

Subject	Progress on Agreed Management Actions	Status	For Publication
Report to	Audit & Governance Committee	Date	14 December 2023
Report of	Team Leader Governance		
Equality Impact Assessment	Not Required	Attached	No
Contact Officer	Annie Palmer	Phone	01226 666404
E Mail	APalmer@sypa.org.uk		

1. **Purpose of the Report**

- 1.1 To update Members on the actions being taken in response to audit review findings during the current financial year and in previous financial years.

1. **Recommendation(s)**

- 2.1 **Members are recommended to:**
- a. **Note the progress being made on implementing agreed management actions; and**
 - b. **Consider if any further information or explanation is required from officers.**
-

3. **Link to Corporate Objectives**

- 3.1 This report links to the delivery of the following corporate objectives:

Effective and Transparent Governance

To uphold effective governance showing prudence and propriety at all times.

- 3.2 The reporting of audit findings and management actions being taken to address these is a key part of providing assurance on the adequacy of the Authority's corporate governance arrangements, particularly those relating to internal control and financial and risk management.

4. **Implications for the Corporate Risk Register**

- 4.1 The contents of this report do not link to a specific risk in the corporate risk register; instead, they set out the actions being taken in a number of areas that will contribute to addressing various risks in relation to operations and governance as detailed in the original audit reports.

5. **Background and Options**

- 5.1 The Authority’s Local Code of Corporate Governance sets out the framework in which the Authority complies with the seven principles of good governance; one of which is “*managing risks and performance through robust internal control and strong public financial management*”. One aspect of achieving this is having arrangements for assurance and effective accountability in place and ensuring that findings arising from the work of both external audit and internal audit are acted upon.
- 5.2 The Audit & Governance Committee receives reports of the external auditor and of the Head of Internal Audit at regular intervals throughout the financial year. The report attached at Appendix A summarises the actions taken, and progress being made on implementing the actions agreed in response to audit findings during the current and previous financial years.
- 5.3 The tables in the attached Appendix A show the status and progress being made on the outstanding actions. Further explanation regarding some of the individual items is provided below.
- 5.4 End to End Interfund Process: The Service Manager – Benefits has extended the target date in relation to addressing process delays caused by employers as work is being done to strengthen the escalation procedure through engagement with employers.
- 5.5 Progress has been made on the further development of the Information Governance suite of policies with a view to approval by SMT before the end of the year. The retention policy will be a priority in the new year however it is recognised that this links to a larger piece of work on the asset register and may require a revised target date.
- 5.6 Following the Procurement Compliance follow up audit this year, three new areas have been added. Progress has already been made with some actions already completed and we are on track to have the remainder in place by the target date. The CIPFA training for relevant members of staff is scheduled to take place in January and the gateway approval document is being trialled in a number of current procurements before being rolled out as part of the planned training session.
- 5.7 The progress of implementation of agreed management actions will continue to be reported to the Audit & Governance Committee at regular intervals.

6. **Implications**

- 6.1 The proposals outlined in this report have the following implications

Financial	No additional financial implications; the costs of the internal audit service and the fees for the external audit are met from existing budgets.
Human Resources	None
ICT	None
Legal	None
Procurement	None

Annie Palmer

Team Leader Governance

Background Papers	
Document	Place of Inspection
None	-