

2016/17 AGS Action Plan: Sorted by Risk

From SENIOR MANAGER ASSURANCE STATEMENTS + INTERNAL AUDIT REVIEW					
Service / Theme	Responsible Officer	Known Areas of Weak or Missing controls / question numbers	Priority H/M/L	Action to be taken	Current Position
Accounts	David Heyes	There are three vacancies within the Accountancy Team which could impact on the year end processes	H	A combination of external support and approved overtime is being used to ensure the year end processes are completed on time	30/06/2017
ICT	Steve Hearse	Internal Audit report raised a number of concerns regarding Cyber security and domain admin accounts	H	The use of Domain Admin Accounts has been reviewed - new software and training implemented	Complete
			M	Follow up audit scheduled to confirm full compliance with industry standards	30/06/2017
ICT	Steve Hearse	The corporate telephony system has failed on two occasions recently, causing internal and external disruption to services and customers (the service is hosted externally via Unify)	H	Response assurances in place for election period	Complete
			H	New mobile phone system and phones in place as back up (still to be further developed)	30/06/2017
			H	Agreed timescales with Unify to re-route connectivity	30/06/2017
			M	Work underway to review the existing telephony service contract	31/08/2017
			M	Project to review the wider telephone system	31/03/2018
Planning	David Green	Local Plan Examination is suspended pending a review of housing delivery rates to ensure they meet the 5 year housing land supply criteria in the NPPF. If this cannot be met, plan led housing delivery will be undermined which could adversely affect the character of settlements and landscapes in Torridge.	H	The new Local Plan is awaiting re-submission and examination by the Planning Inspector	31/12/2017
Planning	David Green	Inconsistent decision making can lead to increased appeal costs, reputational damage, loss of New Homes Bonus, and a lack of engagement from major developers. This could lead to insufficient housing numbers or jobs being delivered in Torridge due to a lack of confidence in the Planning function.	H	PAS have provided training to Plans Committee and each Committee meeting includes a review of recent Inspectorate decisions.	Complete
			H	Ensure sufficiently qualified planners are recruited are retained.	31/03/2018
			M	Improve effectiveness of Planning interactions with agents and other stakeholders	31/03/2018

2016/17 AGS Action Plan: Sorted by Risk

Service / Theme	Responsible Officer	Known Areas of Weak or Missing controls / question numbers	Priority H/M/L	Action to be taken	Current Position
Customer Services	Simon Toon	A vulnerability has been recognised with regards to a shared mailbox in customer services	M	Work is underway to decide whether to isolate or change the way the box is used	30/06/2017
Data Protection	Jamie Hollis	Interview rooms at bridge Buildings have no soundproofing and there is a risk that personal/sensitive discussions could be overheard by nearby individuals	M	Part of the Council's move to a single site at Riverbank House will be the design of more confidential interview facilities	31/03/2017
ICT	Steve Hearse	A form used to collect financial information from customers was being transmitted in an unencrypted format.	M	All forms where financial information is captured have been converted to an encrypted format	Complete
Legal and Land Charges	Jamie Hollis	Ongoing litigation in relation to Local land Charges fees	M	Identified in the appropriate risk register	Action Ongoing
Planning	David Green	20% increase in planning application fees proposed under the Governments white paper "Fixing our broken housing market" might not be agreed by Members. These fee increases are to assist LPA's to improve the planning function in order to deliver housing allocations	M	Prepare a report to full council to convince Members to accept the fee increase.	Complete
Planning	David Green	Instances where electronic and manual Planning Enforcement records were not accurate and complete	M	If it cannot be demonstrated that the Council handles enforcement cases in a transparent way, the Council's reputation may be affected	Complete
Regulatory Services	Janet Williams	Reduced resource within the Housing Renewal Team leading to reduced capacity to respond effectively to housing enforcement matters and progress the spending of increased BCF funding for DFG's	M	Additional Housing Renewal Post made permanent	Complete
			M	Approval given of a further 2 posts (temporary) within the Housing Renewal Team to assist with administration and surveying.	Recruitment commenced Q1 17/18
Revenues & Benefits	Simon Toon	Three servers used for document management system (DMS) are still operating on Windows 2003 which poses a risk	M	A project is underway to determine whether to upgrade or replace	30/06/2017
			M	Windows have provided a patch in response to the recent ransomware cyber attack	Complete

