

**Monitoring Report of Actions Arising from Audit Reports
(incorporating any actions outstanding at 31 March 2021 from earlier reports)**

APPENDIX A

URN	Auditing Body & Source	Audit Area and Responsible Manager	Priority	Agreed Action	Progress Report to Date	Timing For Completion	Status ('Not Started', 'In Progress' or 'Completed')
SC 4 (18/19)	RSM Apr 19: Final Report (18/19)	Stock Control Head of Governance & Asset Management	Medium	The Authority will ensure that following the upgrade of the Microsoft Dynamics to training on the stores requisitioning system will take place for those members of staff who are responsible for ensuring transactions are done in an accurate and timely fashion.	Training has taken place on the stores requisitioning system for those members of staff who are responsible for ensuring transactions are done in an accurate and timely fashion.	Original: Jul 19 Revised Date: Feb 20 Revised Date: Oct 20 Revised Date: Jan 21 Revised Date: May 21	Completed – Subject to follow up audit
RecSS 4 (20/21)	RSM Feb 21: Final Report (20/21)	Recruitment – Support Staff Head of Human Resources	Medium	The organisation will ensure that there is a clear record of CMT discussion and approval of new posts. The supporting evidence will then be supplied to the Recruitment Team. The Authorisation to Increase Base Establishment Form will also be updated to remove the HR approval section.	HR17539 form has been updated. HR approval section has been removed (attached). CMT members must ensure new posts are discussed and approved. The supporting evidence must be provided in the business case section on the form.	Original Dec 20	Completed – Subject to follow up audit

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				Supporting evidence for the actioning of posts by HR will continue to be retained by email.			
RecSS 1 (20/21)	RSM Feb 21: Final Report (20/21)	Recruitment – Support Staff Head of Human Resources	Low	The Service will ensure that all Termination Forms are fully signed off by HR when processed and by the line manager for holiday entitlement. If the paperwork cannot be physically signed, then the signature will be recorded electronically via an email to support the form and confirm the actions.	The recommendations have been implemented. The HR21002 form has been updated. Documents if received in word format have the e-signature added or if received in PDF a supporting email is sent to Payroll to confirm the checks carried out by HR Ops.	Original Nov 20	Completed – no follow up audit required
RecSS 2 (20/21)	RSM Feb 21: Final Report (20/21)	Recruitment – Support Staff Head of Human Resources	Low	The Service will ensure that all staff who are recruitment panel members have completed the Unconscious Bias training.	All staff required to complete unconscious bias and EDI training as part of induction training. Email attached from Recruitment to EDI Team.	Original Nov 20	Completed – no follow up audit required
RecSS 3 (20/21)	RSM Feb 21: Final Report (20/21)	Recruitment – Support Staff Head of Human Resources	Low	The Service will ensure that all pre-employment checks are accurately documented on the HR checklist.	The checklist has been updated (please see attached shell (HR17514 doc) and checks are in place to ensure accurate documentation.	Original Nov 20	Completed – no follow up audit required

