

Open

NORTH DEVON COUNCIL

Report Date: 26th September 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 14th June 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 1,364.

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	95%	3	1	0
20 CC	Cash Collection 2020/21	▶ In Progress	93%	2	2	0
20 MCS&BC	Main Accounting System & Budgetary Control 2020/21	▶ In Progress	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	68%	8	9	3
21 Pro	Procurement 2020/21	▶ In Progress	48%	0	7	1
21 PO	Parking Operations 2020/21	▶ In Progress	98%	2	0	0
21 CCG	Climate Change Governance	▶ In Progress	65%	0	3	1
21 D	Debtors August 2021	▶ In Progress	90%	0	2	3
21 P	Payroll 2020/21	▶ In Progress	78%	0	9	6
21 H&S	Health & Safety 2021/22	▶ In Progress	76%	0	7	2
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	87%	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	21%	0	5	0
22 C&C	Contracts & Commissioning 2021/22	▶ In Progress	0%	0	2	1
22 CCG	Climate Change Governance	▶ In Progress	0%	0	7	3
22 GM	Grounds Maintenance	▶ In Progress	42%	0	5	0
22 MA	Members Allowances	▶ In Progress	33%	0	1	2
22 PAY	Payroll	▶ In Progress	33%	0	1	1
22 S	NDC Security	▶ In Progress	12%	0	4	1

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

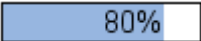
Recommendation	Closure Note	Original Due Date	Completed Date
21 AGS 03 Undertake a review of the Complaints Procedure to confirm that it is operating effectively	This action is now complete. The feedback process was mapped which resulted in a new Firmstep form to report complaints, compliments and comments. A recent Audit report of W&R gave assurance of the complaint procedure. The team will continually review the process ongoing.	31-Mar-2022	14-Sep-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	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	01-Jun-2022
21 CSM&R 07 Configure web-browsers to use their built in safe browsing services.	Safe browsing lists now completed and active on all browsers	30-Nov-2022	22-Aug-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.	The Arcserve upgrade has now been completed. We are now backing up SharePoint and One Drive. Backup regime established.	30-Nov-2022	22-Aug-2022

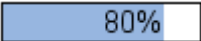
<p>21 CSM&R 19 Accept the risk for local device storage. Create user guidance reminding users to store critical data in locations that are backed up.</p>	<p>Users can only access the D:\drive on the local device, there is not D:\drive partition on the VDI environment from which most users work from. 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.</p> <p>Documentation has been created highlighting that any data that requires backing up is saved to a network drive.</p> <p>We accept the risk that data could be lost if the end user has not followed best practice</p>	<p>31-Mar-2022</p>	<p>01-Jun-2022</p>
<p>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 relating to housing deposits.</p>	<p>Outstanding debt had reduced by £436k in quarter 1 22/23 compared to the same quarter in the previous financial year. A presentation on the Housing Deposits Scheme was received by the Chief Executive, Director of Resources & Deputy Chief Executive and Head of Governance outlining improvements to the scheme. Currently awaiting next Internal Audit report on debt recovery, which is focusing on debts over 1 year.</p>	<p>30-Apr-2022</p>	<p>13-Sept-2022</p>
<p>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.</p>	<p>List of H&S Policies with review dates created and saved to HR area of</p> <ul style="list-style-type: none"> Insite Body Worn Videos Driving for work Health & Safety Policy Lone Working Violence & Aggression Working safely with children & vulnerable adults protocol 	<p>31-Mar-2022</p>	<p>08-Sept-2022</p>

