

**APPENDIX B Governance & Audit Committee 4 March 2020**

Audit:	Officer Responsible:	Grade:	Target Date:	Proposed Date:	Recommendation:	Agreed Action:	Latest Officer Update:
Business Continuity 2012-13	ICT Manager	High	31/07/2015	31/12/2019	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	February 2020: In addition to full infrastructure and system testing in IT (50+ tests), testing of the following systems has been completed with staff: *TLC *Elections *Uniform (sys-admin functions) For the 2020/21 financial year, and moving forward, we will make testing of IT systems available as part of the service areas normal BC/DR exercises – something we have not traditionally been able to offer.
Information Management 2013-14	ICT Manager	Medium	31/03/2015	31/03/2020	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	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.	February 2020 : ICT Manager: In progress: This is to be launched as an online refresher as part of the new IT service desk, which is to go live by end of March 2020.
Counter Fraud and Ethical Governance 2017-18	Finance Services Manager	Low	31/03/2018		Any relevant NFI matches on conflicts of interest should be reviewed and investigated as appropriate.	Agreed. The Head of Legal and Democratic Services to liaise with the Head of Revenues and Benefits Partnership to carry out a proportionate NFI check on conflicts of interests	September 2019: Outstanding. FSM will liaise with Revs & Bens manager and Verina Wenham on the history of this audit recommendation. Will then agree a process to ensure this recommendation is implemented promptly.
Cash Handling 2018-19	Community Partnerships Manager	Medium	31/03/2019		Establish alternative payment arrangements for Health and Wellbeing services to minimise cash handling wherever possible. Where cash payment remains unavoidable ensure appropriate and effective controls are in place to minimise the risk of fraud and ensure all cash is promptly and accurately accounted for. For example, reconciliation of cash collected to attendance records, safe storage of cash pending collection and banking and increasing the frequency and timeliness of collection and banking arrangements.	We are currently in discussions with the budget manager for Health and Wellbeing and will implement some suggested improvements in conjunction with this service.	February 2020 - In Progress – A new system has been introduced whereby the leisure team do not handle cash and the instructors pay the money directly into our account. This has not worked very well to date, as such new service level agreements are being drafted for the providers to require them to pay money in monthly, with auditable records. The new SLA will be signed and in place from April 20.
General Data Protection Regulations (GDPR) 2018-19	ICT Manager	Low	31/03/2019		The ICT security policies should be reviewed and updated accordingly and details of this should be communicated to all staff.	Agreed.	February 2020 - ICT Manager: In Progress: This is part of the new Info Sec policy, however the guidance from NCSC/Microsoft is changing so we will be presenting a recommendation to CMT for change once the implications have been reviewed. The changes should make things more secure, yet simpler for users. Target for the report is April 2020.
General Data Protection Regulations (GDPR) 2018-19	Information Governance Officer	Low	31/12/2018		All policies should be approved by the Executive (who lead the approval of the Council's policies) and following this, a formal sign-off process should exist to provide assurance that all employees have read and understood the relevant published policies.	Agreed	August 19: Outstanding. To be raised at the Information Governance Board August 2019. There is some debate as to whether these documents need to be politically assessed as they pertain to operational concerns

**APPENDIX B Governance & Audit Committee 4 March 2020**

Audit:	Officer Responsible:	Grade:	Target Date:	Proposed Date:	Recommendation:	Agreed Action:	Latest Officer Update:
Business Continuity and IT Disaster Recovery 2018-19	Corporate Services Manager	Low	31/07/2019		Outcomes of business Continuity exercises should be collated into an action plan with clear actions assigned to members of staff and a suitable timeframe to complete them. Follow up meetings would ensure that actions were reviewed and non-compliance could be escalated.	Agreed	February 20: Action plans will be put in place with effect from next BCP exercise.
Grow on Space - [Embedded Assurance] 2018-19	Chief Officer: Finance & Assets	Low	30/11/2018		The Project Members' Board and Officer Project Team terms of reference should be finalised and formally approved at the next available Board meeting.	Agreed	February 20: Management notes the recommendations for future projects. The Project team and Board are shortly to be disbanded as the Building has now been constructed and is considered business as usual.
Grow on Space - [Embedded Assurance] 2018-19	Chief Officer: Finance & Assets	Low	30/11/2018		All gateway reviews completed to date should be formally signed off by the gateway approver(s) and future gateway reviews should be documented and signed off in a timely manner in future.	Agreed	February 20: Management notes the recommendations for future projects. The Project team and Board are shortly to be disbanded as the Building has now been constructed and is considered business as usual.
Safeguarding 2019-20	Equality and Diversity Officer	Medium	02/10/2019		Ensure all Members undertake mandatory online training and receive planned face to face training session. The training should inform members, but is not limited to: <ul style="list-style-type: none"> <li>• the Members' safeguarding area on the Intranet pointing where to find the Council's safeguarding policies and information;</li> <li>• who and how to report safeguarding concerns to; and</li> <li>• functions of the multi-agency framework.</li> </ul>	In process. Reminder to be sent out to members to complete online modules before face to face training session. Online modules available and require completion before face to face mandatory training session on 02.10.19	November 2019: In Progress. Training had to be cancelled due to low number of members booked onto the session. Discussions will be taking place regarding new date etc.
Freedom of Information 2019-20	Information Governance Officer	Medium	04/11/2019		Internal review requests should be formally signed off by the relevant Head of Service or the Joint Chief Executive prior to release. The internal review acknowledgment email template as well as the Council's website should be updated to refer to the existing posts in accordance with the current management structure.	Agreed. With the small numbers involved, this is not likely to impact on any performance criteria.	February 20: Internal Review Requests to be signed off by relevant Head of Service or Joint CEO.