Open

NORTH DEVON COUNCIL

Report Date: 14th June 2022

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 8th March 2022 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 has risen to 1,339.

Table A) Live Audit Reports, Status & Numbers

Code	Title	Status	Progress	High Risk	Medium Risk	Low Risk
16 PL	Planning Applications 2015/16	🔴 Overdue	82%	0	3	0
19 GDPR	General Data Protection Regulations 2018/19	🔴 Overdue	95%	0	0	7
20 BC	Business Continuity 2018/19	▶ In Progress	77%	3	1	0
20 FB&E	Fraud, Bribery & Ethics 2018/19	▶ in Progress	86%	0	5	1
20 CC	Cash Collection 2020/21	▶ In Progress	93%	2	2	0
20 CG & RM	Corporate Governance & Risk Management 2020/21	🔴 Overdue	92%	6	2	0
20 MCS&BC	Main Accounting System & Budgetary Control 2020/21	🔴 Overdue	50%	1	1	0
20 C	Creditors	▶ In Progress	58%	0	3	0
21 SC-19 O	Safe Covid-19 Operations 2020/21	🔴 Overdue	93%	2	5	0
21 CSM&R	Cyber Security – Malware & Ramsonware April 2021	▶ In Progress	63%	8	9	3
21 Pro	Procurement 2020/21	▶ In Progress	48%	0	7	1
21 PO	Parking Operations 2020/21	▶ In Progress	31%	2	0	0
21 CCG	Climate Change Governance	▶ In Progress	60%	0	3	1
21 D	Debtors August 2021	▶ In Progress	77%	0	2	3
21 P	Payroll 2020/21	▶ In Progress	75%	0	9	6
21 H&S	Health & Safety 2021/22	▶ In Progress	36%	0	7	2
22 C	Creditors 2021/22	▶ In Progress	0%	0	0	1
22 EPCC	Emergency Planning Civil Contingencies 2021/22	▶ In Progress	0%	0	4	0
22 FUBCM	Follow Up Business Continuity Management 2021/22	▶ In Progress	86%	6	3	0
22 L	Licencing 2021/22	▶ In Progress	25%	0	1	0
22 P	Planning Oct 2021	▶ In Progress	0%	0	2	1
22 S	Safeguarding Feb 2022	▶ In Progress	0%	0	5	0
22 C&C	Contracts & Commissioning 2021/22	▶ In Progress	0%	0	2	1

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

Recommendation	Closure Note	Original Due Date	Completed Date
17 SRR 08 Information Sharing	We now have a facility on Insite where all staff can do an address search for cautionary contacts prior to property visits.	30-Jun-2018	04-May-2022
19 GDPR 02 Management with HR consider Ongoing Training	GDPR training is on-going and scheduled to include new staff inductions, refresher quizzes for staff and councillors. Also training for Data Protection Lead Officers. Further learning opportunities will be considered as they arise	31-May-2019	26-May-2022
21 CSM&R 04 Schedule an incident response exercise with an external speclialist.	Following the outputs from the workshop we have made improvements to our incident response plan and playbooks which will help in our cyber response should we need to invoke them.	31-Mar-2022	29-Apr-2022
21 CSM&R 05 Carry out a ransomware business impact analysis & risk assessment.	ICT have worked with Alex Miles to formulate a database of business critical systems. We now have a spreadsheet containing high priority functions including associated IT risks	31-Mar-2022	01-Mar-2022
21 CSM&R 12 Replace Logrhythm	Logrhythm has now been turned off and has been replaced with LME (Logging Made Easy)	31-Mar-2022	01-Mar-2022
21 CSM&R 13 Keep copies of legal & regulatory reporting processes, including data protection, off-line with the incident response & DR documents.	Completed. Incident response plan and Data Protection documents in SharePoint, Data Protection emails in Office 365, DR documents held offsite at BEC, Ilfracombe, South Molton and Lynton House.	31-Mar-2022	10-May-2022

