North Lanarkshire Council
Report

Audit and Scrutiny Panel

☐ for approval ☒ for noting   **Ref:** KA/ASP/Dec21   **Date:** 09/12/2021

Audit and risk-related items: Action log

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Executive Summary

The purpose of this report is to allow elected members to track implementation of requests and recommendations made by the Panel in respect of audit and risk-related items in the previous 18 months.

The attached log (at Appendix 1) records those audit and risk-related requests and recommendations made by the Panel and when these were addressed and/or are expected to be addressed.

Recommendations

The Panel is invited to note the report.

The Plan for North Lanarkshire:

Priority: All priorities

Ambition statement   All ambition statements

Ken Adamson, Audit and Risk Manager

Appendix 1   Audit and risk related items: Action log

Meeting	Requests or agreed action	Status
September 2021	A report be brought to a future meeting of the Panel providing information on actions progressed and planned by the Council regarding business continuity and disaster recovery.	**Outstanding** - a report will be brought to the Panel in Cycle 1 in 2022.
	Internal Audit to provide a report to future meetings of the Panel reporting progress made by management implementing agreed management actions in relation to all audit recommendations categorised as "red" or "amber".	**Complete** – A report on this matter is included as a separate agenda item for this meeting.
	Implementation by management of actions agreed in response to External Audit's recommendations to be monitored through reports from Internal Audit.	**Complete** – Progress in respect of relevant agreed actions in the most recent External Audit reports are included as part of the Internal Audit follow-up report included in the papers for this meeting.
June 2021	A report be brought to a future meeting of the Panel providing information on progress/actions planned by the Council to achieve Carbon Net Zero by the timescale agreed by Council.	**Complete** – A report on this matter was submitted to the Panel meeting in September 2021.
	Planned Internal Audit work in respect of procurement should consider the use and prevalence of single tender response contract awards	**Complete** – This matter is addressed in the 'Procurement' audit report included within the Internal Audit Progress Update agenda item for this meeting.
March 2021	Internal Audit to provide update in respect of ongoing response to Covid business grants fraud risks.	**Complete** – Appropriate narrative in relation to this issue is included in the report on NFI which forms part of the agenda for this meeting.
December 2020	Internal Audit to provide more clarity on the impact of Covid-19 on its ability to maintain audit coverage and complete planned work.	**Complete** – Narrative and detailed information in respect of this matter was included within the Internal Audit Progress Report included in the papers for the March 2021 meeting.
	Submit reports on the following key corporate risks in line with the attached future programme: • Economic Regeneration Development Plan (ERDP) (Cycle 1) • Tackling poverty (Cycle 1) • Information governance (Cycle 2) • Public protection (Cycle 2)	**Complete** – Report on those matters indicated as 'Cycle 1' were included as separate agenda items for the March 2021 meeting and for those reports indicated as 'Cycle 2' for the June 2021 meeting.
October 2020	A report be submitted to the next 'audit' meeting of the Panel outlining the route map and timescales for the achievement of PCI DSS compliance.	**Complete** – Reports on this matter were included as separate agenda items for the December 2020 and June 2021 meetings.

Meeting	Requests or agreed action	Status
September 2020	Submit reports on the following two corporate risks: • Information security and information governance • Business continuity planning	**Complete** – A report on the management of the information security/governance corporate risk was due to go to the March 2020 meeting of the Panel which was postponed following lockdown. As agreed in December 2020, a report on the approach to managing this corporate risk was rescheduled for Cycle 2 and was included in the papers for the June 2021 meeting. A report updating members on the current management and assessment of the business continuity planning risk was included as an agenda item for the December 2020 meeting.
	Future annual Whistleblowing Reports be remitted to the Panel from Policy and Strategy	**Not yet due** – a report will be remitted to the Panel after it is next considered by the Policy and Strategy Committee.