

## Agenda Item

**REPORT OF** Service Improvement Officer  
**To:** Audit & Governance Committee  
**Subject:** Progress with Agreed Actions  
**Date:** 18<sup>th</sup> April 2017

**Reference:**

**PURPOSE OF REPORT:** To provide an update on progress with implementing agreed actions.

### 1. INTRODUCTION

The Audit & Governance Committee requested a regular report on progress with agreed actions. This report is set out at appendix A.

### 2. REPORT

A summary of the position as at the 31<sup>st</sup> March is shown at Appendix A.

Since the Audit & Governance Committee in November 2016 there have been 13 internal audit reports issued containing 47 agreed new audit actions. In the same period there have been 44 actions completed by management. There was 1 high risk audit action (the Cyber Security audit) and the necessary mitigating controls have been implemented.

There were 12 internal audit actions due for completion by the end of March 2017 which were not completed on time. The responsible officers have been contacted and as a result:

- first extensions have been agreed for 6 of the actions;
- second extensions have been requested for 3 audit actions;
- third extensions have been requested for 2 audit actions;  
(see Appendix B for details of audit actions with extended target dates).
- the remaining action will now be completed in April 2017.

### 3. IMPLICATIONS

#### Legal Implications

None

#### Financial Implications

None

#### Human Resources Implications

None

#### Sustainability Implications

None

#### Equality/Diversity

None

#### Risk Management



The two key outcomes from an audit are the opinion on the audit subject, which indicates the level of assurance that members can take, and the agreed actions to strengthen the control framework where testing has shown risks are not being adequately managed. The agreed actions are evaluated using the corporate risk matrix and the audit reports include those risks that are medium or high. Low risk or housekeeping matters are reported separately and directly to management for them to manage. The Internal Audit team report on progress in implementing the actions agreed with management to better control high and medium risks.

Compliance with Policies and Strategies

This report complies with the Audit & Governance Committee terms of reference and the Audit Procedures Manual.

Ward Member and Leader Member Views

Consultation date - Councillor Philip Hackett – April 2017.

**4. CONCLUSIONS**

Since the A&G meeting in November 2016, 47 new actions have been identified in internal audit reports and 44 actions have been completed by management.

**5. RECOMMENDATIONS**

Committee are asked to:

- Note the progress with actions in this Quarter

**SUPPORTING INFORMATION**

Consultations:	Jenny Wallace Steve Hearse Councillor Philip Hackett Other officers as required
Contact Officer:	Chris Dobbs
Background Papers:	Audit files



## Appendix A - Progress with Agreed Actions - as at 31<sup>st</sup> March 2017

Description	Medium Risk	High Risk	Total
Number of scheduled actions on last report (31/10/2016)	23	0	23
Number of new agreed actions this period	47	1	48
Total agreed actions			71
<b>Actions completed this period</b>	<b>44</b>	<b>1</b>	<b>45</b>
Archive requests this period			
Balance of scheduled actions (31/03/2017)			26
<b>Number of actions where target date has been missed</b>			<b>12</b>

<b>3rd Extension Requested</b>	<b>2</b>
<b>2nd Extension Requested</b>	<b>3</b>
<b>1st Extension Agreed</b>	<b>6</b>
<b>Action not yet delivered</b>	<b>1</b>

### Number of Scheduled Actions by Service

Service Area	Medium Risk	High Risk	Total
Accountancy Services	1		1
Commercial	1		1
Customer Services			0
Governance			0
Housing Options	2		2
Human Resources			0
ICT	6		6
Legal Services	2		2
Planning	12		12
Property	2		2
Regulatory	1		1
Revenues & Benefits	1		1
Safeguarding	4		4
Waste & Recycling & Community Safety	1		1
Strategic Manager (Services)			0
Total o/s actions			33
Grant Thornton Action Plan (2016 Audit Findings)	5	Completed	2

