

**APPENDIX B Governance & Audit Committee 8 March 2017**

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update February 2017:
Planning Service Review 2015-16	CORPORATE DIRECTOR (NP)	2 - Medium	31/10/2016	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).	In progress. All of the changes to the constitution have been completed except for the changes around members of the public speaking at Planning Committee. This is due to go to Planning Committee in February and then on to Council in March. When this has been completed the post implementation review will be undertaken.
Planning Service Review 2015-16	CORPORATE DIRECTOR (NP)	2 - Medium	31/10/2016	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.	In progress. When the changes to the public speaking rules at Planning Committee have been completed the post implementation review will be undertaken. This will now be programmed for the May 2017 Executive meeting.
Information Management 2013-14	CORP SERVICES 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	In progress. To be implemented by 31/03/2017
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	The Council is piloting the use of bit DELTA to administer contracts after the procurement process has completed. Subject to review of pilot, process notes will be developed. New Target Date for Completion 31/12/17
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.	Key personnel have received training. Evidence to be provided.
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.	The management of contracts, documentation and support for procurements is currently under review to ensure effectiveness. On conclusion of the review a supplementary performance framework for commissioning and contracts will be developed to sit alongside the corporate performance management framework. Suggested new completion date 31/12/17

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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.	Main contracts include step -on and termination clauses. External Contractors have business continuity plans. A risk assessment of these events being initiated will be undertaken and appropriate and proportionate mitigations will be proposed.
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.	Following a recommendation from the 2014/15 audit, it was agreed that financial system recovery plans would be finalised and communicated to staff accordingly. The financial system recovery plans are due to be reviewed and updated by 31st March 2017; therefore, this action will continue to be followed up as part of the standard Internal Audit process.
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. Conversations held with DR provider. Pre-rehearsal documentation received. PC received to create DR environment build. Disaster Recovery test scheduled for 12th April 2017.
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. The system is almost ready to roll out subject to final testing. This recommendation will be implemented by 31/03/2017.