21 P 02 Revise the Expenses Policy aligned to the Employee Self-Service Module	The expenses policy has been reviewed and updated	30-Sep-2021	16-May-2022
21 P 06 Look to introduce separation of duties within day to day payroll activities, ensuring independent quality control checks are introduced.	Extra resource has been put back into Payroll within the Exchequer Team. This has allowed increased separation of duties in payroll activities, allowing more independent checks.	31-Oct-2021	16-May-2022
21 P 07 Review the sufficient level of support evidence to ensure that adequate records are retained going forward	Following review of the past few months payroll we can confirm this action is now complete.	30-Jun-2021	18-Feb-2022
21 P 14 Review contingencies for emergency payments and consider whether it is possible to conduct limited testing of some aspects of the plan	The revised Business Impact Assessment has been reviewed again by internal audit with no new recommendations raised.	30-Nov-2021	16-May-2022
21 CSM&R 15 Keep at least one backup offline at any given time	A copy of the tape backups is now being held in the safe on an LTO8 tape.	31-Aug-2021	17-May-2022
21 CSM&R 19 Accept the risk for local device storage	Users can only access the D:\drive on the local device, there is not D:\drive partition on the VDI environment from which most users work frp,. Having an inaccessible C:\drive and using the D:\drive as an area to save etc photos, before transferring to a network drive is an intermediate step until we move data and files to SharePoint and One Drive.	31-Mar-2022	17-May-2022

	Documentation has been created highlighting that any data that requires backing up is saved to a network drive.		
	We accept the risk that data could be lost if the end user has not followed best practice		

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 CC 02 PCI Completed ASAP HIGH	The PCI Compliance project led by the Accountancy Services Manager should be completed as soon as practicable. The authority should then take the necessary steps through changes in systems and processes along with the necessary staff training to ensure future compliance with payment card industry rules to reduce the risk currently held.	75%	26-May-2022 A further PCI scan was carried out in May 22. The main issue outstanding involved the DNS servers. This issue needs to be raised with Devon County Council. A time extension is requested to allow that engagement with DCC **Request extension of time: 30th September 2022**	31-Mar-2022	31-Mar-2022
21 D 05 SMT should co-ordinate effective action to reduce the level of debt by reviewing aged sundry debtors, setting targets and quantify the risk	**Recommendation:** Senior Management Team should coordinate effective action to reduce the level of debt. This includes: • Reviewing aged sundry debt for each service area as part	85%	24-May-2022 SMT review aged debts as part of budget monitoring reports. Each Head of Service was tasked with reviewing the debt recovery process and procedures for their service. SMT agreed not to introduce departmental targets for outstanding debt at this time. A report to SMT reviewing the housing deposit scheme is due in June 2022.	30-Apr-2022	30-Apr-2022

| relating to housing deposits

MEDIUM | of the budget monitoring report.

• Setting targets for service areas to reduce their levels of outstanding debt.

• Quantifying the risk related to Housing Deposits and communicating the increased risk of defaults to members.

Observation & Implications:

The value of financial year end outstanding debtors reported to the Strategy & Resources Committee through the Performance and Financial Management Quarter 4 Report by the Head of Resources has increased from £560K as at 31 March 2018 to £1,386k as at 31 March 2021 (an increase of 247% over three years). In the same time period debt outstanding 'less than 1 year old' has increased from £199k (3.5% of value of invoices raised in the 2017/18 financial year) to £497k (7.7% of value of invoices raised in the 2020/21 financial year). In the same three-year period, all | | Outstanding debt on the balance sheet as at 31st March 2022 had reduced by £297k compared to the previous year.

Request extension of time: 31st July 2022 | | |

	outstanding debt 'over 1 year old' as at 31 March has shown an upward trend increasing from £363k to £889k (an increase of 245%).			
	The value of general debtor invoices raised each financial year has shown an upward trend increasing from £5.7m in 2017/18, to £7.3m in 2018/19 and £9.28m in 2019/20 only to be curtailed in 2020/21 due to Covid-19 and lockdowns resulting in many services unable to be provided or required leading to invoices of a value of £6.42m being raised. Despite a £2.86m reduction in the value of invoices raised in the 2020/21 financial year, year-end outstanding debt only fell by £56k from £1.442k (31 March 2020) to £1,386k.			
	No specific performance indicators exist regarding debtors or debtor collection upon the Pentana system and there are no specific targets detailed upon the Performance and Financial Management reports			

