

APPENDIX B

2016/17 Followed Up Audits since the last meeting - High Risk Exceptions	High Risk Open		High Risk Closed		Total High Risk	Comments
Audit Title						
F1617-075 - Asbestos - Housing and Property - James Hill	1	100%	0	0%	1	The exception regarding having a hard copy of the Asbestos register remains open as while there is an action plan devised, other work priorities following Grenfell has delayed this action plan being implemented
F1617-007 - Better Care Fund - Adult Social Care - Innes Richens	2	100%	0	0%	2	The two exceptions remain open but progress has been made on both. KPI's have been drafted but are not yet finalised. The delays to the projects noted in the original audit were caused by external factors however PCC to take action at monthly meetings to progress.
F1617-024 - Cemeteries - Culture & City Development - Stephen Baily	2	67%	1	33%	3	Two high risk exceptions remain open following the follow up, the agreed actions have not been implemented as expected and no reasoning has been provided to confirm why. New implementation dates have been set and as such the risk remains. These relate to cash management and bank reconciliations.
F1617-010 - Child Sexual Exploitation - Children Social Care - Alison Jeffery	1	100%	0	0%	1	Progress has been made on the issue regarding return interviews with children occurring and the data verifies an improvement, the risk is now considered medium.
F1617-015 - Legal Privilege - Children Social Care - Alison Jeffery	3	75%	1	25%	4	No action has been taken on the exceptions raised as the staff member who agreed them has since left the Authority and a handover does not appear to have happened. A new responsible person has been assigned to the take forward the agreed actions.
F1617-051 - VAT - Finance & Information Services - Chris Ward	1	100%	0	0%	1	Progress has been made on the high risk issue noted however at the time of follow up testing the communication had yet to be sent to all employees regarding VAT on purchase card transactions

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2016/17 Followed Up Audits since the last meeting - Medium Risk Exceptions	Medium Risk Open		Medium Risk Closed		Total Medium Risk	Comments
Audit Title						
F1617-024 - Cemeteries - Culture & City Development - Stephen Baily	1	100%	0	0%	1	The exception remains open regarding a strategy for land for burials. The services has determined this is a longer piece of work and hope to have progress on the exception by mid 2018.

