

IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS
Agreed actions awaiting implementation

| Audit Ref No | Recommendation | Priority | Post responsible | Service Management Team | Response | Action Date | Follow up Date |
|---|--|----------|---|--------------------------------|----------|--------------------------------------|----------------|
| RED BOOK COMPLIANCE – The prevention of fraud and corruption 2010/11 | | | | | | | |
| Q22 | In order to further enhance a real anti-fraud and corruption culture within the Authority, consideration should be given to raising its profile by for example, incorporating this area into the corporate induction process, producing an annual staff survey, posters and running fraud awareness workshops. | Low | Human Resources Business Manager | Director of Human Resources | Agreed | April 2011 extended to December 2011 | |
| SERVICE DELIVERY AUDIT PROCESS 2009/10 | | | | | | | |
| 3.4 | A more formal and structured training regime should be established for Service Delivery performance management auditors, to complement the current induction and shadowing training methodology. | Medium | Performance Review Manager/ Area Manager, Response Support | Area Manager, Response Support | Agreed | 2011/2012 Ongoing | 18/02/2011 |
| The Service Delivery audit process is currently under a review which takes into account all of the audit review processes carried out within the Service. The Performance Review Manager is part of the review process, which will include ensuring that the training and shadowing process is fit for purpose. | | | | | | | |

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| INFORMATION MANAGEMENT 2010/11 | | | | | | | |
| 3.3 | Consideration should be given to developing an Information Management Strategy and related policies to set out how information and data will be used to support the Service's objectives. To be effective this should be a high profile document and should be communicated throughout the Service. | Medium | Head of Financial and Office Services | Director of Corporate Services | An overarching Information Management Strategy together with the supporting policies is being developed. This will follow best practice, setting out how information and data will be used to support the Service's objectives and be communicated throughout the Service | 30/09/11 Extended to 30/11/2011 | |
| 3.7 | Member and senior management responsibilities for Information Management (IM) should be clearly assigned and communicated. Consideration should also be given to reinstating a working group with appropriate representation and reporting lines to enable Service-wide IM developments to be considered and progressed. These responsibilities should be recorded within the | Medium | Head of Financial and Office Services | Director of Corporate Services | The strategy will identify individual and board level responsibilities. Consideration will be given to reinstating a working group if IM cannot be managed within existing structures | 30/09/2011 Extended to 30/11/2011 | |

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| | strategy | | | | | | |
| 3.8 | The scope of existing groups with Information Management (IM) content should be reviewed to clarify their role in relation to overall IM strategy and ensure there are no gaps or duplication in coverage. | Medium | Head of Financial and Office Services | Director of Corporate Services | Agreed | 31/12/2011 | |
| 3.9 | Consideration should be given to including information management and data quality as mandatory areas within the formal Programme and Project Management process to ensure implications are identified at an early stage, and relevant skills included within the project team. | Medium | Programme and Project Manager | Director of Human Resources | Agreed. This will be incorporated in the Information Strategy and Programme and Project Management procedures and processes | 31/12/2011 | |
| 3.14 | The Data Quality policy should form one of a number of policies that underpin the Information Management strategy. Others policies include, information security, Freedom of Information, and | Medium | Head of Financial and Office Services | Director of Corporate Services | Agreed | 31/12/2011 | |

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| | document management. | | | | | | |
| 3.16 | A review should be undertaken to record (at an overview, non-technical level) details of all information systems, the information and data held, how it is collected, how it is used and the main user groups. This should help the organisation understand the information it needs to manage, help it to plan, prioritise and co-ordinate future IM developments, and identify opportunities to streamline and avoid duplication of information held. | Medium | Head of Financial and Office Services | Director of Corporate Services | Agreed. | 31/12/2011 | |
| 3.21 | The content of Service Orders should be reviewed and rationalised as part of the proposed Document Management System implementation. | Medium | Head of Financial and Office Services | Director of Corporate Services | Agreed | 31/12/2011 | |

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| 3.23 | Freedom of Information and Data Protection, together with more general information security requirements, should feature prominently within any future Information Management strategy (IM) to ensure they are given appropriate consideration within future IM developments. | Medium | Head of Financial and Office Services | Director of Corporate Services | Agreed | 30/09/2011 Extended to 30/11/2011 | |
| TRAVEL AND SUBSISTENCE 2010/11 | | | | | | | |
| 3.14 | Approving officers should ensure that claimants are using the most economic route to prevent unnecessary mileage being claimed. To ensure managers are more aware of why mileage may be different Workforce Support could on occasions query the mileage claimed with managers. | Medium | Director of Human Resources as Senior Responsible officer of the Overtime and Travel Project Board | Director of Human Resources | We have a project underway to address travel costs and achieve savings. This issue will be covered as part of this project | 30/03/2012 | |