

Quality Assurance and Improvement Plan (QAIP) - Actions – 2020/21

Appendix B

Actions Outstanding from External Assessment (EA) March 2017 and or Self-Assessment (SA) February 2021 (questions not scored as conforming)

Ref	Conformance with the Standard	Compliance	Planned Actions	Person Resp.	Timescale	Comment
2120 (SA)	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.(2120)	LB	Implemented Implemented Partly Complete - April 2021	<p>Fraud risk analysis is undertaken as part of each audit review.</p> <p>Anti-Fraud and Corruption Strategy and Fraud Response Plan has been updated and presented to audit Committee in February 2019.</p> <p>Develop an online reporting solution which would support digital and customer strategies during 2019/20. This is currently at the test stage however due to COVID-19 this was on hold for a period however this is now ready to go live in the new financial year.</p> <p>Once operational the fraud reporting system and Whistleblowing policy will be promoted via change exchange.</p>
2110 (SA & EA)	Internal Audit reviews the activities in place that manage and monitor the effective implementation of the organisation's ethics and values.	Partial	<p>(SA) Review as part of CGWG – review of Code of Corporate Governance.</p> <p>(EA) The Service needs to undertake a review to evaluate</p>	LB	Partly Complete	Audit work is based on the Council's objectives and priorities and covers areas in the Code of Corporate Governance such as organisational, performance management, and communication of risk and control information.

Ref	Conformance with the Standard	Compliance	Planned Actions	Person Resp.	Timescale	Comment
			the design, implementation and effectiveness of the Council's ethics related objectives, programs & activities. (2110.A1)			Whilst ethics is considered as part of routine audits, a specific review on ethics and values has been included within the 2019/20 audit plan. This audit is currently in progress however due to COVID-19 this is on hold.