



Internal Audit Assurance & Consultancy

Memorandum

To: Paul Froggatt, Borough Solicitor
cc: D Williams, Head of Human Resources
David Traylor, Legal Data Manager
From: Diane Hughes, Audit Technician
Date: 29th April 2008

Subject: **2006/07 Information Management Follow Up**

Introduction

A follow up audit has been carried out on Information Management. The review concentrated on the recommendations arising from the Final Internal Audit Report dated January 2007. There were no recommendations related specifically to SHL in the original Audit therefore although we have been advised that they have their own process and contact officer in place testing has not been carried out in their area.

Follow Up Audit

The results of discussions with the relevant Officers and audit testing have indicated that of the 10 previous recommendations 2 had been implemented 2 had been partially implemented and 6 had not been implemented.

Conclusion

Audit and Consultancy Services recognise that the Information Management Systems are more robust than at the time of the original audit. However the Borough Solicitor has explained that the implementation of most of the recommendations related to the original audit depend on the outcome of an investigation by the Information Commissioner. We understand this viewpoint however the recommendations should be implemented at the earliest opportunity in order that we are not at further risk of investigation by the Information Commissioner. The Borough Solicitor has indicated that the recommendations will be implemented within the first quarter of 2008/09

A full listing of applicable recommendations, together with findings and additional/further action from the follow up review are attached as a schedule to this memo.

Internal Audit & Consultancy would like to remind the Information Management Team that actions and practices adopted to implement these recommendations should be continued in the future. Testing to confirm the implementation of recommendations and further action will be carried out at the next routine audit.

An Executive Summary of the follow up report will be included on the agenda for the next Audit Committee Meeting.

May I take this opportunity to thank all staff concerned for their co-operation during the course of this follow up audit.

Diane Hughes
Audit Technician