Due by 31/03/17	Due by 30/06/17	Due After 01/07/17
	1	
1		
	1	1
	1	5
	1	1
		5
		2
	1	
	1	
		4
		1
<b>1</b>	<b>6</b>	<b>19</b>
3		



## Appendix B - Progress with Agreed Actions - as at 31<sup>st</sup> March 2017

### First Extension Agreed

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Revs & Bens	Karina Baird	Revised Target Agreed	Council Tax audit 2016/17	<a href="#">Procedures</a>	Was 30/12/2016 Now 30/06/2017	Procedures on ACS Navigator not up to date. Team Leader contacted ACS Consultancy on 07/07/2016 to request the procedures be updated, however this does not appear to have been actioned. Will follow up and action the changes. <b>Team Leader was off sick and has now retired on health grounds. NNDR Team Leader will follow this up and see if it can be resolved but we are dependent on ACS.</b>
Housing Options	Helen Page	Revised Target Agreed	Housing Options Audit 2016/17	<a href="#">Grants Scheme</a>	Was 30/12/2016 Now 30/06/2017	The Authority should consider whether non repayable grants to non priority households are sustainable, especially in cases where the applicant may be deemed at fault through their own actions. The use of loans and the prevention fund, as a prevention tool, is currently under review - anecdotal evidence to date suggests that it is more cost effective to loan priority need households money, even when the probability of recovery is unlikely, than cover the cost of securing temporary accommodation. <b>The scheme was due to go to C&amp;R but the meeting was cancelled - is now on the agenda on 31st May 2017.</b>
Housing Options	Helen Page	Revised Target Agreed	Housing Options Audit 2016/17	<a href="#">Policy and Procedures</a>	Was 31/03/2017 Now 30/09/2017	As a consequence a number of policy and procedure documents are in need of review or redevelopment, with existing versions being out of date or in some cases hard to locate, due to historical filing methods. Work is already underway to bring many of these documents up to date but is it likely to be several months before this is completed and new versions are approved and adopted. Policy and procedure documents should be updated, formally approved and logically filed where they will be accessible to all relevant staff. <b>Awaiting completion of previous action (approval of Committee report) before procedure work can be actioned.</b>
Safe guarding	Simon Toon	Revised Target Agreed	Safeguarding audit 2016/17	<a href="#">staff and member training</a>	Was 31/03/2017 Now 30/09/2017	Training was made available to staff and the Lead Member (Sep 2016) but unfortunately those identified were not able to attend due to leave. The HR manger will be asked to arrange further training. <b>No further training has been arranged.</b>
ICT	James Jewell	Revised Target Agreed	ICT Cyber Security 2016/17	<a href="#">Domain Admin Accounts</a>	Was 31/03/2017 Now 30/05/2017	Range of actions relating Domain Admin Accounts. <b>This was a high risk action but a range of measures have been implemented to mitigate the control concerns identified. To further improve on the recommendations a security software system has been purchased - installation is in April 2017 and it will be fully operational by the end of May 2017</b>
ICT	Steve Burgess	Revised Target Agreed	TPO Follow up Audit 2016/17	<a href="#">Scan and Plot functionality</a>	Was 30/12/2016 Now 29/09/2017	A further issue which has arisen relates to the software itself. Following an 'upgrade', the Tree Officer is no longer able to filter out TPO's which are currently being renewed/amended, meaning that the visual representation shown on the map is not usable as an accurate depiction of the TPO being viewed. <b>This issue has been raised with IDOX but they have yet to provide a solution and we are dependent on them for a resolution.</b>





