

Title	Audit Process Manual
Subject	Chapter 3b – Follow Up Audit Process
Version Control	3.0
Purpose	Outline responsibilities and processes to perform a follow-up audit in all branches
Audience	Network Services Field Team
Next Review date	N/A

Stakeholders

Stakeholders Name	Responsibility
Drew McBride	Head of Network Operations
Craig Tuthill	Head of Network Services
Lee Heil	Network Support Admin Mgr: Reporting

Responsibilities in change

Role	Job Title(s)	Date
Author	Field Team Leaders – Mark Sealey & Kate Harrison	
Assurance	Field Support Change Advisor	
Authorised	Network Field Support Project Manager	
Communication	Field Support Change Advisor	

Version control

Version No.	Reason for issue	Section No.	Date
V1.0	Process updated following Audit Review		Oct 2011
V1.1	Name change amendments: Angela Van den Bogerd replaced by Sally Buchanan	Stakeholders	Sept 2012
V2	Annual Review – Follow Up tool updated		Mar 2013
V3	It has been agreed by Sue Richardson that this chapter of the Audit process Manual is no longer required, as the Branch Standards Team complete follow up activity following an audit. This chapter has now been made obsolete.		May 2015

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Section 1 - INTRODUCTION

1.1 Types of Follow Up Audits -

Business as usual (BAU) Follow Up Audits (type 550) are performed to provide assurance that gaps identified at a previous Audit have been addressed.

Follow Up Audits can also be scheduled as a result of a request by the **Branch Standards Team** and this process is covered in **Appendix A** of this document (type 750 audit).

Section 2 – FIELD TEAM ROLES & RESPONSIBILITIES

2.1 BAU Follow Up Audits are scheduled in response to the risk rating identified on the most recent CAT audit.

2.2 BAU Follow Up Audits will be on the Schedule, and the entry will have the branch code and branch name noted, along with the relevant audit type number. (See EASE – Audit Codes)

2.3 For BAU follow-up audits, the Field Team Member (FTM) must access the latest Follow-Up Tool, and prepare it prior to the audit as per the BAU Follow Up User Instructions, available on EASE.

2.4 On site, the FTM will test that all actions have been addressed and gain assurance that there is evidence to support your findings.

2.5 A cash check must also be performed by the FTM attending the branch.

2.6 The FTM will perform a closing meeting, to discuss the findings on the day.

2.7 After the audit, the FTM will complete the relevant Audit Report, and post a copy to the branch Copies should be emailed to all stakeholders as per latest Audit Report Matrix. (See also Follow Up User Instructions for full instructions on report completion, and also for how to report the findings back via Sharepoint).

2.8 The office **should not be contacted in advance of the audit**, and **may be visited at any time of the working day**. That is, the Field Team have the option to visit an office prior to it opening, as per a financial audit, allowing the cash check part of the visit to be carried out first, and also to then carry out another Follow Up Audit later in the day, if scheduled to do so.

FOLLOW UP AUDITS FOR THE BRANCH STANDARDS TEAM

APPENDIX A

Follow Up Audits can be scheduled as a result of a request by the Branch Standards Team. For example, the Follow Up Audit could be scheduled due to any observed or reported security breach or other issues.

Branch Standards team Follow Up Audits will be on the Schedule, and the entry will have the branch code and branch name noted, along with the relevant audit type number (750).

This type of Follow Up Audit will involve completing the full current CAT tool (**NOT the BAU Follow Up Tool**).

As with the BAU Follow Up Audit process, the office shouldn't be contacted in advance of the visit, and a cash check should also be carried out as part of the visit.

A closing meeting should be carried out at the end of the audit to discuss the findings and recommendations resulting from the audit.

After the audit, the FTM should follow the audit reporting and Sharepoint process for a standard full compliance only audit. (See relevant instructions on EASE).