	presented to the Strategy and Resources Committee.				
	An 'Aged Debt Monthly Summary Report 28 July 2021' showed 12 departments / service areas with outstanding debts in excess of £50k: -				
	Housing Client Deposits £344,588.78 (£256,681.45)				
	Works Trade Waste £297,952.49 (£12,350.52)				
	Housing Deposit Cases £238,972.46 (£222,551.92)				
	Works Recycling £177,960.73 (£77,752.03)				
	Estates Corporate Props £147,985.10 (£26,975.70)				
	Planning Admin £126,535.35 (£0.00)				
	Exch / Tech Payroll £120,442.40 (£1,694.82)				
	Building Control £108,829.84 (£32,883.27)				
	Planning £75,524.64 (£95,381.16)				

	Legal Services £71,480.47 (£67,771.47) Works Harbourmaster £70,568.72 (£2,589.50) Accountancy £62,131.10 (£0.00) Outstanding debt within the above 12 departments / service areas totals £1,842,972.08 which is 87.4% of the total outstanding debt detailed within the report. The figures shown to the right of the above analysis in brackets is the value of outstanding debt in each area which is 1 year or more old. As can be seen the value of Planning debt in brackets is higher than the first value shown (this is because Credits / Payments values are not included within the 1 year or more old debt figure). Debt '1 year or more' old for these 12 departments / service areas totals in excess of £796k.				

16 PL 03 S106 Agreements

MEDIUM | We recommend that as part of the Contract audit 2016/17 a review the administration of Section 106 Agreements is completed to assess the effectiveness of service delivery. | 48% | 6th June 2022; DEF were delayed in sending us their changes by about four weeks, so we only received these last week. A full project plan is available upon request to view. Current planned date for completion of project is end 2022

Request extension of time: 31st December 2022 | 31-Dec-2016 | 31-Mar-2022 |
| 21 BCFU 09 Consider the Impact of Covid-19 on Operations

MEDIUM | **Observations:** The Covid-19 emergency has required changes to Council working practices and operations, including requiring many staff to work from home. Current intentions are that when the emergency is over, people will work from home far more than before. This will have implications in terms of business resilience and business continuity. It will for instance become more important that the IT system is resilient to support video conferencing in the event of an incident. Current Service resumption plans have yet to catch up to consider the implications arising from the | 70% | 21-Feb-2022 THIS AUDIT RECOMMENDATION HAS BEEN REACTIVATE AS THE DAP ASSESS THIS AS SUBSTANTIALLY IMPLEMENTED, ALTHOUGH WORK IS NEEDED TO TAKE FORWARD THE IDENTIFIED ACTIONS FROM THE REVIEW.

DAP Comment: We assess this as substantially Implemented, although work is needed to take forward the identified actions from the review.

The initial report on lessons to be learnt had good detail and lists the strengths, weaknesses, and suggested actions to improve operational resilience. This has been accepted by the Senior Management Team.

A debrief of the IMT and new members of SMT was carried out in November 2021. | 31-Dec-2021 | 31-Dec-2021 |

	new arrangements. The Council has already undertaken an initial review in November 2020 of findings from the covid-19 emergency, and suggested actions points produced. Further work is needed to identify key lessons from the emergency, and to ensure that they are tracked to completion		Following the initial review, all members of SMT were asked to complete a feedback form drawing on their/Teams experiences since the last debrief of COVID19 as well as other concurrent events (Flooding, Forth Bridge, Ruda Caravan Site) to identify things that went well and areas for improvement. The feedback underwent thematic analysis and four main themes were identified "organisational agility", "Communication", "Safety Measures" and "Staff Resilience and Homeworking". Recommendations from the previous debrief were closed down where appropriate and a system has been put in place to ensure future actions are tracked to completion. **Request Revised Due Date: 30th November 2022**		
21 CCG 04 Implement a corporate environmental management system with associated KPI's HIGH		25%	Our Corporate KPI's are under review as part of the Project Management Office function; this recommendation will form part of this review. **Request revised due date: 30th November 2022**	30-Apr-2022	30-Apr-2022

