

**2017/18 AGS Action Plan: Sorted by Risk**

<b>From SENIOR MANAGER ASSURANCE STATEMENTS + INTERNAL AUDIT REVIEW</b>					
<b>Service / Theme</b>	<b>Responsible Officer</b>	<b>Known Areas of Weak or Missing controls / question numbers</b>	<b>Priority H/M/L</b>	<b>Action to be taken</b>	<b>Current Position</b>
Community Safety Partnership	Janet Williams	There is no Annual Strategic Assessment in place to report on the performance and work of the Community Safety Partnership	H	Complete an Annual Strategic Assessment and report to the appropriate Committee	30/09/2018
Health & Safety	Janet Williams	Insufficient resources to carry out an effective H&S function	H	Identify the additional resources required to effectively carry out the role and have a full plan in place	30/09/2018
Planning	Jamie Hollis	The adoption of the Local Plan was delayed by the Planning Inspector whose feedback resulted in the need for an additional public consultation. Until the local plan is formally adopted there is a risk that plan led housing delivery will be undermined which could adversely affect the character of settlements and landscapes in Torridge.	H	From 30 April 2018 planning applications submitted to North Devon Council and Torridge District Council will be considered against relevant policies in the emerging North Devon and Torridge Local Plan.	Complete
			H	Awaiting Planning Inspector to produce a final report for TDC and NDDC based on her findings, setting out any changes needed so that the plan can be adopted. The plan is expected to be adopted this autumn.	30/12/2018
Business Continuity	SMT	Audit conducted by Zurich Insurance identified a number of areas of vulnerability which need addressing in case of a major business Interruption event.	M	Scoping workshop with SMT/OMT	Complete
			M	Major service recovery provision identified including staff and resource need	31/07/2018
			M	Mapping exercise required to ensure ability to implement recovery position (physical resources and infrastructure)	30/09/2018
			M	Approve Plan	31/10/2018
			M	Test Plan	30/11/2018
Harbour	Sean Kearney	Succession planning for Pilotage service in order to discharge pilotage responsibilities	M	Recruit and train an appropriately qualified pilot and deputy	31/07/2018
Health & Safety	Janet Williams	Health & Safety policies out of date - could contain unreliable or incorrect information	M	A review of all H&S policies to be carried out	30/09/2018

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Health & Safety	Janet Williams	Fire and safety checks and risk assessments for some of the Council's smaller sites are overdue	<b>M</b>	Carry out a review of fire and safety checks and risk assessments.	30/09/2018
Health & Safety	Janet Williams	Incomplete or inaccurate accident/incident reports may impair the ability to analyse data, identify trends and assist services with their safety requirements.	<b>M</b>	Records and summary sheets to be updated and maintained in full	Complete
ICT	Steve Hearse	Password control, permission rights, administrator rights, and security logs - Bond (payroll system), Capita, and Efinancials	<b>M</b>	The individual system' control environment and functionality will be reviewed to determine options and discussed with end user Manager	30/06/2018
			<b>M</b>	Control measures will be updated to reflect the Corporate Security Standards	30/09/2018
ICT	Steve Hearse	The ICT Security policy was identified as requiring refreshing and updating during the year	<b>M</b>	Policy has recently been refreshed and is now subject to review and approval by SMT prior to disseminating to Officers and Members	30/06/2018
Licensing	Janet Williams	Child Sexual Exploitation Training has not been provided for taxi drivers in the district (required for full compliance with the Children's Act). Any incidents would lead to reputational damage to the Council.	<b>M</b>	Effective processes are already in place for checking licensee applications and renewals. The Council is working alongside the police force to provide CSE training for all taxi drivers	31/12/2018
Planning	Jamie Hollis	Over reliance on temporary/agency staff to deal with work volumes placing strain on the budget.	<b>M</b>	Successful appointment of a number of permanent officers and a range of other measures has alleviated this issue	Complete
Risk Management	Steve Hearse	No recent risk management training for the management team. Managers may not maintain an adequate awareness and understanding of the principles and importance of Risk Management	<b>M</b>	Refresher course to be organised for SMT/OMT	31/03/2019
Risk Management	Steve Hearse	Some inconsistencies and inaccuracies found in service risk registers which may detract from their usefulness.	<b>M</b>	All risk registers to be reviewed and challenged by the Risk Management Group. The register format to be reviewed to ensure it is less onerous.	31/12/2018
Risk Management	Steve Hearse	Terms of Reference of the Risk Management Group needs to be finalised and the group needs to meet on a frequent/regular basis.	<b>M</b>	Terms of reference have been finalised and RMG meetings scheduled for 2018/19	Complete

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Asset Management	David Heyes	In the Draft Statement of accounts (2016-17) there was an instance where 'migration' and 'acceptance' costs had not been capitalised	L	The amount was non-material, so no adjustment was required to the accounts, but steps have been put in place to ensure this happens in future accounts.	Complete
Asset Management	David Heyes	There are some inconsistencies in the FPR in relation to values and Disposal authorisation	L	Inconsistencies will be amended when the FPR is next updated and approved	30/06/2019
Benefits	Simon Toon	There had not been a full 'test restore' of the data back up of the Benefits records on Academy and DIPS for a prolonged period	L	A test restore of the system has been carried out and was successful	Complete
Cemeteries	Andrew Waite	Duplication of burial records due to the lack of a robust computerised solution.	L	Awaiting the implementation of a full data solution	31/12/2018
Council Tax	Simon Toon	The procedure manual held on the ACS Navigator site remains out of date and in some instances inaccurate which could lead to the incorrect processing of Council Tax accounts.	L	The system owners have been contacted and the system has been updated	Complete
Finance	David Heyes	Inconsistencies on signatories list	L	List updated and reminders sent	Complete
Governance	Jon Walter	Access request forms could not be found for some officers who had access to Facebook and twitter as required by the Social Media Policy	L	All forms completed and reminder sent	Complete
HR	Sarah Ayres	Leavers checklists not completed in all instances	L	Reminder issued to ensure checklists completed for all leavers	Complete
NNDR	Simon Toon	There was no independent monitoring of cases held at the 14 day letter stage leading to delays in the recovery process	L	Quarterly monitoring process of any cases held for more than 14 days has been implemented	Complete