

APPENDIX B Governance & Audit Committee December 2020

Audit:	Officer Responsible:	Grade:	Original Target Date:	Proposed Date:	Recommendation:	Agreed Action:	Latest Officer Update:
Safeguarding 2019-20	Equality and Diversity Officer	Medium	02/10/2019	TBC	<p>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:</p> <ul style="list-style-type: none"> • the Members' safeguarding area on the Intranet pointing where to find the Council's safeguarding policies and information; • who and how to report safeguarding concerns to; and • functions of the multi-agency framework. 	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	October 2020 - There are still 6 members outstanding with regard to completing safeguarding training. This has been raised with CMT and the Cabinet Lead member for safeguarding to progress.
IR35 Compliance Agency Staff 2019-20	HR Manager	Low	28/02/2020	TBC	<p>Amend the relevant section within the recruitment and selection policy or Create a management guide and/or other materials to increase and maintain awareness of IR35 requirements and responsibilities, such as periodic articles in the staff newsletter or briefing notes. These could usefully include details of the circumstances in which appointment of off-payroll workers is acceptable, the role and responsibilities of managers making appointments, procedures to be followed and records to be retained, including any standard forms and letters. It could also include guidance on the following:</p> <ul style="list-style-type: none"> • Which appointments require completion of the HMRC employment status checker tool; • Guidance and examples on how to answer key questions in the HMRC tool; • How to deal with marginal or inconclusive cases; and • The relative employment rights of different classes of appointment. 	Agreed	<p>Will be completed by 31st December 2020</p> <p>the R&S policy has been revised and waiting publishing. This will be completed by the end of December 2020 once the Head of Paid Service and Unison have reviewed the revisions and signed it off. 'Any non Council workers, which excludes those on the Council internal casual bank workers list, must complete a Temporary Staff Resourcing Request IR35 form from the Finance pages of the intranet prior to confirming the temporary appointment which is then signed off by HR before being checked by the service areas Finance Business Partner. Further details of the IR35 process can also be found on the Finance pages of the intranet: http://www.harborough.gov.uk/intranet/directory_record/4868/finance_templates_and_forms'. Managers will be updated if the regs change and will be issued with reminders, and new managers informed of the process.</p>
Freedom of Information Requests 2019-20	Information Governance Officer	Low	31/03/2020	30/11/2020	<p>Ensure that existing members of staff and Members complete the FOI online training module.</p> <p>The refresher training should be offered to all staff and Members at least every three years.</p>	<p>The module has been replaced and updated recently. This can be actioned with a short period of time</p> <p>Agreed. See due date.</p>	In Progress: Training Officer contacted regarding the re-release of both FOI and annual Data Protection Learning Pool Modules. The plan is to release both modules for training in January 2021 with a 6 week deadline for completion. This will accord with information governance requirements and close this audit requirement. Information Governance Officer to monitor take up and completion of both modules and ensure that they are released on an annual (DPA) and Biennial (FOI) basis to avoid skills and knowledge deficits and serve as a basic reminder from this point forward.
Freedom of Information Requests 2019-20	Information Governance Officer	Low	31/03/2020	30/10/2020	Update links and information available via the Publication Scheme.	<p>Agreed.</p> <p>This should be reviewed on a regular basis.</p>	September 2020 - In Progress - This has not been a priority task, but the review will be complete by the end of October 2020.