21 H&S 05 Officers responsible for recording fire alarm tests, emergency lighting, firefighting equipment & signage have refresher training on the procedures & frequency necessary MEDIUM	**Observations & Implications** Checks on some fire alarms, emergency lighting and firefighting equipment are not being undertaken and recorded with sufficient care and attention, risking potential failure in a real-life situation.	80%	23-Feb-2022 Officers contacted, reminded of their obligations, recent records seen by PAC, except for Pannier Market = PAC to follow up with Hannah/Simon **Request revised due date: 30th September 2022**	31-Jan-2022	31-Jan-2022
21 H&S 10 Some Fire Safety Plans could do with updates of who has been trained and when MEDIUM	**Observations & Implications** Not all fire safety training records were complete which increases the risk of untrained people dealing with a high-risk scenario with a greater risk to life and property.	0%	21-Dec-2021 **Management Response:** Facilities Manager has organised fire safety warden training for April 2022– Training did not take place since March 2020 due to Covid **Request revised due date: 30th September 2022**	30-Apr-2022	30-Apr-2022
21 PO 02 Further work to be undertaken to improve the management information	**PARKING PERMITS ARE NOT WELL MANAGED LEADING TO FINANCIAL AND REPUTATION LOSS** **Recommendation:** Further work be undertaken to	95%	08-Apr-2022 Work on this is ongoing but currently at 95% complete. A spreadsheet that combines parking payments (cash/card/RingGo) as well as breaking them down has been set up and data will be added month by month.		31-Mar-2022

available to support regular review of PCN collection rates to support improvements to processes where necessary HIGH	improve the management information available to support regular review of PCN collection rates to support improvements to processes where necessary. **Observations:** The management information received does not currently support effective monitoring of PCN collection. Staff currently do not have adequate and sufficient training to extract the necessary management information to review collection rates of the penalty charge notices that it issues. **Implications:** That means it is unable to consider whether it is effectively collecting charges levied, or to consider how the priactice fits in with the wider ar parking strategy.		Procedure manuals are being updated whilst training is ongoing. This is due to LH going on maternity leave in August and SC retiring in November. Car Parks Manager also working closely with software supplier on a detailed PCN analysis report. **Request revised due date: 31st August 2022**		
20 CC 04 Complete R 04 19/20 Service Plan Action Investigate Document Retention disposal	Successful completion of Service Action Plan R 04 19/20 'Investigate Document Retention disposal modules for Core Financial Systems' should enable removal of	20%	16-May-2022 The revised service action target has been agreed for March 2024. This request will bring the audit recommendation and service in line. The business grants and council tax energy rebate payments have added a considerable number of accounts to the creditors system, so consideration will	31-Mar-2022	31-Mar-2022

modules for core financial systems MEDIUM	historic information from core financial systems and remove the risk of non-compliance with GDPR requirements and risks around management of supplier records.		also need to be given to an archive viewer module. **Request extension of time: 30th March 2024**		
21 CSM&R 07 Configure web-browers to use their built in safe browsing services. MEDIUM	**Recommendation:** Configure web-browsers to use their built-in safe browsing services. **Observations and Implications:** Safe Browsing Lists - Web-browsers are not configured to use safe browsing list services. Malicious Websites are not blocked for web traffic that is not routed via the Fortinet web filtering service such as computers that do not connect to the corporate network.	35%	31-May-2022 We have started to add restrictions to browsers, safe search, moderate restrictions on YouTube, blocking users from installing extensions, safe browsing set to standard. In Edge we have also turned off intrusive adverts and the autofill of credit cards. **Request extension of time: 31st November 2022**	31-Mar-2022	31-Mar-2022
21 CSM&R 08 The Protective DNS mobile client is under evaluation. Enable safe	**Recommendation:** The Protective DNS mobile client is under evaluation. Enable safe browsing list services for computers that do not	30%	31-May-2022 Roaming DNS only affects users who are at home and are not connected to the VPN. All users who have connected to the VPN will have their DNS traffice routed over NDCs secure connection.	31-Mar-2022	31-Mar-2022

