


Appendix 1






The Table Below details the status of Management Actions identified in the 2015/16 & 2016/17 Audit Plans

Name of Audit	Quarter 1 2017/18						DOT	Audit Sponsor
	High Level Actions not Completed		Medium Level Actions not Completed		Total of Actions not Completed	Action Completed in the last Quarter		
	No Progress	Partial	No Progress	Partial				
Adult Safeguarding 11 15 16	0	0	0	1	1	0		Alan Sinclair
Budgetary Control and Financial Reporting 25 15 16	0	0	0	0	All Actions Complete	1		Neil Wilcox
Business Continuity Planning Arrangements 1 16 17	0	3	2	0	5	2		Mike England
Creditors 19 15 16	0	0	0	0	All Actions Complete	2		Neil Wilcox
General Ledger 31 15 16	0	0	2	0	2	0		Neil Wilcox
Matrix - Management of Agency Staff 7 15 16	0	1	1	1	3	0		Roger Parkin

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Quarter 1 2017/18								
Name of Audit	High Level Actions not Completed		Medium Level Actions not Completed		Total of Actions not Completed	Action Completed in the last Quarter	DOT	Audit Sponsor
	No Progress	Partial	No Progress	Partial				
Payroll 26 15 16	0	0	0	0	All Actions Complete	1		Neil Wilcox
Rent Accounts 28 15 16	0	0	0	0	1	Action re stated in 16/17 Audit		Neil Wilcox
Risk Management	0	0	0	0	All Actions Complete	1		Neil Wilcox
Schools Thematic Review 24 15 16	0	0	1	0	1	0		Cate Duffy
Budgetary Control and Financial Reporting 10 16 17	0	0	0	1	1	5		Neil Wilcox

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Name of Audit	High Level Actions not Completed		Medium Level Actions not Completed		Total of Actions not Completed	Action Completed in the last Quarter	DOT	Audit Sponsor
	No Progress	Partial	No Progress	Partial				
Treasury Management 20 15 16	0	0	0	0	All Actions Complete	2		Neil Wilcox
Cash Handling 22 15 16	0	0	0	1	1	Action Re stated in 16/17 Audit		Neil Wilcox
Counter Fraud Arrangements 43 15 16	0	0	1	1	2	2		Neil Wilcox
Income & Debtors Management 38 15 16	0	0	1	0	1	1		Neil Wilcox
Information Governance 31617	2	0	10	2	14	1		Roger Parkin

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Internal Audit Management Actions failing due since last quarter

Name of Audit	High Level rec's not Completed		Medium Level rec's not Completed		Action Completed	Total Actions Overdue	Sponsor
	No Progress	Partial	No Progress	Partial			
Transfer of Balances 21617	0	0	0	0	1	All Actions Complete	Roger Parkin
Budget Setting 41617	0	0	1	0	0	1	Neil Wilcox
School Financial Value Standard 51617	0	0	4	1	0	5	Neil Wilcox
Voids 61617	0	2	0	1	4	3	Mike England
Fixed Penalty Notice 91617	1	0	1	0	6	2	Mike England
Budgetary Control & Financial Reporting 101617	0	0	0	0	5	All Actions Complete	Neil Wilcox
Council Tax 111617	0	0	0	0	1	All Actions Complete	Neil Wilcox
Capital Expenditure 121617	0	0	0	1	1	1	Neil Wilcox
Rent Accounts 131617	0	0	0	2	1	1	Neil Wilcox
Business Rates 141617	0	0	0	0	1	All Actions Complete	Neil Wilcox
Transparency Code 151617	0	0	2	1	6	3	Tracy Luck

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Name of Audit	High Level rec's not Completed		Medium Level rec's not Completed		Action Completed	Total Actions Overdue	Sponsor
	No Progress	Partial	No Progress	Partial			
Housing Benefit 161617	0	0	0	0	1	All Actions Complete	Neil Wilcox
Risk Management 171617	0	1	0	7	4	12	Neil Wilcox
Treasury Management 191617	0	0	0	0	3	All Actions Complete	Neil Wilcox
General Ledger 201617	1	0	0	1	1	1	Neil Wilcox
Health & Safety 211617	0	0	3	2	2	5	Roger Parkin
Cash handling 241617	0	0	2	0	2	2	Neil Wilcox
Five Year Plan Outcomes 251617	0	0	0	0	1	0	Roger Parkin
Creditors 261617	0	0	2	0	1	2	Neil Wilcox
Asset Register 291617	0	0	2	0	0	2	Neil Wilcox
Procurement 321617	0	0	2	0	0	2	Neil Wilcox