APPENDIX C Governance & Audit Committee 14 July 2015

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Current Status:	Officer Update:
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.		This action will be completed by the 31st July 2015
Counter Fraud General Arrangements 2014-15	H OF LEGAL SERVICES MO	1 - High	31/03/2015	The Head of Legal Services should review the Transparency pages and make arrangements to ensure that the remaining required information is made available as soon as possible to reduce the risk of failing to comply with the Transparency Act, which may lead to negative publicity and financial penalties.	The Head of Legal Services is aware that some information is not yet available on the website. Agreed to reconvene the Transparency Task Group to get this completed. Meeting arranged for w/c 23.03.2015. Completion Report to be submitted to Corporate Management Team on 01.04.2015.		The Transparency task group met on 25th March 2015 to revuew the outstanding items on the webpage. Amy outstanding items were allocated and a report produced for the Corporate Management Team that was approved on the 29th April. The Transparency Group will meet on a six monthly basis to keep under review
Corporate ICT 2012-13	ICT MANAGER	2 - Medium	31/10/2013	ICT Manager undertakes a review of all signed employee internet access agreements to determine the number of absent agreements. ICT Manager ensures that all current employees have signed internet access agreements. ICT Manager develops and maintains an electronic central record of all signed internet access agreements.	Yes, agree that a review is required. An (off the shelf) product to manage electronically policy acceptance will be investigated (time permitting).	In Progress	A module on Learning Pool for ICT Policies is in the process of being created. It is proposed that the completion tracking mechanism built in to Learning Pool will record acceptance.
IT Systems Administration 2014-15	ICT MANAGER	2 - Medium	31/05/2015	The Council's change control procedures should be documented including key controls such as a arrangements for a back-up of the system and the running of the system in a test environment with feedback on issues identified before 'go live' dates. Internal Audit will share examples of such procedures developed by other local authorities as examples of good practice.	ICT will review any good practice examples shared. A flowchart of the Change Management process was discussed as a potential method of documentation and will be produced.	Outstanding	An example of a process map has been supplied. This will be reviewed and similar process flow will be created for the two processes referenced.
Debtors 2012-13	FINANCE SERVICES MANAGER	2 - Medium	30/09/2014	Finance Services Manager to update the Council's Corporate Debt policy to include clear guidance on the recovery process to be followed, time frame for each stage of recovery and processes to be followed to recover outstanding amounts.	Agreed		The polkicy was approved by Executive on the 1st Decenber 2014. It was then referred to the Constitutional Review Committee to revise the write-off limits in Financial Proceedure Rule 11. This has not yet formally been approved by Council. At the moment, the Council are applying the Corporate Debt Policy but using the old write-off limits
Data Quality Review 2014-15	CORP SUPPORT MANAGER	2 - Medium	31/03/2015	The Data Quality Policy is updated from the 2010 version, to cover: new roles and job titles; updates for legislation, guiding principles (as per the Audit Commission report – Standards for better Data Quality) and best practice	Agreed – We are in the process of updating the Policy		This has been included in Corporate Services Team Plan for 2015/16

