for any organisation and a key element of the government's Counter Fraud Functional Standards.

The range and depth of counter fraud services will be strengthened further in 2018-19. The cutting-edge work the team delivers was recognised externally when our Counter Fraud and Investigation team was named the 'Government Counter Fraud Team of the Year' by the Chartered Institute of Public Finance and Accountancy (CIPFA).

Programme and Project Management



Helen Murphy, PPM specialist

Our PPM assurance capability is rapidly strengthening, evidenced by the excellent feedback received from a range of senior stakeholders.

Working closely with change programmes has enabled our PPM specialists to provide real-time advice and support to senior responsible owners (SROs) and programme directors.

DWP's people and locations programme was one of the biggest and most challenging of its kind in the UK. It involved numerous site closures and relocations, combined with the replacement of a national facilities management contract. GIAA and DWP programme colleagues worked closely and collaboratively. Individual audits completed as part of the programme include commercial, HR, and operational transition activities. We were a regular participant at programme boards and checkpoints. The IPA carried out 5 reviews of the programme. Each time, there was GIAA representation on the review team, providing insight, pragmatism and perspective to discussions.

The programme's SRO stated that 'the support provided by the GIAA has been exceptional, bringing much more than just the third line of defence'. The SRO for DWP's Universal Credit programme also commended the collaboration between GIAA and the IPA, adding that the assurance team was '*valued as a critical friend, creating a useful and enduring relationship*'.

Digital, Data and Technology



Gar Yee Wong,
DDaT specialist

We've produced several products based on our DDaT service catalogue. We're widely using a 'General Data Protection Regulation (GDPR) readiness' audit product which has enabled us to report on key cross-cutting themes and issues. We've also tested 4 more products: cyber security; IT risk management; business continuity and disaster recovery; and information security.

We created our cyber security product in consultation with the National Cyber Security Centre and Cabinet Office, ensuring alignment with the Cabinet Office's new security standards. In the case of both GDPR and cyber security, we collaborated with external organisations to develop our products. We will seek out more opportunities to benefit from working with new partners.

GIAA value: Continuing development



I commit to continue developing our expertise and skills in specialist work to increase the impact for our customers. By expanding our offer to provide specialist services in the core government functions, we are meeting our customer needs and providing more opportunities for our people to work across the Agency.

Chris Wobschall
Specialisms Coordinator



Making GIAA a great place to work

Overview

We want to create a great place for our people to work, learn and pursue fulfilling careers. We also want a diverse workforce with the capability and capacity to meet the needs of our customers now and in the future.

This year we are focusing on improving leadership, performance management, career development, cross-Agency working, and diversity and inclusion.

We're launching a new performance management system, shaped with input from our people.

We're developing our career pathways to support our people in enhancing their skills and experience. We're also setting out new learning and development guidance, including information on continuous professional development.

Building on the many good examples of cross-government working in the Agency, we'll increase opportunities for our people to work across teams. This will provide a more flexible and resilient service to our customers and a more interesting portfolio of work to our people.

We're also working on a long-term pay strategy to put in place a fairer, more consistent and more transparent pay structure for our people. We'll submit an initial business case to Cabinet Office in July.

We hope to agree a new pay structure as soon as possible, but the timetable for securing the necessary approvals is not entirely within our control. We'll make sure that we keep our people updated on progress throughout the process.

Alongside our work on pay, we're continuing to develop our overarching workforce strategy which brings together individual strategies on recruitment, retention, reward and recognition, talent management, and workforce planning.

To support our ambitious agenda, each member of the Agency's SCS is committed to living our Visible Leadership Strategy which sets out expected leadership behaviours in 5 areas:

- personal credibility;
- engagement at all levels and locations;
- a strong focus on vision and strategy;
- openness and transparency; and
- removing barriers.

They will do this through their everyday interactions with colleagues and customers, and at wider Agency events, webinars, and support networks.

We already have 5 active networks, set up by our people for our people, to support colleagues who are part-timers, disabled, LGBT and trainees, and those seeking support for issues related to bullying and harassment.

We've recently strengthened our People Committee by making its membership more inclusive and giving it decision-making authority. We've also set up a '360 Group' of colleagues to provide a structured channel for regular dialogue between our senior leaders and our people. This group will coordinate cross-Agency projects to foster a single organisation culture and learn from good practices within and outside the Agency.

