

**Quality Assurance and Improvement Plan – 2016/17**

**Appendix B**

Actions from assessment December 2016 – questions not scored as conforming

Ref	Conformance with the Standard	Compliance	Planned Actions	Person Responsible	Timescale	Comment
3.4	Does the QAIP include both internal and external assessments?	Partial	Continue internal assessments, external assessment to be completed by 2017/18.	LB	Ongoing	Ongoing. Internal assessments completed annually, again in March 2016. Agreed with Chair of AC and COG for external assessment due to take place 27 <sup>th</sup> March 2017.
4.1	Has the CAE carried out an assurance mapping exercise as part of identifying and determining the approach to using other sources of assurance?	Non compliance	Assurance mapping to be completed in 2015.	LB	Mar 18	Not achieved. Due to a change in Management this will take place by March 2018.
4.2	Has the internal audit activity evaluated the design, implementation and effectiveness of the organisation's ethics-related objectives, programmes and activities?	Partial	Review as part of CGWG – review of Code of Corporate Governance.	LB	Ongoing	Ongoing. Audit work is based on the Council's objectives and priorities and covers some of the areas in the Code of Corporate Governance such as organisational performance management and communication of risk and control information.

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4.2	Has the internal audit activity evaluated the potential for fraud and also how the organisation itself manages fraud risk?	Partial	Improve awareness of fraud. Collect data on fraud risk.	LB	Ongoing	Ongoing. Anti-Fraud and Corruption Strategy and Fraud Response Plan reviewed, updated and launched on Infonet.  Separate work programme on fraud related question used for each audit.
1220.A2	Where appropriate audit engagements are supported by appropriate tools, including reporting within information systems, interrogation techniques and other CAATT's	Partial	Further develop the level of expertise and use of CAATT's within Internal Audit.	LB	Mar 18	Two additional members of staff identified for training in the use of CAATT's (IDEA).
2110.A1	Internal Audit reviews the activities in place that manage and monitor the effective implementation of the organisation's ethics and values	Partial	Develop a standard template for use on every review to assess the organisation's implementation of ethics and values	LB	Mar 18	The template (when developed) will be attached within the audit management system MKInsight.