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Data Quality Review 2014-15	CORP SUPPORT MANAGER	2 - Medium	31/03/2015	The Corporate Support Manager arranges that the Action Plan that accompanies the Data Policy is also updated and the relevant / remaining actions incorporated into Service Plans and goals for all service managers that work with data (these can then be monitored through the TEN system)	Agreed. This will be reviewed and updated as part of the update of the Policy		This has been included in Corporate Services Team Plan for 2015/16
Data Quality Review 2014-15	CD Corporate Resources	2 - Medium	31/03/2015	Corporate Director – Resources (in their role as Data Champion) issues guidance to managers on how spreadsheets for calculating management information should be maintained – with re-input of data minimised and source data directly referenced wherever possible.	Agreed		The Performance Improvemnet Board (PIB) revewed dta quality calculations through sample checking and targeted support to Service Managers by the Business Planning Officer
Equalities Act Compliance 2014-15	CD CORPORATE RESOURCES	1 - High	31/05/2015	E&D Officer enhances the training material on the learning pool with relevant legislative updates and liaises with the HR Team to establish a timetable to deliver appropriate training to all employees and Members to ensure they understand their role and responsibilities in complying with the Equality Act, including completion and review of Equality Analysis documents	The Staff training module has been updated and is ready for roll out from the end of June 2014. Additional face to face training will be provided for report authors. The E&D Officer is providing briefing sessions to all new starters, and update sessions for all other staff. The E&D Officer is updating the Member training module and the Equality Analysis writing module. Further training is planned for Autumn 2014 for Members regarding their responsibilities and accountability in relation to scrutiny and consideration of equality issues as part of their decision making. Additional training at induction of new Members (and refresher training for re-elected Members) will be arranged after the May 2015 elections.		Completed: Updated learning pool modukle has been rolled out to all staff as mandatory training. One to one traing with new starters os embedded. Compulsory Member traing sessions delivered 25th June 2015
Equalities Act Compliance 2014-15	CD Corporate Resources	2 - Medium	31/03/2015	E&D Officer establishes measurable targets for the identified objectives in the Equality Plan, and reports progress at least annually to the Council as part of the performance management framework.	Actual performance against the objectives is reported in the Annual Workforce Comparison Report. The E&D Officer agreed that measurable targets are not explicitly identified in the Equality Plan or how performance will be measured and reported. The E&D Officer agreed that this will be made more explicit in the next iteration of the Equality Plan so it is clearer to those accessing the Equality Plan that achievement of objectives and targets are measured and reported.		Equlaity Plan has been updated to include measurable targets. Awaiting CMT sign-off

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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.	In Progress	The VFM Strategy is being drafted and will be reviewed by the Officer Performance Improvement Board prior to consideration by the Governance and Audit Committee
Information Management 2013-14	CORP SUPPORT MANAGER	1 - High	31/12/2014	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 thw Council publication scheme has been completed as Team Leader Developmnet Project. It should be noted that although desirable , it is not an essential requirement that information is available electronically - it is acceptable for it to be available for inspection in paper form or at the Council office. Output from the Team Leader Developmnet programme to be reviewed prior to publication - December 2015
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.		Data protection is included in the draft induction plan . Further consideration to be given to provisions of refresher training through learning pool.
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	A module on Learning Pool for ICT Policies is in the process of being created. It is proposed that the completion tracking mechanism built in to Learning Pool will record acceptance.
Information Management 2013-14	CORP SUPPORT MANAGER	1 - High	28/02/2015	Corporate Services Manager arranges for a data audit to establish an index of the data sets held by the Council.	Agreed		Data audit has been completed. Currently under review prior to publication

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Information Management 2013-14	CORP SUPPORT MANAGER	2 - Medium	31/12/2014	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		Prepartion of Data Management Policy included in Corporate Services Tea, Plan for completion in December 2015
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		Work to achieve these recommendations is in progress at the moment. Contract management principles have been developed using CIPS (Chartered Institute of Procurement and Supply) recommended practice and they are being used for the management of the Environmental Services and Leisure Contracts. This needs to be rolled out to the Pest Control/Dog Warden Contract within the team and then to other Service Managers at HDC with contract management responsibilitie
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		As above
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.		As above
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.		As above
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.		As above

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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.		As above
Payroll & Employee Benefits 2012-13	FINANCE SERVICES MANAGER	1 - High	30/09/2013	The Finance Services Manager formally requests LCC to use .gscx mail for the sending and receiving of sensitive data, including the monthly PSA spreadsheet. Password changes should also be requested.	FSM agreed to contact LCC to request this		There is a new agreemnt drafted to be sealed prior to 1st July 2015 which incorporatesd the requirements to send reports etc via GCSX mailboxes