browsing list services for computers that do not connect to the corporate network. MEDIUM	connect to the corporate network. **Observations & Implications:** Protective DNS - The NCSC Protective DNS is not configured for computers that do not connect to the corporate network. Malicious web sites may be resolved for Windows 10 clients not connected to the network.		We have contacted the National Cyber Security Centre for advice on how this can be achieved. This piece of work will likely lead to a recall of all NDC laptops and require a certificate installed on the laptop. **Request extension of time: 31st November 2022**		
21 CSM&R 18 Establish a backup regime for Microsoft 365 data before migrating the U; T: and I: network drives to OneDrive & SharePoint. MEDIUM	**BACKUP OF CLOUD SERVICES** **Recommendation:** Establish a backup regime for Microsoft 365 data before migrating the U; T: and I: network drives to OneDrive & SharePoint. In the meantime, publish guidance for users to save important email & attachments to the on-premise network drives. **Observation:** Microsoft 365 is not backed up.	70%	31-May-2022 We have an Arcserve backup upgrade going in on the 21st June. This will give us the ability to backup SharePoint. We haven't yet migrated any data to SharePoint. Once this piece of work has been completed a backup schedule will follow. Emails are currently being backed up. **Request extension of time: 31st November 2022**		31-Mar-2022

	Implications: Deleted and damaged mailboxes are not recoverable.				
20 MCS&BC 02 Implementation of Civica Financials Software V19.5, V20 & V21 should be report to the S&R in the quarterly performance report MEDIUM	The anticipated implementation dates for Civica Financials software releases v19.5 (interim), v20 and v21 should be recorded upon the Service Plan Actions section of the quarterly Performance and Financial Management report presented to the Strategy and Resources Committee.	0%	24-May-2022 This recommendation has been replaced by the service plan action to upgrade financials to version 23.1. This version was released in May 22. Time extension requested to bring in line with service plan target date. **Request extension of time: 31st March 2023**	30-Sep-2021	31-Mar-2022
21 H&S 02 Create a list of policies to aid oversight & review. All policies should be reviewed & updated, & a system be introduced to ensure they are reviewed annually or sooner given changes in risks be put in place.	**Observation & Implications** Most H&S policies are overdue for review, and there appear to be some risks (list sent to the H&S Officer) that have not been considered. All policies and information sheets should be given a 'reviewable on/by' date in the future. Unreviewed policies increase the risk that legislative changes or best practices have been missed.	0%	16-May-2022 No time to progress this. (other half of my job has been very busy since a member of staff left, I have been covering the vacancy.) **Request extension of time: 31st August 2022**	31-Mar-2022	31-Mar-2022

MEDIUM	Recommendation 2.3 relates to assessing and reducing the risk assessments in place.				
21 H&S 07 All risk assessment logs should be reviewed to ensure that those risk assessments overdue for review are refreshed MEDIUM	**Observations & Implications** Some Risk Assessments are overdue for a review or have no 'reviewable on/by' date, meaning that they may not be up to date with current risks and legislation in the workplace. A review is currently underway – note our point against risk area 1 about the need to reduce the number of Risk Assessments.	20%	16-May-2022 No further progress due to covering for member of staff who left my team (other half of my job) No time to progress this matter. **Request for extension of time: 30th September 2022**	31-Jan-2022	31-Jan-2022
21 H&S 08 Existing plans for all buildings should have a review date on them, & where this is not the case they should be reviewed at the earliest opportunity MEDIUM	Fire Safety Plans have not been reviewed recently and some do not have a review date on them, increasing the risk that changes to premises or staffing levels have not been duly considered and therefore be less effective.	75%	17-May-2022 This refers to Fire Risk Assessments. Certain employees were required to review them annually but as this was not done in in -person meetings, due to Covid and home working. Some people have carried out the review in a timely manner, others, not so timely, and some are still to complete. The Fire Risk Assessments are due for their 5 yearly review by an outside contractor in Sept 2022. This work has been commissioned and will take place in Sept 2022	31-Jan-2022	31-Jan-2022

