Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update June 2016:
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	In Progress - Offsite backup issue still to be resolved. This needs to be completed prior to invocation dry run. Work was scheduled for Q4 16/17 but agreed with Simon Riley to bring forwards.
Capital Programme 2015-16	CHIEF FINANCE OFFICER	2 - Medium	31/03/2016	Head of Finance and Commercial Services (s151 officer): • Ensures that project management guidance and training is updated to raise awareness of risks associated with external funding, and how risks transferred to third parties are to be recorded and monitored, so that feasibility of capital projects can be determined as early as possible in the project lifecycle; and • Ensures that progress on securing external funding is monitored by the Capital Programme Board and that compliance with attached terms and conditions is included as a standard item in formal progress reports.	These issues are formally considered as part of business plans and project initiation documentation. Updates on the status of external funding status will be added as standard item on the Capital Programme Board. This section will be further developed on Capital Bid form.	The Capital Programme was approved in February 2016. Projects such as the move on space project which may secure significnat external funding would be subject to a separate full appriasal. Recommend this action is closed. *Audit note - recommendation not yet closed pending evidence of implementation.*
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	In Progress - Following approval of the new procurement SORP incorporating best practice and input from training sessions to provide guidance for all staff across HDC; proportionate approach according to contract risk/value. Aim to complete by end of September 2016.
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.	In Progress - Once Contract Register is live on Delta (online e-tendering and contract management portal), this will be incorporated and reminders automatically sent out when insurances are close to expiry ensuring the database is constantly up to date. Complete by end of August 2016. In addition, for construction works, the Council either uses regional or national frameworks, or alternatively requires membership of Constructionline, which ensures that contractors are pre-vetted and insurances are available for review."

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update June 2016:
Contract Management 2013-14	CORPORATE ASSET 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.	In Progress - Following approval of the new procurement SORP, incorporating best practice and input from training sessions to provide guidance for all staff across HDC; proportionate approach according to contract risk/value. We could realistically complete by end of September 2016. The skills gap analysis may identify training needs which will then be delivered over 6 - 12 month period, subject to training budgets.
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.	In Progress - Following approval of the new procurement SORP, incorporating best practice and input from training sessions to provide guidance for all staff across HDC; proportionate approach according to contract risk/value. We could realistically complete by end of September 2016.
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.	In Progress - Once Contract register is live on Delta, we can incorporate this easily; complete by end of August 2016.
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 VFM strategy and the Efficiency Plan are scheduled to be considered by the Executive in October 2016. Through the PIB and the Council's programme and performance team a programme of training on identifying the 3Es, clearer identification of outcomes and benefit realisation will be cascaded through the organisation.
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 at closing meeting	Due to the long term absence of the Financial Services Manager the review of revised documentation and subsequent issue is still to take place.

APPENDIX B Governance & Audit Committee 27 July 2016

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update June 2016:
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.	Due to the long term absence of the Financial Services Manager the review of revised documentation and subsequent issue is still to take place. Recovery Plans are in place and appointed team leaders would be able to action the current business continuity plan prior to this update.
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.	In Progress - Work underway (Information and Complaints Officer)
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 - Update received on the Learning Pool upgrade; to be performed by the supplier. HDC's L&D officer advised the supplier work should be complete by Wednesday of next week (6th July). HDC ICT to then progress our remaining work.
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	Included in Team Plan for 2016/17 quarters 3 and 4
Local Taxes 2014-15	H of PARTNERSHIP (Revs & Bens)	2 - Medium	01/09/2015	NNDR Policies & procedures Consideration should be given to re-introducing quality audits to ensure consistency and accuracy of work.	Agreed.	In Progress - A new performance software tool has been purchased and we are currently working with the provider in developing the product to meet our needs. The product will contain various features to include QA module. Our plan is that the new software will be fully operational by October 2016. Server upgrade is required which is with both Capita and partnership internal ICT provider to make the required changes.

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update June 2016:
Section106 Agreements 2015-16	STRAT PLANNING MANAGER	1 - High	28/02/2016	The individual/collective responsibility for leadership and co-ordination of the full end-to-end process for managing s106 agreements should be clearly allocated. At the time of testing there were areas where a lack of overview of the full process had resulted in gaps in the control framework and some areas of duplication.	The end to end process will be reviewed and an evaluation of the most effective means of providing effective management to the whole process will be undertaken, the optimum solution identified and implemented.	Further to the April project report, a detailed report was presented to CMT on 11 May containing the outcomes of the s106 Project which include a review of the end-to-end process. Effective management of the whole process lies with the Strategic Planning Manager who is reviewing posts needed for delivery of s106 monitoring and potential implementation of CIL. CMT have asked for a further report on this matter for its meeting on 6th July.
Section106 Agreements 2015-16	STRAT PLANNING MANAGER	1 - High	28/02/2016	The Council should review the allocation of individual responsibilities for the key aspects of the s106 processes, whether those officers have sufficient capacity to carry out all aspects of their workload and whether responsibilities are sufficiently defined and in line with job descriptions. If required, job descriptions should be updated in line with HR procedures.	During the detailed review of the end to end process the roles and responsibilities of the relevant officers involved with the process will be clarified. In parallel with this an assessment of officer capacity will be undertaken to ensure that sufficient capacity is available an assigned in order to enable effective and robust delivery.	Further to the April project report, the project has outlined in detail roles and responsibilities and relevant job descriptions have now been updated and issued to staff. *Audit note - recommendation not yet closed pending evidence of implementation.*
Section106 Agreements 2015-16	H OF PLANNING SERVICES	1 - High	31/03/2016	Additional action proposed by the Head of Planning & Regeneration: Ensure the progression of the implementation of the recommendations set out in this Internal Audit report via a robust corporate project management approach is appropriately reported to elected members. It is also necessary to ensure that this important corporate project is fully reflected in all other Council Corporate work programmes not overseen by the meetings, Boards and Commissions referred to in the bullet point list above. This is so that all Corporate Managers and elected members can be kept fully appraised of progress on this project at appropriately regular intervals throughout the life of the project.	A progress report will be brought to the Planning Committee on a quarterly basis to identify the improvements that have been made and to provide assurance to elected members. The Head of Planning and Regeneration, supported by the Corporate Director – Community Services and the Head of Legal and Democratic Services with the Legal and Democratic Services Manager, and the Service Manager for Strategic Planning and Housing Strategy will establish the most appropriate, complete and robust communications format to ensure all Corporate Managers and elected members are kept appropriately up to date regarding the progression of this important project. 1st Report to Committee March 2016 – then quarterly	This S106 Audit Project is approaching its closing stage. A project closure report is due to be reported to the Council's Corporate Management Team on 6th July by the Project Manager - the Strategic Planning Manager. This will be followed by an audit closure report to the Council's Governance and Audit Committee on 27th July. Final decisions will be made at the meeting of the Governance and Audit Committee regarding the most appropriate means of reporting ongoing progress in managing S106 matters. Further thinking at Corporate Management Team level since this action was agreed has suggested that a more cross-Council governance committee may be more appropriate to report S106 matters to than the Planning Committee, like the Executive for example. In the light of this reporting to the Planning Committee has yet not commenced. A final decision regarding the Governance of this matter will be made at the 27th July Governance and Audit Committee.