

## Appendix D

### Follow Up Reviews

Audit Title	Management Actions			
	Implemented	Partially Implemented	Not Implemented	No Longer Applicable
GDPR	7	5	0	0
Health and Safety	0	3 (3)	0	0
Lone Workers	2	3	0	0
Treasury Management	4	1	0	0

*The numbers in brackets are high risk actions partially or not implemented and detailed below:*

#### **Health and Safety:**

This was a second follow up of the actions that remained partially addressed following an initial follow up in June 2021. As reported in June, all three actions remain partially implemented. Management responses and revised implementation dates have been outlined below. Internal Audit will undertake a further follow-up review in April 2022 to review the implementation of recommendations.

#### Issue – Enhancing Internal Assurance Activities

##### **a) Develop a risk-based assurance plan for undertaking H&S assurance activities (audits and inspections) for key risks across the Council.**

*Management Response: This was originally developed with an implantation plan for 2020; however this was paused through the impacts of the pandemic across the council and the re-design to a more efficient model. The plan is nearing the end of the re-design to an annual self-assurance model with the implementation target of 1 April 2022.*

*The essence is to provide an audit template questionnaire to all Heads of Service, copied to Operational Directors, which is returnable to Corporate Health and Safety (CH&S). CH&S will review each return, request verification evidence where necessary, construct action plans, and feedback to Heads of Service and Operational Directors with final reports. The annual process, end to end, is built on a 6-8 month pathway of self-assurance activity and final reporting to the services culminating with annual reporting to the Health, Safety and Emergency Planning Committee then to the Council Management Team.*

**b) Report on the findings of these assurance activities to the H&S committee and the Council Management Team (CMT).**

*Management Response: Results will be reported annually to the Health, Safety and Emergency Planning Committee and the Council Management Team.*

**c) Review the H&S team capacity to carry out assurance of the H&S management system in addition to current advisory role, ensuring there are suitable independence considerations in place between those providing assurance and those providing advisory support.**

*Management Response: To ensure independence and objectivity in the process, the Corporate Health and Safety Manager and one adviser are lead auditors for ISO:45001. All advisory staff in Corporate Health and Safety are bound by the Institution of Occupational Safety and Health professional Code of Conduct. Recruitment for a third advisor is advanced with a desired appointment date of 1 April 2022.*