			Request revised due date: 30th September 2022		
21 SC-19 O 03 Urgently re-instate Mental Health & Wellbeing Workstream HIGH	During a review of North Devon's risk management framework earlier in 2020, we were informed that the mental health and wellbeing workstream to address the mental health risk from the corporate risk register, had been put on hold due to the pandemic. The pandemic has had a significant negative impact on people's mental health and wellbeing, which has been highlighted in the survey. This workstream needs to be urgently re-instated	96%	We now have 3 fully qualified MH First Aiders and a further 4 employees MH awareness trained. New attendance policy completed just resolving one outstanding matter re the recording of types of sickness. **Request revised due date: 31st July 2022**	30-Jun-2021	31-Dec-2021
21 SC-19 O 05 Introduce quarterly pulse surveys of every employee MEDIUM	The Council undertook their survey in July 2020 to establish how people were coping at home. No survey has not been undertaken by the Council for the wider workforce to understand how Covid is impacting on the wider workforce. We consider that the Council should	50%	This is being explored through ICT and OD group, unfortunately other priorities within ICT has delayed the roll out. However we have recently undertaken a comprehensive wellbeing survey of which the results will be analysed. **Request extension of time: 31st December 2022**		

	instigate periodic surveys as they provide insight to senior management on how staff are feeling and informs of any areas where time / resource could improve working conditions and wellbeing for staff. The move by Senior Management to carry out personalised risk assessments would enable management to provide tailored support. Undertaking a survey post implementation would be beneficial as this would provide a measure of impact and whether it was successful. In any survey it is also important to show that effective action is being taken to address concerns and issues raised by staff			31-Jul-2021	30-Nov-2021
21 CSM&R 16 Regularly exercise system and data restore & recovery HIGH	**BACKUP RECOVERY & RESTORE EXERCISES** **Recommendation:** Regularly exercise system and data restore & recovery: * A cycle of restore rests for critical business applications	0%	31-May-2022 We have a UDP backup upgrade scheduled for the 21st June. We will speak to Arcserve about virtual sandboxing and what other options are available to us. **Request revised due date: 31st November 2022**	31-Mar-2022	31-Mar-2022

	* The recovery of files from unstructured files storage * Restore and recover objects in document management storage such as SharePoint **Observation:** ICT do not regularly exercise system and data restore and recovery. Ad-hoc restore of servers from backup and recovery of files does take place. **Implications:** Restore and recovery of critical business in response to an incident may be inefficient of not possible.				

Table D: Outstanding Audit Recommendations

Code	Description	Progress	Latest Note	Original Due Date	Due Date
NIL					

5   Progress tracking of Annual Governance Statement

a.   An annual review of NDC's governance arrangements leads to the Annual Governance Statement, which forms part of the Statement of Accounts.

b.   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

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

Author: Sarah Higgins   Date: 6th June 2022

Reference: Audit Recommendation Report June 2022 V1.0

Table E: Annual Governance Statement 2020/21 Recently Completed Actions, Request for Revised Due Date and Overdue

Code	Description	Status	Progress Bar	Latest Note	Original Due Date	Due Date
21 AGS 01	Training on the Members' Code will need to be provided again by the new Head of Governance	Complete	100%	16-Feb-2022 Training was provided to Members on 20th January 2022 by the Monitoring Officer. The session was also recorded	31-Mar-2022	31-Mar-2022
21 AGS 02	The Register of Interest needs updating as it was last updated in February 2019	Complete	100%	16-May-2022 The registers of interests on the website for both District Councillors and Parish Councillors are up-to-date with the registers of interests that we have received.	31-Mar-2022	31-Mar-2022
21 AGS 03	Undertake a review of the Complaints Procedure to confirm that it is operating effectively	Revised date request	50%	01-Jun-2022 This action is being incorporated into the Customer Focus Improvement Project (CFIP) The process of submitting a complaint has been mapped out and a new process is now in place for submitting a complaint which ensures all relevant information is included in the initial report,	31-Mar-2022	31-May-2022

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				depending on the service and feedback type. The highest number of complaints is for W&R; this is the initial focus of the CFIP work and work will continue to review the process of complaints/feedback in this area. **Request revised due date: 31st December 2022**		
21 AGS 04	Undertake more periodic staff surveys to get a current view on how staff are feeling, and identify if staff have any issues, concerns or trends in areas such as Equality & Diversity, Bullying, Harassment, level of stress	Complete	100%	01-Jun-2022 We have just undertaken a comprehensive staff welling survey, of which the results are being analysed. These surveys will continue on a regular basis	31-Mar-2022	31-Mar-2022

