

APPENDIX C Governance & Audit Committee 19 November 2015

Audit:	Officer Responsible:	Grade:	Target Date:	Recommendation:	Agreed Action:	Officer Update:
Business Continuity 2012-13	CORP SUPPORT 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	Further desktop BC Exercise took place on Friday 3rd July 2015 to test revised BCP plans and documentation. Involved CMT members and Service Managers. ICT restore testing element is outstanding - with ICT Manager.
Contract Management 2013-14	CONT SERVICES 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	Training within the contracted services team is complete. Plans being developed for wider cascading to service teams
Contract Management 2013-14	CONT SERVICES MANAGER	2 - Medium	31/10/2014	Senior Management Team develops and maintains risk registers for Council contracts above a pre-determined schedule, and ensures that risk is included as a standing agenda item at contract management meetings.	Agreed by Service Manager Contracted Services	Completed
Contract Management 2013-14	CONT SERVICES 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.	Confirmation of insurances have been received since the audit. FCC and HDLT have been requested to provide details and certificates of their insurance cover
Contract Management 2013-14	CONT SERVICES 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.	Training arranged for December 2015
Contract Management 2013-14	CONT SERVICES 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.	Linked to the roll out and training linked of the Performance Management framework scheduled for December 2015
Contract Management 2013-14	CONT SERVICES 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.	The Council's key contracts with FCC and HDLT are long term contracts. The value and lack of alternative providers who could be mobilised in a short period of time limits the ability to develop full exit strategies and contingency arrangements. However, regular operational meetings develop and monitor business continuity arrangements linked to short term service disruption

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Corporate ICT 2012-13	ICT MANAGER	2 - Medium	31/10/2013	ICT Manager undertakes a review of all signed employee internet access agreements to determine the number of absent agreements. ICT Manager ensures that all current employees have signed internet access agreements. ICT Manager develops and maintains an electronic central record of all signed internet access agreements.	Yes, agree that a review is required. An (off the shelf) product to manage electronically policy acceptance will be investigated (time permitting).	Progress has temporarily been paused. The resource performing the work has provided emergency Lifeline service cover for the last 5 weeks and has had no time to progress this. No ETA can provided as ICT are yet to receive an indication when the resource will be released.
Counter Fraud General Arrangements 2013-14	H OF LEGAL SERVICES MO	2 - Medium	31/03/2015	Head of Legal & Democratic Services ensures that at the next update of the Counter Fraud Strategy, reference is made to national strategies such as Fighting Fraud Locally, and the Local Government Fraud Strategy. The Strategy should also include reference to the Council's responsibilities under the Money Laundering Act and the Bribery Act.	Agreed to devise a covering note to include references to initiatives and legislative changes and will put it on the website to be read in conjunction with the policy.	To be completed by the 30/11/2015
Counter Fraud General Arrangements 2014-15	H OF LEGAL SERVICES MO	2 - Medium	30/06/2015	The Head of Legal Services should arrange to chase up the two Members who have not completed forms, and ensure appropriate review of forms for consistency and completeness following a refresh of all Members' forms after the election in May 2015.	Agreed. Declaration forms must be completed by elected Members within 28 days of election. The Head of Legal Services will ensure review of forms for consistency and completeness and arrange for a check to be undertaken to ensure upload to the website is complete.	Review f completed registrations arried out and reported to Governance and Audit Committee in 2015
Financial Management 2012-13	H of Financial Services & S151	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 Value for Money Strategy has slipped form the initial date of September 2015
Financial Systems Key Controls including System Access controls 2014-15	FINANCE SERVICES MANAGER	1 - High	31/07/2015	Finance Services Manager: <ul style="list-style-type: none"> •Ensures that the bank reconciliations are brought up to date as soon as possible, and thereafter completed in line with the timetable each month; •Ensures that the process for preparing the bank reconciliations is efficient and effective. 	Agreed, action already in progress. Methodology has been documented and testing being completed with Capita.	Bank Reconciliation is fully up to date. Process Notes and Control sheets updated and tested, Investigations with suppliers whether process can be made more electronic

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Financial Systems Key Controls including System Access 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.	E- procurement was launched in April 2015 with training provided. A review of authorisation limits and roles is being undertaken with the aim to improve performance (especially around the timeliness of good receipting. A streamlined guide (derived from detailed procedure notes) is being drawn up
Financial Systems Key Controls including System Access controls 2014-15	FINANCE SERVICES MANAGER	2 - Medium	31/07/2015	Finance Service Manager, in the absence of exception reporting: <ul style="list-style-type: none"> • Reviews the schedule of additional employee payments each month for reasonableness; • Adopting a risk based approach, verifies the accuracy and validity of any additional payments which appear large or unusual. • Evidences approval of the payroll analysis, by email, before the payments are processed. 	Agreed.	Complete. Review of payroll undertaken on a monthly basis
Information Management 2013-14	H OF LEGAL SERVICES MO	2 - Medium	31/12/2014	HR Manager brings to the attention of Members for consideration to voluntarily undertake annual refresher training on data protection and information management, in line with the requirements for officers to undertake compulsory annual training.	Principal Democratic Officer is responsible for Member development. HR to provide audit of training to PDO. Training cannot be compulsory for members unless as statutory duty.	Complete
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.	Progress has temporarily been paused. The resource performing the work has provided emergency Lifeline service cover for the last 5 weeks and has had no time to progress this. No ETA can be provided as ICT are yet to receive an indication when the resource will be released.