## Appendix B - Progress with Agreed Actions - as at 31<sup>st</sup> March 2017

### Second Extension Requested

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
ICT	ICT Manager	Milestone Missed	IT security audit 2016/17	<a href="#">Information Management Policy</a>	Was 31/03/2017 Now 30/09/2017	The Information Management Policy is overdue for review (October 2015) and has a review frequency that does not correspond with the overarching Policy Framework document. The Policy should be reviewed and updated as necessary. <b>This was being completed by ICT Manager but will have to wait for new manager to be appointed - low risk as existing policy still fully operational</b>
ICT	ICT Manager	Milestone Missed	IT security audit 2016/17	<a href="#">Security Policy</a>	Was 31/03/2017 Now 30/09/2017	Original date 31/12/2016. The Information Security Guidance located on the Intranet has a next review date of June 2016, making is slightly overdue. It also has a last review date of June 2014. This two year gap does not meet the requirements of the overarching Policy Framework document which states that all ICT Policies will be reviewed at least annually. Reliance on out of date or inaccurate information could lead to increased exposure to security breaches. The guidance document should be reviewed and updated. Consideration should be given to whether the Policy Framework requirement for annual review of all ICT Policies could be relaxed. <b>This was being completed by ICT Manager but will have to wait for new manager to be appointed - low risk as existing policy still fully operational</b>
Property	Adrian Redwood	Milestone Missed	LLPG Audit 2015/16	<a href="#">Street Name &amp; Numbering</a>	Was 31/03/2017 Now 31/03/2018	Original date 31/03/2016. Module owned and licensed by TDC, however, it is not used. The module setup needs reviewing and training will be required by IDOX. There will be a financial implication. We will review and discuss options with the ICT Service however resources for this are limited at present so it will be actioned as a longer term project. <b>Needs resource input from Property Team - Josh/Andrew/Jamie to meet and discuss IT priorities for the team. New Manager wishes to streamline IT based items, but resources currently fully occupied with other higher priority tasks.</b>





## Appendix B - Progress with Agreed Actions - as at 31<sup>st</sup> March 2017

### Third Extension Requested

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Legal	Jamie Hollis	Revised Target Agreed	Data Protection 2014/15	<a href="#">Privacy Within Corporate Buildings</a>	Was 31/3/2017 Now 31/3/2018	Originally 31/3/2015. Consideration will be given to whether it is possible to improve privacy within corporate buildings for members of the public who wish to discuss confidential matters. This will need to be deferred until after the current Accommodation Review is complete. <b>Delays to Transformation Torrige Programme - this cannot be addressed until office moves have been completed. Decision to re-tender has further delayed the office move which is now anticipated in March 2017</b>
Elections	Jon Walter	Revised Target Agreed	LLPG Audit 2015/16	<a href="#">Secondary Address Databases</a>	Was 31/03/2017 Now 30/09/2017	Originally 31/03/2016. There are plans to link or integrate several applications during the current financial year including Academy and LalPac. No date has been set for the linking of the Elections software although this is also intended to be implemented at a future date. Elections will be contacted to progress. <b>This action has not been done sooner because of changes to staff within Elections over the past 12 months. It has now commenced and is on hold pending the DCC elections but will be completed by end of September.</b>

### To Be Completed before 31st March 2017

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Commercial & Leisure	Sean Kearney	Milestone Missed	Building Control Audit 2015/16	<a href="#">Application processing</a>	Was 30/09/2016 Now 31/03/2017	Original Date 31/12/2015. Will require ICT intervention and resource input. CLSM to liaise with the Business Transformation Manager on the way forward. Business Transformation Manager - Online Full Plans application form is a big piece of work. Will need to meet with BC to look at this. Also will need to look at options for pre-written software rather than making our own. For auto-logging documents in IDOX – it is available to do – will need workshop & testing to make happen. Building Control Admin (Vicky) has tried this in the past, but had issues with creating folders – we will need to revisit. Due to the priorities of the ongoing transformation project, this piece of work will need to be viewed as a longer term project. <b>The solution was dependent upon the upgrade to IDOX v10 which only happened in October 2016. ICT can now install the auto-application system (iapply) and this will allow the solution to take place - will now be completed in Q4. Good progress has been made. iapply (electronic application system with automatic document upload to IDOX) is set to be rolled out in April 2017 after an initial test period.</b>