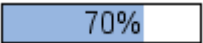
<p>21 H&S 08 Existing plans for all buildings should have a review date on them, & where this is not the case they should be reviewed at the earliest opportunity.</p>	<p>All Fire Risk Assessments are being re assessed/written by the end of Sept 2022. so moving forward we will ensure review dates are included on the documents and that reviews are completed in a timely manner.</p>	<p>31-Jan-2022</p>	<p>08-Sept-2022</p>
<p>21 P 10 Investigate the small unresolved variance to determine the the source of the discrepancy.</p>	<p>Discrepancy resolved during closedown of accounts 2021/22</p>	<p>30-Jun-2021</p>	<p>08-Sept-2022</p>
<p>21 PO 01 Periodic review of management information as to the numbers of parking permits issued at each car park should occur & actions taken as necessary to increase future permit uptake</p>	<p>Reserved Permits uptake has increased significantly since our last audit: I:\Reserved parking\Reserved Parking Reports Off Street Parking Order includes the following amendments: - Reduction in price of Silver Street permit to £631 from £1175 and removal of some reserved bays for use as P & D to increase income at this location - Addition of Hardaway Head to Barnstaple Long Stay permits. Under utilised car park currently in a good location for town and increase in permit numbers due to this addition I will run quarterly reports for reserved parking and share these with SJMS</p>	<p>31-Aug-2022</p>	<p>07-Sept-2022</p>
<p>22 C 01 Undertake periodic review of creditor payments to ensure all payments, where a purchase order is applicable, do in fact have a supporting PO</p>	<p>A review has been undertaken in September 22. 90% of all applicable invoices were raised with a purchase order during the half year period. A further review scheduled for March 23</p>	<p>30-Jun-2022</p>	<p>07-Sept-2022</p>

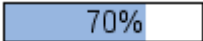

22 GM 01 Administrative duties to be assessed	An admin assistant has been appointed in a part time role	31-Jul-2022	31-Aug-2022
22 GM 07 Maintaining a list of assets	Complete	31-Aug-2022	31-Aug-2022
22 MA 03 Publication of Historical Member Allowances Payments	Members Allowances payments data sets are up-to-date and published on North Devon Council website up to and including the year 2021/22. Data sets are published annually as soon as possible in the new financial year.	30-Sep-2022	11-Aug-2022
22 PAY 03 Revisit the honorarium paid to Employee Reference No 14500 in the months of August, September and October 2021	Payment reviewed and corrected by Payroll	10-Jun-2022	08-Sept-2022
22 S 07 The home address for MP Selaine Saxby is visible as part of the register of interests link on the NDC website	Completed	16-Aug-2022	16-Aug-2022

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

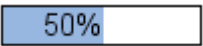
Code	Description	Progress	Latest Note	Original Due Date	Due Date
20 BC 04 Testing of Service Resumption Plans	A test of each Service Resumption Plan should be undertaken at least on at least an annual basis. On completion of the test a lessons learnt report should be employed to update the plan. All such documentation should be retained in Resilience Direct.		<p>14-Sep-2022 A documented testing, exercise and review schedule has been produced, alongside a Business Continuity Play Book. This sets out the type and number of tests which have been committed to be undertaken.</p> <p>The above schedule and Play Book have been agreed to be piloted during a scheduled Environmental Health and Housing Debrief on the 19th September, whereby an exercise from the Play Book will be undertaken.</p> <p>In terms of exercises which have been undertaken this year, there have been a number which have been undertaken as detailed in the previous note, namely:</p> <p>Ilfracombe Harbour Spill Exercise which took place on the 9 March 22.</p> <p>Major Accident Hazard Pipeline training which took place on the 25 May 22 for which the Emergency Planning Officer supported</p>	31-Dec-2021	30-Jun-2022

			<p>the running of the exercise by way of being a scribe for the event.</p> <p>Power Outage Exercice which took place on the 27 July 22.</p> <p>SMT sign off of the Schedule and Play Book is proposed on the 26 September during which the results of the pilot scheduled for 19 September will be discussed.</p> <p>It is envisioned that to ensure all the necessary departments undertake one test, that a further extension to the 1 January 2023 would be appropriate, albeit it is hoped that completion for the first test will be closer to November 2022.</p> <p>Request revised due date: 1st January 2022</p>		
<p>21 BCFU 01 Update the Implementation Management Plan</p>	<p>Observations: The Implementation Management Plan has not been updated since 2016. This is a core document which details the incident response structure, and involvement of senior managers. We recognise that there is a “standby manual” containing all current contact details, which has been tested through regular call exercises to ensure senior managers can</p>		<p>14-Sep-2022 The Implementation Plan will be validated once the 20 BC 04 action has been completed and exercises undertaken. Accordingly it is requested that an extension to the 1 January 2023 would be appropriate.</p> <p>Request revised due date: 1st January 2023</p>	<p>31-Oct-2021</p>	<p>30-Jun-2022</p>

