

**Agenda Item**

**REPORT OF** Service Improvement Officer  
**To:** Audit & Governance Committee  
**Subject:** Progress with Agreed Actions  
**Date:** 5<sup>th</sup> December 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 30<sup>th</sup> November is shown at Appendix A.

Since the Audit & Governance Committee in July 2017 there has been 7 internal audit report issued containing 18 agreed new audit actions. In the same period there have been 13 actions completed by management.

There were 5 internal audit actions due for completion by the end of November 2017 which were not completed on time. The responsible officers have been contacted and as a result:

- An extension has been agreed for 1 audit action;
- Two actions have missed their deadline due to staff changes and work priorities;
- Two activities are recommended for archiving due to changing circumstances.

**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 – November 2017.

**4. CONCLUSIONS**

Since the A&G meeting in May 2017, 18 new actions have been identified in internal audit reports and 13 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 30<sup>th</sup> November 2017

Description	Medium Risk	High Risk	Total
Number of scheduled actions on last report (30/06/2017)	23	0	23
Number of new agreed actions this period	17	1	18
Total agreed actions			41
<b>Actions completed this period</b>	<b>13</b>		<b>13</b>
Archive requests this period	2		2
Balance of scheduled actions (30/11/2017)			26
<b>Number of actions where target date has been missed</b>			<b>5</b>

<b>First Extension</b>	<b>1</b>
<b>Archive Requests</b>	<b>2</b>
<b>Missed Deadlines</b>	<b>2</b>

### Number of Scheduled Actions by Service

Service Area	Medium Risk	High Risk	Total
Accountancy Services	2		2
Commercial			0
Customer Services			0
Governance			0
Housing Options	2		2
Human Resources			0
ICT	1		1
Legal Services	1		1
Planning	2		2
Property	5		5
Regulatory	4	1	5
Revenues & Benefits	5		5
Safeguarding			0
Waste & Recycling & Community Safety	1		1
Strategic Manager (Services)	4		4
Total o/s actions	27		28
Grant Thornton Action Plan (2017 Audit Findings)	5	Completed	2

Due by 30/11/17	Due by 31/03/18	Due After 31/03/18
		2
	2	
3		
	1	
	2	
	2	3
	5	
	5	
1		
1		1
<b>5</b>	<b>17</b>	<b>6</b>
	1	2



## Appendix B - Progress with Agreed Actions - as at 30<sup>th</sup> November 2017

### First Extension Agreed

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Risk Management	Steve Hearse	Extension Agreed	Risk Management Audit 2016/17	<a href="#">Service Risk Registers</a>	Was 30/09/2017 Now 28/02/2018	<p>A number of issues remain regarding the quality of information recorded in Service Risk Registers and to a lesser extent the Corporate Risk Register. At the time of the audit the Business Plans were being refreshed for the current year, which involved a review of the service risk registers and this subsequently feeds the risk map. Therefore I would expect there to be some gaps whilst that work was in hand. We will internally review and confirm to the A&amp;G Committee once this process had been concluded.</p> <p><b>This date has been extended to add in the additional review and challenge of the service risk registers during the 2018/19 business planning process.</b></p>

### Dates Missed

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
ICT	Roger Jenkins	Milestone Missed	IT Security Audit 2016/17	<a href="#">Information Management Policy</a>	Was 31/12/2016 Now 30/09/2017	<p>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>Original action was for the Business Transformation Manager who left in March 2017; the action was recently picked up by SCOMIS</b></p>
ICT	Roger Jenkins	Milestone Missed	IT Security Audit 2016/17	<a href="#">Security Policy</a>	Was 31/12/2016 Now 30/09/2017	<p>The Information Security Guidance located on the Intranet has a next review date of June 2016, making it 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.</p> <p>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>Original action was for the Business Transformation Manager who left in March 2017; the action was recently picked up by SCOMIS</b></p>



## Archive Requested

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Waste	Richard Haste	Milestone Missed	Procurement Audit 2016/17	<a href="#">Formal Contracts</a>	Was 30/09/2016 Now 30/09/2017	<p>We acknowledge that there is no formal agreement in place, Peake GB are a specialist provider who we have used for many years, and we hold risk assessments to ensure that both parties are aware of and can manage risk associated with the service.</p> <p>We have recently reviewed clinical waste collections which should result in a significant reduction in the costs payable to the contractor. If the ongoing costs associated with the service warrant it (are expected to be over £30k per year), we will carry out a formal tendering exercise and draw up a formal agreement between the partner Authorities and the contractor. <b>This was to have been a joint procurement exercise by Torridge, North Devon and Mid Devon but North Devon and Mid Devon have shelved this. The current arrangement with Peake (although without a contract) allows for the subsidy of their disposal charge by the collection costs - if we go to the market then in any new arrangement will cost more for Torridge as the disposal element will have to be put into the existing county contract which is considerably lower. The manager does not want to change the status quo as this will result in additional costs to Torridge.</b></p>
ICT	Steve Burgess	Milestone Missed	TPO Follow Up Audit 2016	<a href="#">Scan and Plot functionality</a>	Was 06/04/2017 Now 30/09/2017	<p>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.</p> <p><b>The IT team have identified a requirement for a Web Mapping Solution for the Council. Not only would this resolve the TPO issue it would provide a mapping solution to enable a range of online services to be provided to the public. A quotation has been obtained for the mapping solution and this is part of the Digital by Default" project within the Transforming Torridge Programme.</b></p>

