

Regulatory and Audit Committee 3 February 2016

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4 INTERNAL AUDIT PROGRESS REPORT AND ACTION TRACKER To be presented by Ian Dyson.	3 - 4



INVESTOR IN PEOPLE



Audit Action Tracker

1. All management actions raised in Internal Audit reports are entered on to the Audit Action Tracker system. This is a bespoke spreadsheet where audit action owners can record updates on progress with implementation of the agreed action and when the action has been completed. A summary of outstanding actions is provided to the Business Unit Directors, Director of Assurance and Chief Auditor on a quarterly basis prior to reporting to the Regulatory and Audit Committee.
2. The table below highlights long outstanding management actions where either inadequate progress has been made or the management update is insignificant:

Business Unit	No. of actions at 27/1/16	No. of overdue actions at 27/1/16	Areas of concern
BSP	3	2	<ol style="list-style-type: none"> 1. H&S e-learning for New Starters (H) – action due for implementation by 31/12/13 is still in progress. 2. Information Asset Register (H) – action due for implementation 30/6/13, service have stated no underlying risk
CHASC	12	1	<ol style="list-style-type: none"> 1. Approval of Discontinued Use of Credit Protection Agency (M) – action due for implementation 30/9/15, evidence provided does not demonstrate an improvement.
CSC&L	23	1	<ol style="list-style-type: none"> 1. New Vendors in Schools (H) – action due for implementation by 31/12/13 is still in progress and will be covered in the Schools S151 Audit.
HQ	7	0	
TEE	21	3	<ol style="list-style-type: none"> 1. Internal Planning Procedures/Process Notes (H) – action due for implementation 30/6/15, inadequate update from action owner. 2. Correspondence/Site Visit documentation (H)- action due for implementation 30/6/15, inadequate update from action owner. 3. Application Supervision/Delegated Authority (H) - action due for implementation 30/6/15, inadequate update from action owner.
TOTAL	66	7 (11%)	

Note:

BSP – Business Services Plus

CH & ASC – Communities, Health and Adult Social Care

CSC & L – Children Social Care and Learning

TEE – Transport, Environment and Economy

(H) – High priority management action

(M) – Medium priority management action

The Business Assurance Team will continue to monitor implementation of outstanding actions and escalate to the Regulatory and Audit Committee as appropriate.

Maggie Gibb

Business Assurance Manager