Milestones



Launch our new performance management system in May 2018, and monitor delivery throughout 2018-19



In line with our Visible Leadership Strategy, develop leadership programme for our senior leaders – July 2018



Submit initial business case for our pay strategy to Cabinet Office – July 2018



Launch our diversity and inclusion action plan – September 2018



Coordinate operational directorate resource forums to facilitate more cross-Agency working opportunities, and more effective talent management – first meeting in April 2018 and regularly throughout 2018-19



Develop and implement career development pathways for our people – throughout 2018-19



Complete a review of our HR policies and procedures, including recruitment, bullying, and equality and diversity – throughout 2018-19

Performance measures



Increase engagement by at least 5 percentage points compared to 2017 (from 49% to 54%), as measured by the People Survey 2018



Increase our score on leadership and managing change by at least 4 percentage points compared to 2017 (from 42% to 46%), as measured by the People Survey 2018



Increase our score for learning and development by at least 4 percentage points compared to 2017 (from 44% to 48%), as measured by the People Survey 2018



Reduce bullying, harassment and discrimination to below Civil Service averages, as measured by the People Survey 2018



Meet HM Treasury diversity targets for SCS



At least 20% of GIAA SCS participate in Civil Service diversity shadowing scheme



Increase by 10 percentage points the number of people involved in at least one assignment outside their immediate team, compared to 2017-18 (from 35% to 45%)

Making a success of cross-Agency working

Gareth Edwards shares his story...

Our team at HM Treasury asked my Driver and Vehicle Licensing Agency (DVLA) team for help to complete their outstanding programme for 2017-18.

I wanted to help my colleagues and develop my skills by contributing to work in another area. I was keen to take on the challenge and get stuck in, but I was pondering the logistics! I'm based in Swansea some 150 miles from Westminster, so how would it work? How would I prioritise my work when accountable to two teams?

This was a new scenario for us all with no blueprint to follow. Both my heads of internal audit, Andrew in Swansea and Neil in London, agreed we needed to make it work as the benefits to the Agency and to me were very clear. I had to match their flexibility and pragmatism and set off trailblazing my new working arrangement.

I undertook audit assignments for HM Treasury and its arms-length bodies. I was surprised by how much I could achieve working remotely, but I had to be assertive and realistic about what was feasible.

Working with multiple customers let me identify and share good practice. I was motivated by the variety of work which helped me build my skills. I enjoyed the chance to grow as an auditor, test myself with new customers, and extend my network.



Gareth Edwards, based in Swansea, with his colleague Heather Clifton, based in London

Our Trainee Network



Attendees at the 2018 GIAA Trainee Conference

Our trainee network has continued to grow and attract enthusiastic participants. It now includes over 100 trainees, including trainees from the Agency and across government.

The network, run for and by our trainee cohort, is now seeing tangible results in terms of exam passes and skills development. Members share experiences and challenges, and support one another through their training. The network is also a focal point for consultation about the training on offer and how it is provided and supported.

The network has recently hosted its second annual Trainee Conference, connecting trainees from across the Agency as well as other government departments. We are delighted that that the network has been recognised externally, including a Chartered Institute of Internal Auditors' award nomination for innovation and a recent feature in February 2018 Audit & Risk magazine

GIAA value: Respect



I believe that GIAA should be a great place to work for everyone. We are already doing some great work, but there is always room for improvement. I pledge that we will continue to listen to our people, involving our workforce in the decisions that affect our day-to-day working lives and future careers. The Agency is a true melting pot of experience, background and talent. We will improve how we value that, respecting and celebrating our diversity.

Cameron Robson

People Committee Chair, GCIA DHSC

Strengthening our foundations

Overview

We're making positive changes to our business processes to remove the practical frustrations our people have told us they regularly experience.

We're focusing on continued improvement to our:

- Financial management;
- Management Information;
- HR and recruitment processes; and
- IT support.

To facilitate more cross-Agency working, we're running a campaign to increase the number of our people vetted to Security Check clearance level.

We've already successfully co-located some of our teams and will continue to take further opportunities to bring our people together, helping them to feel part of a single organisation.

