

APPENDIX B Governance & Audit Committee 7 March 2018

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	February 2018 - A test was completed which identified a further issue, work is ongoing to correct this issue. The test confirmed that all systems are being backed up correctly.  Completion of the actions arising are on hold pending recruitment of a new ICT Manager.
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.	December 17 - 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	February 2018 - Agreed with Internal Audit that the updated and publicised contract management framework provides sufficient guidance. Detailed procedures are specific to individual contracts.  Action to be closed.
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.	February 2018 - Agreed with Internal Audit that the updated and publicised contract management framework provides sufficient guidance.  Action to be closed.
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.	February 2018 - Agreed with Internal Audit that this will be picked up in 2018/19 audit assignments - where key contracts will be reviewed i.e. environmental services/leisure.  Action to be closed.
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).	March 18- All the constitutional changes have been agreed through Council except the speaking at Planning Committee rules which is still being considered at the Constitution Review Committee . It is likely that this will be resolved by December 2018. Due to this delay the intention is that the post implementation review will be reported to the June 2018 Executive without the speaking at Planning Committee issue being fully resolved although it should be possible to report on progress with this issue.

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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.	March 18- All the constitutional changes have been agreed through Council except the speaking at Planning Committee rules which is still being considered at the Constitution Review Committee . It is likely that this will be resolved by December 2018. Due to this delay the intention is that the post implementation review will be reported to the June 2018 Executive without the speaking at Planning Committee issue being fully resolved although it should be possible to report on progress with this issue.
Procurement 2016-17	COMMISSIONING MANAGER	3 - Medium	31/10/2017		Review standard procurement documentation and introduce additional templates and/or guidance to assist staff in ensuring all stages of the procurement process are clearly and accurately documented. This could include additional templates or documentation within the Delta system to evidence key processes such as: <ul style="list-style-type: none"> <li>• approval to use a framework contract and explanation of how this achieves VFM;</li> <li>• approval of the contract award criteria; and</li> <li>• authorisation to award the contract.</li> </ul>	Agreed. We will review the SORP to clarify the requirements for Senior Officer authorisation of evaluation criteria to be applied to contract awards and adapt the existing Contract Sign Off Form. Training will be provided to officers engaged in procurement as set out in recommendation 3 below.	January 18 - revised SORP now approved; training during March/April 2018.
Procurement 2016-18	H OF LEGAL SERVICES MO	2 - Medium	01/11/2017		Remind all staff involved in procurement of their individual responsibility to ensure they fully understand and comply with all aspects of contract procedure rules and the procurement SORP, including use of frameworks.	Agreed. A training session on the use of the Council's SORP is arranged for all officers engaged with the procurement process.	December 17 - The procurement SORP is due to be considered by Council on 18 December 2017. If Council confirm the amendments it is envisaged that training for officers will take place in January/February 2018.