

APPENDIX 2

**Outstanding High Risk Action
Outstanding High Risk Management Actions**

	Title	Management Actions	Target Date	Implementation Status	Completion Notes
Person Responsible: Simon Pallett					
	Information Governance	<p>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;</p> <ul style="list-style-type: none"> •Roles and responsibilities, covering senior IG roles (Caldicott 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. <p>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.</p> <p>The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.</p>	31/03/17	Partially Completed	In progress
	Business Continuity & IT Disaster Recovery	<p>Management will ensure that arvato provide recovery time profiles for key systems as soon as the DR infrastructure has been implemented, which will include the provision of recovery servers.</p>	31/03/17	No Action Taken	Follow up audit amended findings

	Information Governance	<p>The Council will undertake a data flow mapping exercise to ensure all flows, both inbound and outbound, of person identifiable and sensitive information in all service areas have been identified mapped and recorded.</p> <p>The information flows will be risk assessed, with necessary actions identified to address risks highlighted.</p> <p>The outcome of the mapping exercise and the risks identified will be reviewed by the IT and Information Governance Board, prior to subsequently being reported to CMT.</p>	30/09/17	No Action Taken	No action taken
Person Responsible: Kamal Lalian					

	Management of Housing Stock	A procedure to track the completion of scanning and correct indexing of files by the DIP section will be produced by Housing and agreed with arvato. This will include a requirement for the originator to confirm the documentation has been successfully scanned and indexed prior to being destroyed.	31/12/17	No Action Taken	<p>"We are in the process of transferring our DIP indexing to the Logistics team, this will involve:</p> <ul style="list-style-type: none"> • Logistics scanning and sending documents that need to be actioned to the relevant officer • The officer will then action and make any notes on DIP. Once completed the officer would complete the document. • All completed documents to be indexed into correct account on W2. <p>The Logistics team at Arvato have now been trained on how we index our items, and we are currently awaiting confirmation of the date when Arvato will commence this function.</p> <p>Training will also be delivered to all neighbourhood services staff on how to use DIP w2, this will include:</p> <ul style="list-style-type: none"> • Worktray • How to search items correctly, • How to send completed documents to the Logistics properly. <p>Training dates to be confirmed with Logistics Team.</p> <p>Unfortunately we have been advised that Arvato are now unable to take on this work for several months - this has been escalated to the Arvato Contract Management Team and we await their response. (emails attached)"</p>
Person Responsible: Phil Brown					
	Risk Management	<p>The Council will agree the roll out of Intalex to record directorate level risks with each directorate.</p> <p>This will include agreement of responsibilities at directorate level to update risks on a regular basis.</p>	30/06/17	Partially Completed	The Risk and Insurance Officer will meet with the Children's, Learning and Skills directorate to ensure the responsibilities at directorate level to update risks on a regular basis are agreed.
Person Responsible: Joe Carter					

	Business Continuity Planning Arrangements	<p>"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;</p> <ul style="list-style-type: none"> • 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. <p>The business impact analysis will include;</p> <ul style="list-style-type: none"> • 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
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Person Responsible: **TBA**

	Matrix Management of Agency Staff	<p>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:</p> <ul style="list-style-type: none"> · 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. <p>If this information is not detailed then the approval will be refused.</p>	31/05/16	No Action Taken	No Action
Person Responsible: John Griffiths					
	Neighbourhood ASB Enforcement	The Council will review the current structure and resources within Neighbourhood Enforcement teams, and assess whether additional resources are required to ensure ASB cases are responded to in a timely manner. As part of this, the role of the Resilience and Enforcement Team in coordinating ASB activity will be reinforced.	31/01/18	No Action Taken	No action taken
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	<p>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 2018, 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.</p> <p>As per FN A fixed term contract person will be appointed to manage Matrix by mid Oct 2017</p>
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 This issue is now between Barry and Simon Barry Stratfull will talk to Trustmarque to see who our contract is with and take matters further
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