

APPENDIX B Governance & Audit Committee 22 September 2016

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update August 2016:
Assurance Framework 2015-16	CHIEF FINANCE OFFICER	2 - Medium	30/06/2016	Develop the assurance framework to include arrangements for service managers to evidence how they obtain positive assurances in respect of the effective operation of key controls within their area of responsibility. Annual assurance statements should include a specific tailored statement setting out how these assurances have been obtained, tested and evidenced throughout the year.	The Council's system of corporate governance underpins all the managers' assurance statement, for example data quality and risk management. The current system seeks positive assurance but will be expanded to include the assessed controls underpinning the statement	The Annual Governance Statement was produced by the end of June supported by a more detailed assurance statement detailing the controls in place that managers use for. <i>Internal Audit awaiting evidence to confirm as implemented.</i>
Business Continuity 2012-13	ICT MANAGER	1 - High	31/07/2015	Corporate Support Manager to arrange testing exercises of all BCPs and a complete ICT restore with the ICT Manager to ensure correct information is backed up to allow for the continuation of the Council's services following a disaster.	Agreed	Offsite backup issue still to be resolved. Order placed to double the bandwidth of offsite internet connection. This issue needs to be resolved prior to an invocation dry run. Work was scheduled for Q4 16/17 but agreed with Head of Finance to bring forward.
Contract Management 2013-14	CORPORATE ASSET MANAGER	2 - Medium	31/10/2014	Service Manager Contracted Services ensures that the best practice framework for managing contracts is developed into an approved list of procedure notes, and cascaded to all staff involved with the administration and management of contracts.	Agreed	Following approval of the new procurement SORP incorporating best practice and input from training sessions to provide guidance for all staff across HDC; proportionate approach according to contract risk/value. Aim to complete by end of September 2016.
Contract Management 2013-14	CORPORATE ASSET MANAGER	1 - High	31/07/2014	Service Manager Contracted Services obtains immediate and periodic formal confirmation from contractors that appropriate levels of insurance cover are in place.	Agreed.	Once Contract Register is live on Delta (online e-tendering and contract management portal), this will be incorporated and reminders automatically sent out when insurances are close to expiry ensuring the database is constantly up to date. Complete by end of August 2016. In addition, for construction works, the Council either uses regional or national frameworks, or alternatively requires membership of Constructionline, which ensures that contractors are pre-vetted and insurances are available for review.
Contract Management 2013-14	CORPORATE ASSET MANAGER	2 - Medium	31/10/2014	Service Manager Contracted Services completes the skills gap analysis, and that the Corporate Director Community Services ensures that contract managers receive sufficient levels of training.	Agreed.	Following approval of the new procurement SORP, incorporating best practice and input from training sessions to provide guidance for all staff across HDC; proportionate approach according to contract risk/value. We could realistically complete by end of September 2016. The skills gap analysis may identify training needs which will then be delivered over 6 - 12 month period, subject to training budgets.

