

Outstanding High Risk Management Actions

Title	Management Actions	Target Date	Implementation Status	Completion Notes
Person Responsible: John Griffiths				
Voids	A recharge policy and procedure will be developed; and pre-void inspections will be carried out for all properties and re-charges to tenants made, where works are noted as being the tenant's responsibility.	31/03/17	Partially Completed	The Capita issue is with Arvalo and they have it as a work item to configure the cash receipting processes to ensure payments can be made to sub-accounts. Despite regular chasing via Alun Dowling, there is no completion date to this as present. They are aware it is a priority task. As for the Agresso process, this is in place and has been used. Recharges from void inspections can be raised but this would need linking to the void process. It is being built into the void and repairs reporting processes to be adopted by Osborne. Trevor will discuss with Alan Cope and Steven Peach the practicalities of using the Client Contracting Co-ordinators to identify and raise voids recharges costs.
Person Responsible: Simon Pallett				
Information Governance	The Information Governance Policy will be reviewed and updated to ensure it reflects the arrangements and processes within the Council, in line with the HSCIC guidance, including: • Roles and responsibilities, covering senior IG roles (Caldcott Guardian, SIRO and IG Lead), other key staff roles in relation to IG as well the responsibilities of the wider workforce; • The specific resources within the Council to fulfil these roles. • The key policies underpinning the overarching Information Governance Policy; • Governance arrangements for overseeing the IG agenda within the Council; • Processes for delivering training and awareness programmes to staff; and • Arrangements for reporting, escalating and monitoring IG incidents and breaches. Once updated, the policy will be presented to the IT and Information Governance Board for approval, and then subsequently circulated to staff and made accessible via the intranet. The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.	31/03/17	No Action Taken	No Action
Business Continuity & IT Disaster Recovery	Management will ensure that arvalo provide recovery time profiles for key systems as soon as the DR infrastructure has been implemented, which will include the provision of recovery servers.	31/03/17	No Action Taken	Follow audit amended findings
Person Responsible: Phil Brown				
Risk Management	The Council will agree the roll out of Intelx to record directorate level risks with each directorate. This will include agreement of responsibilities at directorate level to update risks on a regular basis.	30/06/17	Partially Completed	This action is near to completion and once the RSM system is operation throughout the Council this will be done
Person Responsible: Joe Carter				
Business Continuity Planning Arrangements	The Council will establish and maintain a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level that: • Establishes the context of the assessment and defines the criteria for evaluating the potential impact of a disruptive incident; • Takes into account legal and other commitments; • Includes systematic analysis and prioritisation of risk treatments; • Defines the required output from the business impact analysis and risk assessment; and • Specifies the requirements for this information to be kept up-to-date. The business impact analysis will include: • Identifying activities that support the provision of services; • Assessing the impacts over time of not performing these activities; • Setting prioritised timeframes for resuming these activities at a specified minimum acceptable level (RTO - Recovery Time Objective), taking into consideration the time within which the impacts of not resuming them would become unacceptable (MTPD - Maximum Tolerable Period of Disruption); and • Identifying dependencies and supporting resources for these activities, including	30/09/16	Partially Completed	Partially Complete as per Follow Up audit 04/17
Person Responsible: Roger Parkin				
Matrix Management of Agency Staff	We will ensure that all staff approving new agency workers or approving the extension of existing agency contracts on the Matrix system input relevant notes of checks that have been carried out, for instance: • Whether adequate budget is available for the post; • The post was required urgently out of hours and therefore, there is only authorisation from one member of staff; or • The reason why the contract has been extended. If this information is not detailed then the approval will be refused.	31/05/16	No Action Taken	No Action
Person Responsible: Frederick Narmh				
Matrix Management of Agency Staff	The Council will formally assign a Contract Manager who will have responsibility for managing the Matrix contract.	31/05/16	Partially Completed	Corporate procurement will continue to manage the Matrix contract on an interim basis till the contract expires. Following the eminent expiry of the Matrix contract in 2016, it is anticipated that HR will actively manage the new service contract with a dedicated resource. HR to assist in Managing this contract that has been extended for a further year.
Person Responsible: Vijay McGuire				
General Ledger	The Council will ensure that the frequency of backups is stated within the contract with Trustmarque and that assurance is received that backups are conducted regularly and disaster recovery arrangements are tested for the ledger.	30/06/17	No Action Taken	cannot complete it without Finance involvement and we have asked for copies of the contract with Trustmarque which are not yet been made available. I have asked again and copied you into the request Barry Stratfull will talk to Trustmarque to see who our contract is with and take matters further