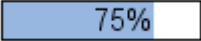
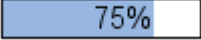
	<p>be contacted. This helps mitigate the absence of a current Implementation Management Plan.</p>				
<p>21 BCFU 05 Put appropriate focus on ICT</p>	<p>Given increasing reliance on home working and IT under the emergency, the Council needs to ensure significant focus is placed on ensuring there is sufficient resilience in this area. Specific issues include: • Pre 2016 several staff have removed from the ICT Team structure and there are several points of failure with some individuals who provide the sole support for specific areas / systems. Work is ongoing to train at least two members of staff for key systems. • The IT Disaster Recovery Plan, which was last updated in 2016. Further updates had been put on hold until there was clarity on the business priorities to inform recovery of their support systems etc. • Our recent audit on Cyber Security has recommended as a priority the need to understand the potential impact of a Ransomware attack on the Council, and the need to</p>		<p>ICT are using the BIAs which identify NDCs critical systems to define our backup recovery architecture. We are in the process of defining our RPO and RTO limits which will require business sign off. We are investigating options for immutable backup storage and additional backup recovery equipment at our secondary site which will allow us to test the integrity and recovery speed of our backups. Once the sandbox environment has been installed at our secondary site we will undertake regular backup restoration tests. Immutable storage will allow quicker recovery. This requires an outlay of approx. £150k</p> <p>Request revised due date: 31st March 2022</p>	<p>30-Nov-2021</p>	<p>30-Jun-2022</p>



	exercise the Incident Response Plan.				
21 BCFU 07 identify Key Contractor Services	<p>Observations: The Service Resumption Plans contain some analysis of the crucial contracted services which support delivery, albeit more detail could be provided. We suggest that the Council should consider what its top (five to ten) priority contracted services are, seek assurances from those suppliers that they have appropriate business continuity arrangements, and also what other alternatives might be put in place in the event of supplier failure.</p>		<p>14-Sep-2022 A meeting is scheduled with Procurement on the 19 September to commence this area of work. An extension to the 1 January 2023 is please requested.</p> <p>Request revised due date: 1st January 2023</p>	31-Aug-2021	30-Jun-2022
21 CSM&R 02 Remove internet & email access from privileged accounts. Provide administrators with an ordinary account for email & internet access.	<p>Remove internet & email access from privileged accounts. Provide administrators with an ordinary account for email & internet access.</p> <p>Observations and Implications Privileged user accounts (administrators) have internet access and mailboxes. Malicious code embedded or linked in web pages, email and attachments will execute with</p>		<p>01-Sep-2022 This recommendation is replicated in both our Cyber Treatment Plan and Cyber Insurance renewal conditions. There are two options to resolve this issue (a) Privileged users having 2 accounts or (b) implementing a Privileged Access Management solution (PAM).</p> <p>The team decided that a PAM solution would give the best result for NDC and will be in a position to procure the software by end September 2022, with a period of time needed for implementation.</p>	30-Sep-2021	31-Aug-2022