We will build on this success by starting work on a longer-term locations strategy which we'll develop in consultation with our customers and our people, and in the context of wider government policy on estates.

We're also updating our governance arrangements. We want to ensure that our people understand how and when decisions are made which impact on them, so that they can contribute their views in the most effective way.

Milestones



Develop a clearer arrangement with our shared services provider, focusing particularly on HR and ICT – October 2018



Improve our understanding of short-term opportunities for co-location – September 2018, and take forward any opportunities identified – October 2018 to March 2019



Implement a joined-up approach to audit planning, workforce planning and budgeting – November 2018 to March 2019 (for 2019-20 audit planning round)



Assess requirements for new commercial framework and commence re-procurement activity – March 2019

Performance measures

We will measure our success by feedback from our people, particularly scores in the 2018 People Survey

Bringing our working community together



GIAA colleagues at the north-west area network event

Geography has been one of our more persistent barriers as we come together as an Agency. We're successfully using technology to overcome distance and have enjoyed finding new ways to communicate. But we acknowledge the indisputable value of face-to-face contact so have worked to develop local

hubs and help our people connect more easily with colleagues.

In the north-west, co-location of teams has led to improved engagement and some great business results. In Liverpool, our people work from multiple sites but do so in a way that enables greater networking and knowledge sharing, as well as increasing multi-customer work opportunities for all. Several members of our Senior Leadership Team are based in the city, along with three separate audit teams, and colleagues from counter fraud and our corporate services team.

At their most recent area networking event, colleagues from across the north-west region came together at Redgrave Court in Bootle. The day itself was a great success with 90% of attendees saying in their feedback that they felt involved.

It was an opportunity to share stories about the work we do for the Health and Safety Executive and Office for Nuclear Regulation. We also heard from auditors and a senior investigation officer, all based in Liverpool, who worked together from the start to pool their expertise for an anti-fraud programme review.

Working in partnership



Dorothy Deacon and Paul Sayce

We both joined the Agency in 2017 – Paul as 1 of 3 finance business partners, while Dorothy heads up a team of 3 HR business partners. We've really enjoyed developing a stronger relationship between HR, finance and the operational business over the past year.

HR colleagues have used recruitment and talent management to help the business deliver its audit plan. Finance colleagues have introduced a new forecasting mechanism to improve the quality of our financial information, and this remains high on the agenda for 2018-19.

We'll continue to support our people to develop the necessary skills, tools and information to deliver for our customers. We're focused on facilitating increased cross-Agency working by supporting our new joint resource forums and putting in place a more coordinated approach to budgeting and audit and workforce planning.

Dorothy Deacon and Paul Sayce, HR and Finance Business Partners

GIAA value: Trust



I pledge to make sure we get the basics right for our people. Building a single audit practice means we must work collaboratively with colleagues and suppliers, trusting and supporting each other as we improve our internal business processes. Ultimately, this enables us to devote more time to getting on with the day job of delivering the best possible service to our customers.

Matt Armstrong
Chief Operating Officer



Annex A: Our customers

Cabinet Office

- Civil Service Commission
- Civil Service Pensions Board
- Crown Commercial Service
- Government Property Agency
- Royal Mail Statutory Pension Scheme

Department for Business, Energy and Industrial Strategy

- Advisory, Conciliation and Arbitration Service
- Babraham Institute
- Committee on Climate Change
- Companies House
- Competition Service
- Earlham Institute
- Financial Reporting Council
- HM Land Registry (in partnership with GIAA)
- Insolvency Service
- Intellectual Property Office
- John Innes Centre
- Medical Research Foundation
- Office of the Small Business Commissioner
- Oil and Gas Authority
- Quadram Institute Bioscience
- Rothamsted Research
- Single Source Regulation Office
- South Tees Site Company Ltd
- The Coal Authority
- UK Atomic Energy Authority

- UK Green Infrastructure Platform
- UK Research and Innovation
- UK Shared Business Services
- UK Space Agency

Department for Digital, Culture, Media and Sport

- The Royal Parks
- Sports Ground Safety Authority

Department for Education

- Education and Skills Funding Agency
- Engineering Construction Industry Training Board
- Institute for Apprenticeships
- LocatED
- Standards and Testing Agency
- Student Loans Company (working in partnership with GIAA)
- Teaching Regulation Agency

