

APPENDIX B Governance & Audit Committee 15 November 2017

Audit:	Officer Responsible:	Grade:	Target Date:	Proposed Date:	Recommendation:	Agreed Action:	Latest Officer Update:
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	Feb 17 response - Conversations held with DR provider. Pre-rehearsal documentation received. PC received to create DR environment build. Rehearsal date in March requested. October 2017 Response: A Disaster Recovery exercise was undertaken in April 2017 which due to technical issues was not able to achieve a full restore. A further DR exercise is scheduled in 2017/18
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.	Feb 17 response - Testing TBA: October 2017 Response: The Security Policy is on the learning zone. The content is being reviewed due to recent changes by the ICT Manager and will be launched during 2017/18
Contract Management 2013-14	CORPORATE ASSET MANAGER	2 - Medium	31/10/2014	31/12/2017	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	November 17 response - It has been recognised that this area has not been progressing as expected. Subsequently, it has been agreed to provide additional resources to address these issues to meet a revised deadline of December 2017. On target to complete action.
Contract Management 2013-14	CORPORATE ASSET MANAGER	2 - Medium	31/10/2014	31/12/2017	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.	November 17 response - It has been recognised that this area has not been progressing as expected. Subsequently, it has been agreed to provide additional resources to address these issues to meet a revised deadline of December 2017. On target to complete action.
Contract Management 2013-14	CORPORATE ASSET MANAGER	2 - Medium	31/10/2014	31/12/2017	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.	November 17 response - It has been recognised that this area has not been progressing as expected. Subsequently, it has been agreed to provide additional resources to address these issues to meet a revised deadline of December 2017. On target to complete action.
Planning Service Review 2015-16	CORPORATE DIRECTOR (NP)	2 - Medium	31/10/2016	31/08/2017	A post implementation review should be conducted once the remaining actions have been completed to confirm the achievements and any areas requiring ongoing review. An assessment should also be undertaken to identify any risks which need to be managed following the completion of the plan and to confirm how these will be managed in business as usual. This report should also reflect upon the costs of delivering the plan against the £90,000 approved in the 2014/15 budget and any savings on service budgets achieved from the performance improvements.	The post implementation review will be carried out when the constitutional related items have been completed. The report will cover the costs of delivering the plan the headline costs are the new Head of Planning post (circa £78k including on costs) and the cost of providing consultants to lead on appeals ( which varies each year but will be approximately £7K).	October 17 response - The report to Council on the majority of the constitution changes was further delayed until the September 2017 Council meeting. There is one outstanding item which will be discussed at the November Constitutional Review Committee and the post implementation review therefore is likely to be completed by March 2018.

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Planning Service Review 2015-16	CORPORATE DIRECTOR (NP)	2 - Medium	31/10/2016	31/08/2017	A formal update on progress against the Improvement Plan should be provided to the Executive to demonstrate the successes achieved to date and to provide assurance over progress being made on outstanding actions.	It is suggested that the post implementation review will include a summary on the implementation of the plan.	October 17 response - The report to Council on the majority of the constitution changes was further delayed until the September 2017 Council meeting. There is one outstanding item which will be discussed at the November Constitutional Review Committee and the post implementation review therefore is likely to be completed by March 2018.
Financial Systems Key Controls 2016-17	FINANCE SERVICES MANAGER	3 - Medium	31/03/2017		An appropriate review should be undertaken to provide assurance on the accuracy of information produced in relation to PI reporting of PO and non-PO invoices.	A full review of the data extracts and reports in respect of payments of creditors will be undertaken during 2016/17. Sample checks will be undertaken by the Financial Services Manager on a quarterly basis.	October 2017 response: A review has been undertaken, and sample checks are being undertaken, evidence needs to be provided to Internal audit.
Fees & Charges 2016-17	H OF FINANCE (s151)	2 - Medium	31/03/2017		As part of the annual review process, budget holders should be required to provide evidence to the finance team that all fees have been reviewed in accordance with corporate policies and principles regarding inflation assumptions, income maximisation, cost recovery, commercial considerations and any concessions. This information should also be provided to Members as part of the annual approval process (see example form at Appendix 1).	Fees and Charges template to be used for the 2017/18 budget and referenced to the published fees and charges schedule approved by Council (31/03/2017). Portfolio Challenge Session on fees and charges for 2018/19 to be initiated (31/12/2017).	October 17 response - This process has been undertaken in preparation for 2018/19 fees and charges. S151 Officer had advised as complete. Internal Audit awaiting supporting evidence.
Fees & Charges 2016-17	H OF FINANCE (s151)	2 - Medium	31/03/2017	31/12/2017	Arrangements should be made to ensure that all costs are accurately identified and allocated to relevant accounts. Where costs are allocated based on staff time, this should be supported by ongoing or regular sample time recording exercises. The budgeted net surplus or deficit should be reported to Members as part of the annual review and approval process (see R4 above).	Recharges have been reviewed during 2016/17 and will be integrated into the Council's budget reporting process (31/03/2017). Annual refresh of recharge drivers to be initiated (31/12/2017). It is not proposed to implement individual trading accounts as for many services there will be a number of fees and charges relating to one cost centre. Individual queries will be investigated through the use of the Council's collaborative planning system.	July 17 response - The new recharge model has been developed. Further work has been identified to facilitate recharges for 17/18. Expected completion date 31st December 2017. October 2017 Response -# Further work is required on the electronic recharge model to ensure accurate reallocation of costs and recharges. This work is being undertaken by an external consultant and us being progressed as a matter of urgency