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Contract Management 2013-14	CORPORATE ASSET MANAGER	2 - Medium	31/10/2014	Service Manager Contracted Services ensures that the contract performance management framework is embedded across the Council.	Agreed. Will arrange a review of the website to ensure easy access to most up to date versions of key documents.	Following approval of the new procurement SORP, incorporating best practice and input from training sessions to provide guidance for all staff across HDC; proportionate approach according to contract risk/value. We could realistically complete by end of September 2016.
Contract Management 2013-14	CORPORATE ASSET MANAGER	2 - Medium	31/10/2014	Service Manager Contracted Services reviews exit strategies and contingency arrangements for key contracts above a threshold to be determined, to ensure that the Council can continue to provide services in the event of contract termination.	Agreed, although may need to be completed by the Service Manager Commissioning.	In Progress: Once Contract register is live on Delta, we can incorporate this easily; complete by end of August 2016.
Financial Management 2012-13	CHIEF FINANCE OFFICER	2 - Medium	31/03/2014	It is recommended that the Chief Finance Officer develop a Value for Money policy detailing the Council's approach, targets and evaluation of performance, which is communicated to all employees, Members and relevant external parties with training on Value for Money for senior employees and Members to be considered. Consideration to be given to including Value for Money as a standing agenda item at CMT and SMT meetings on a quarterly basis with the Governance and Audit Committee formally allocated responsibility for monitoring the delivery of	To be actioned in conjunction with the Head of Policy, Performance & Partnerships. Presentation to be delivered to CMT on Value for Money and cascaded down to all employees.	A VFM Strategy and Efficiency Plan is scheduled to be considered and approved by the Executive in October 2016. the monitoring of performance and finance is formally considered by Executive and Scrutiny on a quarterly basis and on a monthly basis by senior managers and corporate management team. VFM presentaiton to staff to be delivered after approval of the Strategy
Financial Systems Key Controls 2014-15	CHIEF FINANCE OFFICER	2 - Medium	31/07/2015	The Finance Services Manager makes arrangements to produce and circulate a simple, easy reference, user guide on the e-Procurement system, and signposts the guide on the Intranet.	Agreed at closing meeting	Simple Guides are currently available for requisitioners and approvers. The production of an overall 'simple guide' is being reviewed in light of revised functionality from moving to Version 5 of the e-financials software to be implemented from Q3 of 2016/17. Detailed guides are available on all areas at the moment.
Financial Systems Key Controls 2014-15	FINANCE SERVICES MANAGER	2 - Medium	30/09/2015	Finance Services Manager finalises the financial system recovery plans, and ensures that staff are aware of their responsibilities in the event of financial system failure.	Agreed at closing meeting, and action in progress.	This was implemented. Staff have changed roles during the restructure in February and the BCP is planned to be reviewed.
Financial Systems Key Controls 2015-16	CHIEF FINANCE OFFICER	2 - Medium	30/06/2016	Approval limits should be clearly defined and formally approved at the appropriate level and evidence of this should be minuted.	Exception forms will be set up and signed off by CMT if limits are outside the normal patterns.	Approval limits are current inked to grade. Exemptions are subject to notification and agreement by the S151 Officer. There have been no recent exemptions.
Financial Systems Key Controls 2015-16	FINANCE SERVICES MANAGER	2 - Medium	31/05/2016	A management check should be carried out on the BACS Submission Summary report to confirm the accuracy of the total number and value of items processed. Evidence of this check should be retained on file.	Authorisation check of the actual bacs submission against the proposed batch will now be completed on a weekly basis.	Implemented in May 2016. <i>Internal Audit awaiting evidence to confirm as implemented.</i>

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Financial Systems Key Controls 2015-16	FINANCE SERVICES MANAGER	1 - High	31/05/2016	<p>An exception report which details all new suppliers and amendments to supplier details should be produced on a weekly basis. The report should be checked by an independent officer to ensure all cases are supported by the relevant forms and that verification checks have been evidenced.</p> <p>In addition, all Council officers should be reminded of the importance of verifying the validity of any requests received to amend supplier details using known contact information. Management should ensure that all independent checks are consistently exercised.</p>	<p>There is an existing check report for bank changes with any changes for suppliers with a value over £10K being verified by the Finance Service Manager or S151 Officer.</p> <p>During the audit we now run a report on all bank changes for a month which provides additional assurance.</p>	<p>This should be closed - we confirmed during the audit we implemented this.</p> <p><i>Internal Audit awaiting evidence to confirm as implemented.</i></p>
Information Management 2013-14	CORP SUPPORT MANAGER	2 - Medium	31/12/2015	<p>Corporate Services Manager leads an initiative to encourage all service managers to provide information on the publication list in a format that can be uploaded to the Council's website, potentially reducing the increasing numbers of FoI requests.</p>	<p>Linked to new website to go live end of Dec 14. Managers to be reminded of their responsibility to ensure their services' data is published on the website.</p>	<p>This is an ongoing project by the Information and Complaints Officer.</p>
Information Management 2013-14	ICT MANAGER	2 - Medium	31/03/2015	<p>ICT Manager arranges for a condensed refresher version of the key elements of the ICT Security Policy to be available on the learning pool. The HR Manager arranges for all officers to complete the module annually as part of the compulsory training suite and for Members to be encouraged to do the same as a matter of good practice</p>	<p>The ICT Security Policy is being reviewed during the summer as part of the PSN compliance. The online training cannot be established until the policy has been reviewed/ amended. Estimated completion March 2015. Staff however can be reminded to revisit the policy via core brief messages.</p>	<p>Security Policy reminders issued in Core Brief sessions.</p> <p>Learning Pool upgrade complete, HDC ICT currently testing. Upon completion of this testing and the resolution of any issues arising go live of the Learning Pool module can be scheduled.</p> <p>Responsible for Information National Archives e-learning</p>
Information Management 2013-14	CORP SUPPORT MANAGER	2 - Medium	31/12/2015	<p>Corporate Services Manager considers the need for developing a more comprehensive data management policy for the Council that reflects the needs of the Council and its partners.</p>	<p>Agreed</p>	<p>This action now programmed for Quarter 3 and 4 of 2016/17 by the Corporate Service Manager.</p>