Department for the Environment, Food and Rural Affairs

- Animal and Plant Health Agency
- Centre for Environment, Fisheries and Aquaculture Science
- Forest Enterprise England
- Forest Research Agency
- Forestry Commission England
- Joint Nature Conservation Council
- European Maritime Fisheries Fund (UK)

- Natural England
- Rural Payments Agency

Department for Exiting the European Union

Department of Health and Social Care

- Care Quality Commission
- Health Education England
- Health Research Agency
- Human Tissue Authority
- Human Fertilisation and Embryology Authority
- Medicines and Healthcare Products Regulatory Agency
- National Institute for Health and Care Excellence
- NHS Blood and Transplant
- NHS Business Services Authority
- NHS Counter Fraud Authority
- NHS Digital
- NHS Improvement
- NHS Resolution
- Public Health England

Ministry for Housing, Communities and Local Government

- Ebbsfleet Development Corporation
- European Regional Development Fund
- Local Government Ombudsman
- Planning Inspectorate
- QE2 Conference Centre
- The Housing Ombudsman



Department for International Trade

Ministry of Justice

- Children and Family Court Advisory & Support Service
- Criminal Cases Review Commission
- Criminal Injuries Compensation Authority
- HM Courts and Tribunals Service
- HM Prison and Probation Service
- Government Facilities Services Ltd
- Judicial Appointments Commission
- Legal Aid Agency
- Office for Legal Complaints
- Office of the Public Guardian
- Official Solicitor and Public Trustee
- Parole Board
- Youth Justice Board for England and Wales

Department for Transport

- British Transport Police Authority
- Commissioner of Irish Lights
- Driver and Vehicle Licensing Agency
- Driver & Vehicle Standards Agency
- High Speed Two (HS2) Limited
- Maritime & Coastguard Agency
- Northern Lighthouse Board
- Transport Focus

- Trinity House Lighthouse Service
- Vehicle Certification Agency

Department for Work & Pensions

- Benefits Pension Digital and Technology Services (BPDTS) Ltd
- European Social Fund
- Health and Safety Executive
- Office for Nuclear Regulation
- The Pensions Ombudsman

HM Treasury

- National Infrastructure Commission
- Office for Budget Responsibility
- Office of Tax Simplification
- Royal Mint Trading Fund
- UK Government Investments

Home Office

- Asylum, Migration and Integration Fund
- Disclosure and Barring Service
- Gangmasters and Labour Abuse Authority
- Independent Inquiry on Child Sexual Abuse
- Independent Office for Police Conduct
- Security Industry Authority
- College of Policing
- Office of the Immigration Services Commissioner

Non-Ministerial Departments / Other

- Charity Commission
- Competition and Markets Authority
- Crown Prosecution Service
- Electoral Office of Northern Ireland
- Government Actuary's Department
- Government Legal Department
- National Crime Agency
- National Savings and Investments
- Northern Ireland Office
- Office of the Secretary of State for Scotland
- Office of the Secretary of State for Wales
- UK Supreme Court

Annex B: Governance and organisational structure

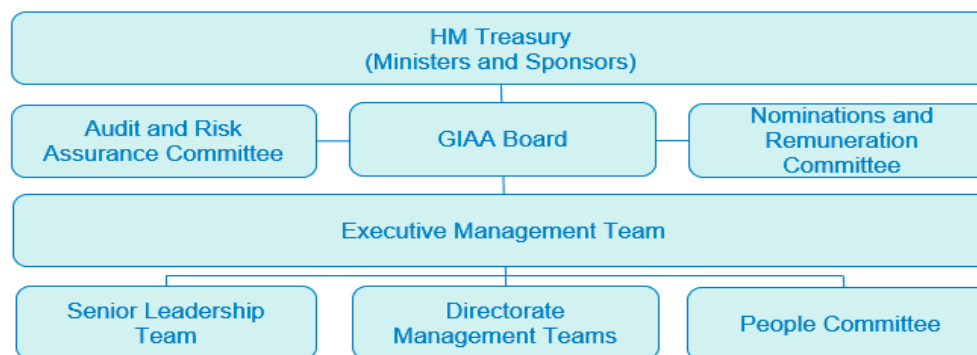
GIAA is an executive agency of HM Treasury, established on 1 April 2015. HM Treasury appointed Jon Whitfield as the Agency's first Chief Executive Officer (CEO) and Accounting Officer. Jon is also the Head of the Internal Audit Profession and the Internal Audit Functional Lead for Government. The CEO is accountable to the Permanent Secretary in HM Treasury, who has delegated day-to-day responsibility to the Director General, Public Spending. The minister who has responsibility for the Agency is the Exchequer Secretary to the Treasury.

