


**APPENDIX B Governance & Audit Committee 16 November 2016**

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update October 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 process for producing the 2015/16 Annual Governance Statement evidenced areas of assurances sought. Management view is that this actions is now business as usual and can be closed.  <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	The Council is currently resolving with suppliers offsite backup issue resolution. This means that the planned ICT Disaster Recovery exercise will slip from quarter 3 to quarter 4 of this financial year
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	The Council has subscribed to the Delta System, which includes contract management tools to assist. Copies of screen shots attached. This system is available for all staff to utilise, and over time all contracts will be uploaded to the system.  
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.	This information is being uploaded to delta, which will, also, set up reminders for future expiries to ensure they are updated annually.
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.	The Council has subscribed to the Delta System, which includes contract management tools to assist. Copies of screen shots attached above. This system is available for all staff to utilise, and over time all contracts will be uploaded to the system.

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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.	The Council has Business Continuity Plans in place including the major contracts. Information will be held on the Delat System in future.
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 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 Council approved an efficiency plan on the 10th October 2016 that embedded VFM principle. A series of training on efficiency and effectiveness will be developed to ensure that these principles are embedded in decision making and operational practices. This area will be a quarterly standing item on the officer led Performance Improvement Board.
Financial Systems Key Controls 2014-15	FINANCE SERVICES MANAGER	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	The guide is on the intranet.  <i>Internal Audit awaiting evidence to confirm 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.	The implementation was delayed due to the Finance Service review and subsequent restructure and illness.
Financial Systems Key Controls 2015-16	FINANCE SERVICES MANAGER	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.	Any deviation from the approved limits is now subject to review by the Finance Services Manager. There have been no recent variations.
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.	This is completed weekly - evidence will be provided, this was not picked up during long term illness.

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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>	This is completed weekly - evidence will be provided, this was not picked up during long term illness
Information Management 2013-14	CORP SUPPORT MANAGER	2 - Medium	31/12/2015	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.	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.	Review of publication scheme is underway and programmed in team plan for completion in quarter 4 (2016/17 Team Plan). Review being undertaken in conjunction with review of Transparency Code and Inspire Regulations requirements
Information Management 2013-14	CORP SUPPORT MANAGER	2 - Medium	31/12/2015	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.	Agreed	Originally programmed for completion in quarter 3 but re-scheduled for completion in quarter 4 (206/17 Team Plan) due to work priorities.
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.	In progress. E-mail notification of course completion issues. Test access to be enabled by L&D Officer to enable final testing.