2016/17 AGS Action Plan: Sorted by Risk

Service / Theme	Responsible Officer	Known Areas of Weak or Missing controls / question numbers	Priority H/M/L	Action to be taken	Current Position
Section 106 Agreements	Jamie Hollis & David Green	Older S106 agreements listed on master spreadsheet with incorrect or no status - without fully accurate records there is a risk that sums may not be identified or received	M	The Affordable Homes Officer to retrospectively check all agreements signed since 2010 for which there is any uncertainty and update the record to show whether the agreement is live or discharged.	31/03/2018
			M	The current status of all agreements since at least 2010 will be determined and updated on the record	31/03/2018
Culture & Ethics	Jamie Hollis	Some key documents had exceeded their review dates - employees, code of conduct, anti-fraud, corruption and bribery strategy. Whistleblowing policy and communications and consultation strategy. Out of date policies may contain unreliable information and may not be seen as authoritative by staff	L	All relevant policies will be updated and submitted for approval	Complete
Customer Support	Steve Hearse	Welfare Reform and Universal Credit – continued uncertainty has an ongoing detrimental impact on service and staff	L	Continued uncertainty over the future – team being briefed as information becomes available	Action Ongoing
Housing Options	Simon Toon	There was no independent sign-off of cases where a decision had been made to house an individual whilst the homelessness duty is assessed which increases the opportunity for favouritism or allegations and could lead to inconsistencies in assessment practices	L	A standard conflicts of interest declaration to be devised and signed by all Housing options Staff	Complete
HR	Sarah Ayres	Instances identified where Managers had failed to verify each year that officers had business insurance to cover business mileage recorded in their own cars - this could expose the Council to reputational and financial risk in the event of an accident.	L	Appraisal form to be amended to remove option of 'on-line' checking and reminder to be sent to all managers.	Complete
ICT	Steve Hearse	Confusion concerning the ownership/responsibility of Webstaff System Declaration forms which could have led to difficulty in holding individual officers to account if they had not signed the necessary declaration concerning awareness of the correct procedures to be followed.	L	A new form to be issued to all staff users to be completed and retained by lines managers.	Complete

2016/17 AGS Action Plan: Sorted by Risk

Service / Theme	Responsible Officer	Known Areas of Weak or Missing controls / question numbers	Priority H/M/L	Action to be taken	Current Position
Insurance	David Heyes	No formal link in place between "insurable risks" and the Council's overall Risk Management arrangements	L	The Insurance Officer to be included as a member of the Risk Management Group	Complete
Procurement	Adrian Redwood	There was no standing register for procurement staff that records details of potential conflicts of interest and there is a risk of allegations of favouritism or unfair bias.	L	A standard declaration form to be developed and completed by all procurement staff to record any business interests they or close family and friends have.	Complete
Regulatory Services	Janet Williams	Delayed progress with CSP and HWB projects due to sickness absence of the lead officer in this area, and continuation of this during his return to work period or reappointment to the post	L	A programme of regular reviews to be implemented to ensure delivery of CSP and HWB projects and support of post holder.	Action Ongoing
Regulatory Services	Janet Williams	<p>There has traditionally been a reliance in the division on hard copy record keeping. Some records have proved difficult to locate and some record retention may be outside of permitted periods.</p> <p>Currently there are no resources for the bulk scanning of records for electronic storage.</p>	L	Preparations for the upcoming move to RBH are focussed on the removal of obsolete records.	Action Ongoing
			L	Where third party information and guidance is available on the internet, hard copies held are being disposed of.	Action Ongoing
			L	Over all service areas the use of Idox is being reviewed and developed to support the electronic capturing of data and records on an ongoing basis to reduce the reliance on hard copy and support more efficiency and the mobile working programme.	Action Ongoing
			L	Regulatory and Property Services are in consultation about the storage requirements and availability in preparation to the move to RBH.	Action Ongoing