

Internal Audit (Capability)

- 1. Role Definition
- 2. Example of Use
- 3. Executive Summary
- 4. Key Features

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1. Role Definition

This service domain administers the scheduled and ad-hoc application of internal audit and compliance reviews. This includes interpreting the banks policies and procedures that guide all aspects the bank's operations and determining which guidelines apply in specific circumstances across the enterprise. Support for interpreting guidelines are provided to activities in the bank that are subject to audit and scheduled and ad-hoc checks performed to confirm compliance

2. Example of Use

Example of use:

A periodic audit of a processing unit is undertaken and remedial corrections to procedures recommended to improve compliance

3. Executive Summary

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Maintain and portfolio of internal audit checks. Select and execute a meaningful sample of checks and identify and resolve non-compliance

4. Key Features

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- Schedule/target internal audit reviews
- Consolidate documents/activity pertaining to the audit
- Provide advice/guidance for achieving guideline/policy compliance
- Evaluate and report on activity for regulatory compliance,
- Notify and track responses for detected procedural failures

Documentation

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Properties

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Property	Value
Service Domain	
API BIAN Portal	Internal Audit API (https://app.swaggerhub.com/apis/BIAN-3/InternalAudit/12.0.0)
Individual Analytics	internalAuditAssessmentAccumulators internalAuditAssessmentActivityAnalysis internalAuditAssessmentPerformanceAnalysis internalAuditAssessmentTrends&Events
Portfolio Analytics	internalAuditAssessmentPortfolioActivityAnalysis internalAuditAssessmentPortfolioMake-UpAnalysis internalAuditAssessmentPortfolioPerformanceAnalysis
Scenarios	<div><div></div> Perform Underwriting for Corporate Loan (views/view_55254.html)</div> <div><div></div> Perform Underwriting for Mortgage Loan (views/view_55392.html)</div> <div><div></div> Perform Underwriting for Merchandising Loan (views/view_54854.html)</div>
Service Role	Maintain and portfolio of internal audit checks. Select and execute a meaningful sample of checks and identify and resolve non-compliance
BIAN Life Cycle	

Registration
Status

Registered

Stereotypes

stereotype

ServiceDomain

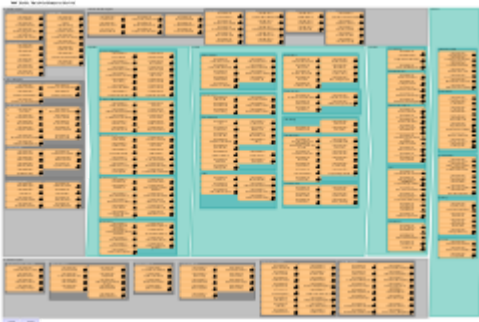
Appears on

(views/view_51003.html)



Internal Audit SD Overview

(views/view_51705.html)



BIAN Service Landscape V12.0 Value Ch...




(views/view_51891.html)































BIAN Service Landscape V12.0 Matrix Vi...

Relations

aggregated
by



Non-IT and Non-HR Enterprise Services (object_25.html?object=130279)
Wave 5 (object_25.html?object=153746)
Corporate Services (object_25.html?object=171833)

gets input from	 Underwriting (object_22.html?object=44666)
is equal to	 Internal Audit (object_36.html?object=34494)
is part of	 Non-IT and Non-HR Enterprise Services (object_25.html?object=130279)
realized by	<div>  Internal Audit_SD_Operations (object_18.html?object=101128)  Internal Audit Assessment_Analytics Object (object_25.html?object=101139)  Internal Audit Assessment_Instantiation (object_17.html?object=101144)  Internal Audit Assessment_Invocation (object_17.html?object=101154)  Internal Audit Assessment_Reporting (object_17.html?object=101156)  Internal Audit (object_24.html?object=101162)  Internal Audit_SD_Service Group (object_18.html?object=238971)  Internal Audit Assessment (object_24.html?object=30719)  Gr CR Obtain permission to act in relation to Internal Audit Assessment (object_13.html?object=30929)  Up BQ Update details relating to Audit (object_13.html?object=31012)  In CR Instantiate a new Internal Audit Assessment (object_13.html?object=31582)  In BQ Instantiate a new Audit (object_13.html?object=31828)  Ec BQ Accept, verify, etc. aspects of Audit processing (object_12.html?object=32974)  Up CR Update details relating to Internal Audit Assessment (object_14.html?object=34553)  Ex CR Execute an available automated action for Internal Audit Assessment (object_14.html?object=35101)  Ec CR Accept, verify, etc. aspects of Internal Audit Assessment processing (object_14.html?object=36463)  Gr BQ Obtain permission to act in relation to Audit (object_15.html?object=39678)  Rq BQ Request manual intervention or a decision with respect to Audit (object_15.html?object=40090)  Ex BQ Execute an available automated action for Audit (object_15.html?object=41733)  Re BQ Retrieve details about any aspect of Audit (object_16.html?object=45097)  Re CR Retrieve details about any aspect of Internal Audit Assessment (object_16.html?object=46067)  Rq CR Request manual intervention or a decision with respect to Internal Audit Assessment (object_16.html?object=46431)  Assess (object_28.html?object=58027) </div>
serves	 Policy Management (object_6.html?object=81319)
triggered by	 Underwriting (object_22.html?object=44666)