Our [Framework Document](#) (available on www.gov.uk/giaa) was updated in March 2018 and defines the relationship between the Agency and HM Treasury, including the arrangements for the governance, accountability, financing, staffing and operation of the Agency.

The Agency also has a risk management policy which ensures we identify all key risks to the delivery of services to our customers and the achievement of our objectives. The policy sets out clear processes for agreeing actions to mitigate risks or developing contingency plans where

there is limited scope to prevent a risk occurring. The Agency Board agrees our risk management policy and sets our risk appetite. Our Audit and Risk Assurance Committee oversees implementation of the policy.

The Agency's top level governance structure consists of an Agency Board, an Audit and Risk Assurance Committee, a Nominations and Remuneration Committee and Executive Management Team, supported by several second-level governance groups.



Agency Board

The Agency Board ensures appropriate oversight and governance of the Agency's strategy, plans, performance and risks by providing advice and challenge to the CEO (Accounting Officer) and Executive Management Team. Short biographies of the non-executives, CEO and other executive directors are available on our website.



Mike Ashley
Non-Executive Chair
(until September 2018)



Steve Burnett
Non-Executive director
(Chair from October 2018)



Jo Clift
Non-Executive director



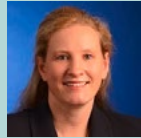
James Bowler
HMT Sponsor
(Director General Public Spending)



Mike Driver
Head of Government Finance Function



Jon Whitfield
Chief Executive Officer
(until July 2018)



Linda Costello
Operational Director



Chris Westwood
Operational Director



Matt Armstrong
Chief Operating Officer



Jo Rowley
Professional Practice Director



Liz Corrin
Corporate Services Director

Senior Leadership Team

The Senior Leadership Team brings together all the SCS in the Agency. It has responsibility for shaping and delivering the Agency's long-term strategy and annual corporate plan. It also focuses on sharing customer insight to improve our service; developing the leadership of the Agency; and ensuring effective engagement with the Agency's people.

Jon Whitfield
Chief Executive Officer



Jo Rowley
Professional Practice Director



Matt Armstrong
Chief Operating Officer



Tim LeMare
NAMMS Delivery Director
Commercial Specialism Lead



Chris Westwood
Operational Director
GCIA HMT, CO & DEXEU



Liz Corrin
Corporate Services Director



Linda Costello
Operational Director
GCIA MoJ
PPM Specialism Lead



Ian Coates
GCIA BEIS DCMS



Stephanie Donaldson
Second GCIA HMT, CO &
DEXEU



Karen Holland
Second GCIA DWP



David Locke
GCIA UKRI



Debbie Moorhouse
GCIA DfE



Chris Wobschall
Specialisms Coordinator
Finance & HR Specialisms Lead



Ronak Kakad
GCIA DfT



Nathan Paget
GCIA DEFRA



Jane George
GCIA MHCLG
Europe



Alan Watt
HIA HS2



David Whatley
GCIA NS&I & DIT



Cameron Robson
GCIA DHSC
DDaT Specialism Lead



Nigel Yates
Management Information
Project (secondment)



Lydia Field
GCIA HO



Neil Green
Head CF&I





Annex C: Budget

| | Corporate Plan 2018-19 £m |
|----------------------------|---------------------------------|
| Revenue | |
| Customer Fees | (34.0) |
| Total Revenue | (34.0) |
| Expenditure | |
| Staff Costs | 27.9 |
| Other Administration Costs | 9.1 |
| Total Expenditure | 37.0 |
| Net Expenditure | 3.0 |

Net expenditure represents the element of GIAA expenditure funded by HM Treasury or through Parliamentary supply.