

APPENDIX B Governance & Audit Committee 10 March 2016

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update February 2016:
Business Continuity 2012-13	CORP SUPPORT 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	Testing has taken place on revised BCP plans and documentation. Further testing of ICT restore planned for 2016/17. Action complete  <i>Audit note: this action will be marked as complete when the ICT restore test has been completed and evidenced.</i>
Capital Programme 2015-16	CORP SUPPORT MANAGER	2 - Medium	31/10/2015	Business Development and Programme Manager establishes a central record or library of completed post project reviews. Business Development and Programme Manager to also establish whether project management documentation for all projects could be filed in an electronic folder which is accessible to other project managers.	Agreed	Post project reviews complete. Outstanding action to collate in one place. Programme Manager allocated this task to do - Action complete  <i>Audit note: awaiting evidence of completed actions. Recommendation will be marked as implemented when evidence of completion of all aspects of the recommendation has been received.</i>
Counter Fraud General Arrangements 2013-14	H OF LEGAL SERVICES MO	2 - Medium	31/03/2015	Head of Legal & Democratic Services ensures that at the next update of the Counter Fraud Strategy, reference is made to national strategies such as Fighting Fraud Locally, and the Local Government Fraud Strategy. The Strategy should also include reference to the Council's responsibilities under the Money Laundering Act and the Bribery Act.	Agreed to devise a covering note to include references to initiatives and legislative changes and will put it on the website to be read in conjunction with the policy.	Counter fraud documentation and training updated and provided in 2015/16. Website still to be updated.  <i>Audit note: awaiting evidence of completed actions. Recommendation will be marked as implemented when evidence of completion of all aspects of the recommendation has been received.</i>
Counter Fraud General Arrangements 2014-15	H OF LEGAL SERVICES MO	2 - Medium	30/06/2015	The Head of Legal Services should arrange to chase up the two Members who have not completed forms, and ensure appropriate review of forms for consistency and completeness following a refresh of all Members' forms after the election in May 2015.	Agreed. Declaration forms must be completed by elected Members within 28 days of election. The Head of Legal Services will ensure review of forms for consistency and completeness and arrange for a check to be undertaken to ensure upload to the website is complete.	Review of completed registrations reported to Governance and Audit Committee in 2015. Action complete.  <i>Audit note: awaiting evidence of completed actions before marking recommendation as implemented.</i>

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Financial Management 2012-13	H of Financial Services & S151	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 Value for Money.	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.	The Value for Money Strategy will be incorporated into the Efficiency Plan to be submitted in October 2016
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.	The User guide has been produced. Action taken to upload on the intranet. Action Complete  <i>Audit note: awaiting evidence of completed actions before marking recommendation as implemented.</i>
Financial Systems Key Controls 2014-15	FINANCE SERVICES MANAGER	2 - Medium	31/07/2015	Finance Service Manager, in the absence of exception reporting:  <ul style="list-style-type: none"> <li>• Reviews the schedule of additional employee payments each month for reasonableness;</li> <li>• Adopting a risk based approach, verifies the accuracy and validity of any additional payments which appear large or unusual.</li> <li>• Evidences approval of the payroll analysis, by email, before the payments are processed.</li> </ul>	Agreed.	Action Complete  <i>Audit note: awaiting evidence of completed actions before marking recommendation as implemented.</i>
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.	Recent changes in Financial Team structure require recovery plan to be refreshed and updated - expected to be completed in Q1 2016/17
Information Management 2013-14	H OF LEGAL SERVICES MO	2 - Medium	31/12/2014	HR Manager brings to the attention of Members for consideration to voluntarily undertake annual refresher training on data protection and information management, in line with the requirements for officers to undertake compulsory annual training.	Principal Democratic Officer is responsible for Member development. HR to provide audit of training to PDO. Training cannot be compulsory for members unless as statutory duty.	Training was provided as part of Member Induction Programme on 27th May. Action complete  <i>Audit note: awaiting evidence of completed actions before marking recommendation as implemented .</i>

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Information Management 2013-14	ICT MANAGER	2 - Medium	31/03/2015	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.	ICT Security Policy considered as part of the induction, The e-learning module has been uploaded to learning pool for roll out - Action complete.  <i>Audit note: awaiting evidence of completed actions before marking recommendation as implemented.</i>
Local Taxes 2014-15	H of PARTNERSHIP (Revs & Bens)	2 - Medium	01/09/2015	Policies & procedures Consideration should be given to re-introducing quality audits to ensure consistency and accuracy of work.	Agreed.	Quality audits are undertaken by the partnership. Discussions with Head of Internal Audit on whether additional testing needs to be undertaken in production of workbooks for Housing Benefit.  <i>Audit note: awaiting evidence of completed actions before marking recommendation as implemented.</i>
Measuring Benefit Realisation 2014-15	CHIEF FINANCE OFFICER	2 - Medium	30/09/2015	Business Development and Programme Manager (in conjunction with the Head of Financial Services, Assets & Section 151 Officer) develops a Benefits Management Strategy that defines and outlines the Council's approach and ambitions in relation to Benefits Realisation.	Strategy and approach to benefits realisation will be included in a wider Value-For-Money Strategy, which will be approved and published by the end of December 2014	The Council approved its MTFS on 22nd February and plans to produce an efficiency plan for October 2016 incorporating updated approaches to VFM and benefit realisation.
Contract Management 2013-14	CONT SERVICES 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	Training within the contracted services team is complete. Plans being developed for wider cascading to service teams.  <i>Audit note: awaiting evidence of completed actions.</i>
Contract Management 2013-14	CONT SERVICES MANAGER	2 - Medium	31/10/2014	Senior Management Team develops and maintains risk registers for Council contracts above a pre-determined schedule, and ensures that risk is included as a standing agenda item at contract management meetings.	Agreed by Service Manager Contracted Services	Completed  <i>Audit note: awaiting evidence of completed actions.</i>
Contract Management 2013-14	CONT SERVICES 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.	Confirmation of insurances have been received since the audit. Action complete  <i>Audit note: awaiting evidence of completed actions.</i>

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Contract Management 2013-14	CONT SERVICES 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.	Training undertaken in December . Action complete  <i>Audit note: awaiting evidence of completed actions.</i>
Contract Management 2013-14	CONT SERVICES 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.	This area is being actioned. Updated procurement SORP considered at Constitutional Review Committee
Contract Management 2013-14	CONT SERVICES 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.	The Council's key contracts with FCC and HDLT are long term contracts. The value and lack of alternative providers who could be mobilised in a short period of time limits the ability to develop full exit strategies and contingency arrangements. However, regular operational meetings develop and monitor business continuity arrangements linked to short term service disruption  <i>Audit note: awaiting evidence of completed actions.</i>