

NORTH DEVON DISTRICT COUNCIL

REPORT TO: GOVERNANCE COMMITTEE

Date: 9th March 2021

TOPIC: AUDIT RECOMMENDATION TRACKER

REPORT BY: CHIEF EXECUTIVE

1 Introduction

- 1.1 This is the regular progress report to the Committee in relation to action taken to address internal and external audit recommendations.

2. Recommendations

- 2.1 That the Committee note the actions that have been taken to address identified risks since the 12th January 2021 Governance Committee meeting.
- 2.2 That the Committee raises any areas of concern arising from the list of outstanding recommendations.

3. Reasons for Recommendations

- 3.1 To give assurance to the Committee that audit recommendations are being actively managed, and to give the Committee a full opportunity to review any areas of concern.

4. Report

- 4.1 SMT has reviewed the high and medium risk audit recommendations to assess progress and instigate any required actions.
- 4.2 Since the last meeting the number of recommendations now tracked has risen to 1,229.

Table A) Live Audit Reports, Status & Numbers














Code	Title	Status	Progress	High Risk	Medium Risk	Low Risk
16 PL	Planning Applications 2015/16	 In Progress	83%	0	3	0
17 SRR	Security Review Report 2017/18	 In Progress	98%	4	5	0
17 L	Licencing 2017/18	 In Progress	95%	0	1	3
17 G	Grants 2017/18	 In Progress	99%	0	2	5
19 GDPR	General Data Protection Regulations 2018/19	 In Progress	92%	0	0	7
20 BC	Business Continuity 2018/19	 In Progress	0%	3	1	0
20 FB&E	Fraud, Bribery & Ethics 2018/19	 In Progress	40%	0	5	1
20 CC	Cash Collection 2020/21	 In Progress	50%	2	2	0
20 CG & RM	Corporate Governance & Risk Management 2020/21	 In Progress	0%	6	2	0
20 MCS&BC	Main Accounting System & Budgetary Control 2020/21	 In Progress	0%	1	1	0
20 P	Payroll 2019/20	 In Progress	0%	0	0	1
20 LCP	Leisure Centre Project	 In Progress	50%	0	2	4
20 C	Creditors	 In Progress	25%	0	3	0

Table B: Audit recommendations setting completed since the last Audit Committee

Recommendation	Closure Note	Original Due Date	Completed Date
20 CG&RM 05 The Corporate Risk Group should be given responsibility or oversight and effective operation of the Risk Framework	15-Feb-2021 Closure Note: The Risk Management Framework has been revised to make the responsibility and oversight clearly assigned to our Corporate Risk Management Group CORGI.	31-Dec-2020	15-Feb-2021
20 CG&RM 10 Significant actions from H&S Welfare Committee should be tracked in an 'Actions Section' of the notes. Notes referred to CORGI & SMT	22-Feb-2021 The H&S minutes now have an 'actions' column added at the end so they can be collated.	31-Dec-2020	22-Feb-2021
20 CG&RM 11 Opportunity: The Risk Management Framework to outline where it has low risk tolerance e.g. Law, H&S, Data Protection to be noted	13-Jan-2021 Closure Note: The Council's Risk Management Framework has been updated to incorporate a section setting out those areas the Council has a low tolerance of risk for.	31-Dec-2020	13-Jan-2021
20 LCP 03 Improve the detail / quality of recorded mitigating actions on the risk should include target dates to implement them with a link to the mitigating actions in the risk register.	11-Jan-2021 Management Response: A Risk Register review and update will now be a standing agenda item on monthly meeting agendas. Killian Hall at Curry & Brown will ensure that the monthly project minutes include actions to update this risk register mitigations. This should start with immediate effect and be noted in the minutes of the December 2020 project meeting.	31-Dec-2020	11-Jan-2021
20 LCP 06 The Council should create an engagement strategy / communications plan to include updating the North Devon Website	11-Jan-2021 Management Response: A communication strategy had been prepared in 2019, but this only covered a period up until construction start on site. The plan was then somewhat derailed due to Covid 19. Following this audit, colleagues in NDC's Communications department have drafted an updated plan taking us through to the opening of the new centre. M.Kentell and R.Slaney to now agree action dates with comms colleagues and sign off the new strategy (by Mid January 2021).	31-Jan-2021	31-Jan-2021

Table C: Outstanding Audit Recommendations where Head of Service have requested a revision to the due date

Code	Description	Progress	Latest Note	Original Due Date	Due Date
20 CG&RM 01	Review, update & version control the Risk Management Framework & re-publish to Middle Managers	85 %	<p>The review of the Corporate Risk Management Framework has been completed and this version has been distributed to all CORGI members. This will then be discussed at the next CORGI meeting, approved and re-published to all Middle Managers.</p> <p>Request Revised due date: 31st March 2021</p>	31-Dec-2020	31-Dec-2020

Table D: Outstanding Audit Recommendations

Code	Description	Progress	Latest Note	Original Due Date	Due Date
NIL					

5. Progress tracking of Annual Governance Statement

- 5.1 An annual review of NDC's governance arrangements leads to the Annual Governance Statement, which forms part of the Statement of Accounts.
- 5.2 In addition to any other issues the review captures recommendations from external and internal audit and inspections and sets out an action plan. This plan is tracked through Covalent; Table E below.

6. Constitution Context




Appendix and paragraph	Referred or delegated power?
5.5	Delegated

7. Statement of Internal Advice

- 7.1 The author (below) confirms that advice has been taken from all appropriate Councillors and officers.

Author: Sarah Higgins Date: 22nd February 2021
Reference: Audit Recommendation Report March 2021 V1.0

Table E: Annual Governance Statement 2019/20

Code	Description	Status	Progress Bar	Latest Note	Original Due Date	Due Date
AGS 19/20 01	Review all business continuity plans and introduction of a corporate business resumption plan together with a cyber attack response plan, a revised Disaster Recovery Plan and new Cyber Incident Response Plan	 In Progress	<input type="text" value="0%"/>	We have a Cyber Incident Response Plan, which was adopted by SMT a couple of years ago. The team have been reviewing this and there was another meeting on 17th December to complete.	31-Mar-2022	31-Mar-2022
AGS 19/20 02	Development of an Action Plan to implement recommendations from the Peer Review	 In Progress	<input type="text" value="0%"/>		31-Mar-2021	31-Mar-2021
AGS 19/20 03	Financial and Contract Procedure rules	 In Progress	<input type="text" value="0%"/>		31-Mar-2021	31-Mar-2021