

Appendix 2 - Outstanding High Risk Recommendations

Audit Title	Target Date	Person Responsible	Management Response	Update Detail
Business Continuity Planning Arrangements	30/9/2016	Dean Trussler	<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; <p>and</p> <ul style="list-style-type: none"> • 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 suppliers and outsource partners. <p>The risk assessment will include;</p> <ul style="list-style-type: none"> • Identifying risks of disruption to the Council's prioritised activities and the processes, systems and resources that support them; • Systematically analysing risks in line with the Council's risk management methodology; • Evaluating which risks require treatment/mitigation; and • Identifying treatments/mitigations in line with business continuity objectives and the Council's risk appetite. <p>The processes will be documented within the Council's overarching Business</p>	Management action re-assigned to user: Dean Trussler

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Business Continuity Planning Arrangements	31/8/2016	Dean Trussler	<p>The Council will develop an overarching Business Continuity Management (BCM) Policy covering the framework for BCM in the organisation. The policy will set out;</p> <ul style="list-style-type: none"> •Scope, aims and objectives of BCM in the Council; •The Council's commitment to BCM; •The activities that will be required to deliver these; and •Roles and responsibilities of staff in relation to BCM. <p>•Version control to state approval details and next planned review date. Once finalised, the policy will be subject to ratification by CMT and communicated to staff.</p>	Management action re-assigned to user: Dean Trussler
Business Continuity Planning Arrangements	31/3/2018	Dean Trussler	<p>"A formal group will be established to oversee the Council's business continuity agenda. The group's remit will be defined within Terms of Reference which will include;</p> <ul style="list-style-type: none"> • Responsibilities; • Membership and quoracy; • Meeting frequency; and • Accountability and reporting. <p>"</p>	Management action re-assigned to user: Dean Trussler
Contract Procedure Rules Review	30/9/2019	Claire Portsmouth	The Council will review all expenditure incurred over the OJEU limits, and take appropriate action.	Management action re-assigned to user: Claire Portsmouth

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Contract Procedure Rules Review	30/9/2018	Barry Stratfull	All duplicate payments identified for 2017/18 will be reviewed to establish the root cause and corrective action will be taken to reclaim incorrect payments where these are validated.	Re-Opened the Recommendation
Creditors	31/5/2018	Claire Portsmouth	All amendments to supplier standing data (including changes to email addresses and bank details) will be supported by a fully completed and authorised form (with any relevant correspondence), clearly evidencing the verification checks undertaken and uploaded to Agresso.	Management action re-assigned to user: Claire Portsmouth
Debtors Management	30/6/2019	Barry Stratfull	<p>The Finance Team at the Council will conduct a review of all parked invoices, to establish whether there are valid reasons for these invoices not being chased. All invoices where there are no valid reasons for parking will be chased through the Council's debt management process.</p> <p>As part of this, guidance will be provided to Council staff requesting them to only park invoices had it been approved by the Service Lead – Finance and where debts are parked, an audit trail will be maintained on Agresso to support the reasons for parking the debt as well as approval from the Council.</p>	

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General Ledger	31/7/2018	Simon Pallett	The Council will implement an appropriate password policy that requires passwords to be changed on first sign on from a new user, and that also sets passwords to automatically expire and require changing on a periodic basis.	Management action re-assigned to user: Simon Pallett
Information Governance	30/9/2017	Simon Pallett	<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>	<p>Noaction taken, q1 Follow up found still in progress</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. email 2/10/2018 requesting status</p>
Information Governance	31/3/2018	Simon Pallett	<p>The Information Governance Policy will be reviewed and updated to sure 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. Thereafter, the policy will be reviewed annually with version control included within document to record approval and next review details.</p>	In progress

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Neighbourhood ASB Enforcement	30/6/2020	Colin Moone	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.	Target date changed to: 30/06/2020 Original target date: 31/01/2018
Temporary Accommodation	31/10/2018	Colin Moone	<p>The TA Team will confirm all nightly self-contained properties and bed and breakfast properties have the following in place:</p> <ul style="list-style-type: none"> ☑ a current gas safety record; view of the property's safety certificates and equipment is due. This information will be actively monitored and where safety records become outdated and invalid, these will be chased with the relevant accommodation provider and escalated to Senior Management within the Council. <p>The TA Team will undertake periodic visits to confirm that the properties have the appropriate safety equipment. The Team will also devise a preferred suppliers list which will be populated with establishments which the Council have confirmed to be compliant with the above requirements.</p>	<p>"A spreadsheet has been devised with a traffic light system to indicate certificates in date, out of date, approaching the end of date.</p> <ul style="list-style-type: none"> • Spreadsheet created with all properties being used with the providers details • Spreadsheet created with all Bed & Breakfasts that may be used with providers details • Gas Safety Certificates, Electrical Installation Certificates and EPC's requested from all providers • Compliance Folders created on the Shared