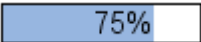
	high privileges and wide system access.		Request revised due date: 31st December 2022		
21 CSM&R 03 Follow NCSC guidance on applying the 'least privilege' model in authenticating for remote access.	<p>Recommendation: Follow NCSC guidance on applying the 'least privilege' model in authenticating for remote access.</p> <p>Observations & Implications: Administrator Remote Access - Administrators authenticate for remote access with their privileged account. Attackers target vulnerabilities in remote access services and devices to obtain privileged credentials.</p>	10%	<p>01-Sep-2022 This recommendation is replicated in both our Cyber Treatment Plan and Cyber Insurance renewal conditions. There are two options to resolve this issue (a) Privileged users having 2 accounts or (b) implementing a Privileged Access Management solution (PAM).</p> <p>The team decided that a PAM solution would give the best result for NDC and will be in a position to procure the software by end September 2022, with a period of time needed for implementation.</p> <p>Request revised due date: 31st December 2022</p>	30-Sep-2021	31-Aug-2022
21 CSM&R 17 Update recovery/restoration process to include specific steps to verify all systems used in the recovery are clean from malware/ransomware before connecting to the backup & starting recovery.	<p>RECOVER USING CLEAN DEVICES</p> <p>Recommendation: Update the recovery and restoration process to include specific steps to verify all systems used in the recovery are clean from malware and ransomware before connecting to the backup and starting recovery.</p> <p>Observation: Virtual server and desktop restore will be directly from the Arcserve backup. It is not clear how the Arcserve appliance itself, the</p>	0%	<p>08-Sep-2022 We contacted Arcserve, who have said that Recovery points can be mounted and scanned with Sophos prior to restore. A roadmap feature is to include this as an option to Assured Recovery. We are currently in the process of implementing Sophos Anti-Virus. Once this has been completed (the plan is to complete the Sophos implementation by the end of September 2022), we will then review the restoration process – adding the Sophos scan as part of the process.</p> <p>Request Revised due date: 31st March 2023</p>	31-Aug-2021	31-Aug-2022


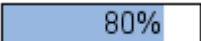
	<p>VMWare ESXi host system and the client machines used to initiate the recovery are confirmed as malware-free. Implications: Restored systems may be re-infected with malware. Hypervisors may have been affected in the October 2020 Pysa ransomware and extortion attack on Hackney Council.</p>				
<p>21 D 02 Contact Debtors System Software provider to ascertain whether it is possible to remove or archive debtor numbers from the system which are either duplicates or no longer used</p>	<p>Risk Area: Inappropriate or inaccurate amendments to the debtors system or to the MAS Recommendation: Future relevant invoices raised against Debtor Number 366091 require to show the correct PLWA reference (PLWA0045) rather than the incorrect one currently detailed. Contact should be made with the Debtors system software provider to ascertain whether it is possible to remove or archive debtor numbers from the system which are either duplicate or no longer used. Observation & Implications: Duplicate entries found upon the debtors masterfile with</p>		<p>13-Sep-2022 The debtors database has been reviewed for potential duplicate accounts. The findings now need to be looked into and the system updated accordingly.</p> <p>Request Revised Due Date: 31st January 2023</p>	<p>31-Mar-2022</p>	<p>30-Jun-2022</p>

