

INFORMATION NOTE

FOLLOW-UP ACTIONS 2016-17 UPDATE

Current Position

- Table One shows the 'high/medium' priority combined implementation rate as reported to the Committee in June when the implementation rate was below the Committee's target of 95%. Five reviews had implemented 100% of agreed actions, while eight reviews were below target:

Table One: High/Medium Recommendations Implemented as at March 2017

Audit Area	High Priority		Medium Priority		% Implemented
	Yes	No	Yes	No	
Waste Management	-	-	5	1	83%
Sundry Debtors	-	-	-	1	0%
Income Collection (Central)	-	-	-	1	0%
IT Service Management	1	-	3	-	100%
Overtyped Mileage Facility	-	-	1	-	100%
Travel and Expenses	-	-	10	1	91%
Attendance Management	-	-	6	1	86%
Corporate Governance 2015	-	-	2	-	100%
Civica Financials Application	-	-	5	-	100%
Business Continuity	6	-	13	4	83%
Fleet Management	-	-	2	8	20%
Income Collection (FMS)	-	-	2	-	100%
Complaints	-	-	5	2	71%
Bereavement Services	-	-	-	3	0%
Total	7	-	54	22	73.5%

2. Since the last meeting of the committee the internal audit team has contacted relevant managers again in light of the committee's decision and in addition, the Chairman held meetings with three managers with implementation rates remaining below the target. Table Two shows the present position:

Table Two: High/Medium Recommendations Implemented as at September 2017

Audit Area	High Priority		Medium Priority		% Implemented
	Yes	No	Yes	No	
Waste Management	-	-	6	-	100%
Sundry Debtors	-	-	-	1 ¹	0%
Income Collection (Central)	-	-	1	-	100%
IT Service Management	1	-	3	-	100%
Overtyped Mileage Facility	-	-	1	-	100%
Travel and Expenses	-	-	11	-	100%
Attendance Management	-	-	7	-	100%
Corporate Governance 2015	-	-	2	-	100%
Civica Financials Application	-	-	5	-	100%
Business Continuity	6	-	13	4 ²	83%
Fleet Management	-	-	2	8	20%
Income Collection (FMS)	-	-	2	-	100%
Complaints	-	-	6	1 ³	86%
Bereavement Services	-	-	2	1	67%
Total	7	-	61	15	81.9%

¹ This action has been carried forward and included in the current action plan for sundry debtors

² One action will not be implemented because of a new approach to business continuity

³ This action cannot be implemented until the new complaints system is rolled out

3. The overall rate of implementation for 'high/medium' priority actions has increased from 73.5% to 81.9% which is still below the Committee's target. However, nine reviews are 100% completed, and from the remaining five reviews one action outstanding for sundry debtors has been carried forward to a current action plan, one from the complaints review cannot be implemented until the new system is rolled out and one of the business continuity actions will not be brought into effect as a result of a new approach.
4. The managers responsible for completing the implementation of actions from the remaining three reviews met with the Chair and the Head of Internal Audit on 25 August and firm dates for implementation of remaining recommendations have been agreed in each case. Revised action plans have been issued.

5. The dates agreed for all actions to implemented for each of the three reviews are set out in Table 3 as follows:

Table Three: Final Date for Implementation of All Recommendations

Audit Area	Date	No. of Actions
Business Continuity	December 2017	3
Fleet Management	November 2017	4
	August 2018	4
Bereavement Services	March 2018	1

6. If the above actions are put in place as envisaged the annual implementation rate for high/medium priority actions will be 96.4%, exceeding the committee's target.
7. This will also have a positive impact on the outturn for all recommendations including low priorities. From a figure of 76.3% reported in June, it now stands at 81.7%. Implementation of the above actions will increase this further to 90.8%. This would also be above the committee's target of 90% for this particular indicator.
8. The progress as these actions are implemented will be monitored and reported to the committee in the Internal Audit Interim and Annual reports.

FURTHER INFORMATION AVAILABLE FROM

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