21 AGS 05	Produce the Annual Equality Report which is a legal requirement	In Progress	0%	13-Dec-2021 This report is included in the Governance Action Plan with a target date of December 2022.	31-Mar-2022	31-Dec-2022
21 AGS 06	The Constitution will need to be updated to reflect the recent governance changes	Complete	100%	11-Nov-2021 **Closure Note:** The Monitoring Officer confirms that the Constitution for the purposes of this audit recommendations has been updated.	30-Nov-2021	30-Nov-2021
21 AGS 07	The Council should consider how to report more clearly how our budget is spent and the impact it is having	In progress	0%	13-Dec-2021 This audit recommendation is included in the Governance Action Plan with a target date of September 2022.	31-Mar-2022	30-Sep-2022
21 AGS 08	Remove the Browse Forward Plans with key decision notifications off the website as it contains no current information	Complete	100%	07-Dec-2021 Our software supplier has now removed this.	30-Nov-2021	30-Nov-2021
21 AGS 09	Update the Freedom of Information statistics as there is only coverage up to September 2020	Complete	100%	11-Nov-2021 **Closure Note:** The Monitoring Officer confirms that the FOI Stats are now up to date: **https://www.northdevon.gov.uk/council/data-protection-and-freedom-of-**	31-Dec-2021	31-Dec-2021

				information/freedom-of-information-statistics/		
21 AGS 10	Discuss the LGA CPCs Follow Up review recommendations with Council officers when it is completed	Complete	100%	16-Feb-2022 CPCs original and final report was presented to Full Council in January 2022 and members noted the two reports and officers to publish them accordingly. The reports were also circulated to all staff.	31-Dec-2021	31-Dec-2021
21 AGS 11	Consider whether there is a need for a communication & engagement strategy to ensure the Council is reaching out to the community and is accessible in its communications	In Progress	0%	13-Dec-2021 This audit recommendation has been included in the Governance Action Plan with a target date of September 22.	31-Mar-2022	30-Sep-2022
21 AGS 12	Review & update the Corporate Plan and council priorities	Complete	100%	16-Feb-2022 Two Member workshops have been held to review the Corporate Plan and this also included engagement on the	31-Dec-2021	31-Dec-2021

				Programmes which look to deliver on the Council priorities		
21 AGS 13	Progress the recommendations within the Devon Districts Procurement Strategy & update the Procurement Sustainability Strategy	In progress	20%	13-Dec-2021 The review of procurement, including sustainability, is a Governance Service Plan item with a target date of October 2022. SWOT analysis has been undertaken and terms of reference set for first working group meeting in Jan 22.	31-Mar-2022	31-Oct-2022
21 AGS 14	Consider how to provide more summary information for the public on Council Performance, Performance and Financial Management & PIs as there is no easy access to information on delivery against priorities, plans or indicators	Revised date request	25%	26-May-2022 Heads of Service are currently reviewing their performance indicators. The publishing of summary information is within phase 2 of the financial security programme and will be produced in line with the 22/23 Statement of Accounts. **Time extension request to 31st May 2023**	31-Mar-2022	31-Mar-2022
21 AGS 15	Re-review the core performance indicators to confirm that they can be used to monitor and report performance in all important sectors	In Progress	20%	08-Apr-2022 All Heads of Service have been asked to review their existing suite of Key Performance Indicators with the following challenge: * Who do we collect this information for?	31-Mar-2022	30-Sep-2022

				* Do their results drive decisions and/or changes? * Are these performance / results drive or review view /data indicators?		
21 AGS 16	Undertake a compliance assessment against the new Financial Management Code as required by CIFPA	Request time extension	20%	26-May-2022 An initial assessment has been completed against the code. A more detailed assessment will be required after the 21/22 Statement of Accounts has been produced. The full assessment will be reported to the Governance Cttee in September 2022. **Time extension request to 30th September 2022**	31-Mar-2022	31-Mar-2022