	<p>regard 'The David Inns (TDI) Ltd' (debtor numbers 356292, 359043). Debtor number 356292 shows trade waste contracts / agreements for the North Gate Inn, South Molton and the George Hotel, Braunton whilst debtor number 359043 relates to annual Premises Licence fees for the North Gate Inn, South Molton. The annual Premises Licence fee debtor account is raised via debtor number 366091 (debtor name of Mr Roy David), annual debtor accounts raised showing a reference PLWA0196 (which re Licensing Register relates to Jan's Kitchen, Combe House, Fore Street, Chumleigh) however reading the debtor account narrative it mentions 'PLWA0045 The George Inn, Exeter Road, Braunton'. Longclose Ltd was found to have eight different debtor numbers of which three had been transferred / consolidated with other existing Longclose Ltd debtor numbers. Whilst the date of the last transactions upon these five debtor numbers ranged from April</p>				
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	<p>2009 to January 2017 the reason for having a different debtor number was the address to which the debtor invoice was sent.</p> <p>From discussions held with staff they were unsure whether debtor numbers unused for a significant number of years could be deleted off the system or archived.</p>				
<p>21 H&S 01 Implement a formal process to ensure all new entrants complete H&S training; & existing staff H&S compliance refresher every 2 years</p>	<p>Observation & Implications The absence of a formal, annual H&S compliance refresher increases the risk of people not following the correct safety procedures for their roles. New entrants should undertake a generic H&S training module / presentation as part of their induction.</p>		<p>07-Sep-2022 PowerPoint- voice recorded over ready to send out but trial proved that voice over could not be heard. IT to check and Pam to re do and see if it works this time. Pam to do a quiz using the Quiz Application on MyInsite as a way of checking relevant staff have completed the PowerPoint and to check learning/understanding. Tracey Clapp setting up an Induction Training session for Oct 2022</p> <p>Request Revised Due Date: 30th November 2022</p>	31-Jul-2022	31-Jul-2022
<p>21 H&S 06 Any managers responsible for undertaking departmental risk assessments should receive a refresher on the process, &</p>	<p>Observations & Implications Managers responsible for H&S in their departments last undertook mandatory training over 5 years ago and there is a risk that these officers are unfamiliar with the correct up-to-date processes to follow.</p>		<p>07-Sep-2022 PowerPoint voice recording completed but on test it did not work, Checking with IT as to reason, will have to try again or try another method. Pam will do a quiz from the MyInsite application as a means of checking relevant people have completed the training and to check learning/understanding.</p>	30-Jun-2022	30-Jun-2022

<p>this should be recorded with HR</p>			<p>Request Revised Due Date: 30th November 2022</p>		
<p>21 H&S 10 Some Fire Safety Plans could do with updates of who has been trained and when</p>	<p>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.</p>		<p>09-Sep-2022 PAC has been liaising with Chay as these are his docs and he is going to have a think about how best to do this as the docs in some cases refer to “the senior person in charge” or in some cases “trained person” but he says this (trained person) is in reference to a disabled person who might need assistance and the trained person would be documented in their Personal Emergency Evacuation Plan (PEEP). We both feel this is a minor issue, given that the auditor thought the rest of the plans were okay.</p> <p>Request Revised Due Date: 30th November 2022</p>	<p>30-Apr-2022</p>	<p>30-Apr-2022</p>
<p>21 PO 02 Further work to be undertaken to improve the management information available to support regular review of PCN collection rates to support improvements to processes where necessary</p>	<p>PARKING PERMITS ARE NOT WELL MANAGED LEADING TO FINANCIAL AND REPUTATION LOSS Recommendation: Further work be undertaken to 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</p>		<p>08-Sep-2022 Can I please have an extension until October 2022, this will be part of the data I need to have ready for Audit also. Spreadsheet as previously mentioned cannot be found. Most of this data is held elsewhere and I will extract this and collate into one spreadsheet in order to be able to review effectively.</p> <p>Requested Revised Due Date: 31st October 2022</p>		<p>31-Aug-2022</p>

	<p>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.</p> <p>Implications: That means it is unable to consider whether it is effectively collecting charges levied, or to consider how the practice fits in with the wider parking strategy.</p>				
<p>21 SC-19 O 03 Urgently re-instate Mental Health & Wellbeing Workstream</p>	<p>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</p>		<p>Policy is complete and has been considered Work Force Matters. There is one issue outstanding regarding recording of sickness which is being resolved internally. Once this issue is resolved the policy will be published.</p> <p>Request for Extension: 31st December 2022</p>	30-Jun-2021	31-Jul-2022
<p>22 EPCC 01 Develop an overarching</p>	<p>Observations & Implications: The Council relies on the generic plans produced by</p>		<p>14-Sep-2022 Scheduled to be taken to SMT on 17th October for sign off.</p>	31-Jul-2022	31-Jul-2022

<p>response & Recovery plan to support the DEPP Plans.</p>	<p>DEPP and does not have its own Emergency Plan. DEPP has told us that this is acceptable if officers are clear on their responsibilities and local circumstances. However, we consider that it would be better if the Council tailored this Emergency Plan to help direct officers in the event of an emergency.</p>		<p>Revised due date: 17th October 2022</p>		
<p>22 EPCC 04 An Exercising & Testing Strategy will be developed to incorporate the Organisational Emergency Plans & Business Continuity Plans</p>	<p>Observations & Implications: While individual tests have been undertaken, such as for the Oil Spill Harbour plan (tested in December 21), there is no overall approach to ensuring that tests and exercises are held. A Test and Exercise Strategy would have the benefit of ensuring that officers understand their roles and responsibilities in the event of a real incident.</p>		<p>14-Sep-2022 Scheduled to be taken to SMT 26 September for sign off.</p> <p>Request revised due date: 26th September 2022</p>	<p>31-Jul-2022</p>	<p>31-Jul-2022</p>
<p>22 S 03 Refresher training for members, SMT and lead officers</p>	<p>Recommendation: Undertake refresher training for members, senior management and lead officers. Observation and Implications: Plans in place to deliver PREVENT training and links provided show action being taken. However, it is now</p>		<p>08-Sep-2022 Member training offered and completed.</p> <p>Prevent training rolled out to all staff.</p> <p>Some Safeguarding training left to complete.</p> <p>Request revised due date: 31st November 2022</p>	<p>31-Dec-2023</p>	<p>30-Jun-2022</p>


	three years since policy and training delivered on remainder (besides County Lines delivery in July) so refreshers would be advisable for Members, Senior Management and Lead Officers.				
22 S 06 Section 11 Assurance Statement to be made as soon as possible	<p>Recommendation: A Section 11 Assurance Statement should be made as soon as possible.</p> <p>Observation and Implications: No Section 11 Assurance has been reported for the last two years and is therefore a breach of its statutory duty.</p>		<p>08-Sep-2022 Contact made with DCC who have re-launched the S11 Programme which is due for completion by end September 2022.</p> <p>Request revised due date: 30th September 2022</p>	30-Jun-2022	30-Jun-2022

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: 14th September 2022

Reference: Audit Recommendation Report September 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	Complete	100%	14-Sep-2022 This action is now complete. The feedback process was mapped which resulted in a new Firmstep form to report complaints, compliments and comments. A recent Audit report of W&R gave assurance of the complaint procedure. The team	31-Mar-2022	31-Dec-2022

				will continually review the process ongoing		
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 wellbeing 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	In progress	0%	13-Dec-2021 This audit recommendation is included in the	31-Mar-2022	30-Sep-2022

	budget is spent and the impact it is having			Governance Action Plan with a target date of September 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 The Monitoring Officer confirms that the FOI Stats are now up to date: https://www.northdevon.gov.uk/council/data-protection-and-freedom-of-information/freedom-of-information-statistics/	31-Dec-2021	31-Dec-2021
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	In Progress	0%	13-Dec-2021 This audit recommendation has been included in the Governance Action	31-Mar-2022	30-Sep-2022

	ensure the Council is reaching out to the community and is accessible in its communications			Plan with a target date of September 22.		
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 Programmes which look to deliver on the Council priorities	31-Dec-2021	31-Dec-2021
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	In progress	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	31-Mar-2022	31-May-2023

	delivery against priorities, plans or indicators			produced in line with the 22/23 Statement of Accounts.		
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%	<p>08-Apr-2022 All Heads of Service have been asked to review their existing suite of Key Performance Indicators with the following challenge:</p> <ul style="list-style-type: none"> * Who do we collect this information for? * Do their results drive decisions and/or changes? * Are these performance / results drive or review view /data indicators? 	31-Mar-2022	30-Sep-2022
21 AGS 16	Undertake a compliance assessment against the new Financial Management Code as required by CIFPA	Request for Extension of time	20%	<p>14-Sept-2022 This assessment has been delayed due to the external audit now being in its 11th week with expectations it will extend for another 2 or 3 weeks. A review meeting has been schedule for 29th September to commence the work.</p> <p>Request Revised Due Date: 31st January 2023</p>	31-Mar-2022	30-Sep-2022

