

Appendix 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
<p>21 CSM&amp;R 16 Regularly exercise system and data restore &amp; recovery</p> <p><b>HIGH PRIORITY</b></p>	<p><b>Recommendation:</b> Regularly exercise system and data restore &amp; recovery:                      * A cycle of restore rests for critical business applications                      * The recovery of files from unstructured files storage                      * Restore and recover objects in document management storage such as SharePoint</p> <p><b>Observation:</b> 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.</p> <p><b>Implications:</b> Restore and recovery of critical business in response to an incident may be inefficient or not possible.</p>	<p>20%</p>	<p>08-Dec-2022 We are engaging with a trusted supplier and are in the process of agreeing a specification with them, The solution requires additional server and a SAN (Storage Area Network). Supply chain is an issue. We have ordered similar kit for BEC for our live production environment. We are hoping that work will be completed by the end of February. This will give us the intelligence we need to replicate at our second site located at Lynton House.</p> <p><b>Extension requested - 30th June 2023</b></p>	<p>31-Mar-2022</p>	<p>30-Nov-2022</p>

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22 S 03 Refresher training for members, SMT and Lead Officers  <b>MEDIUM PRIORITY</b>	<p><b>Recommendation:</b> Undertake refresher training for members, senior management and lead officers.</p> <p><b>Observation and Implications:</b> Plans in place to deliver PREVENT training and links provided show action being taken. However, it is now 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.</p>	90%	<p>06-Dec-2022 Remaining Safeguarding training for staff will take place in January / February 2023.</p> <p>Dates are set but the actual training will not be until 2023.</p> <p><b>Request extension until 28<sup>th</sup> February 2023.</b></p>	31-Dec-2023	30-Nov-2022

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<p>22 EPCC 03 Provide to all members an awareness session based on LGA Guidance 'Role of Councillors in Civil Emergencies' plus capture the role of member within NDCs Response &amp; Recovery Plan</p> <p><b>MEDIUM PRIORITY</b></p>	<p><b>Observations &amp; Implications:</b> There is no current process or detail on the role of members in supporting the Council in the event of any incident in the Response and Recovery phase. We understand that members have in the past provided good support to some emergency incidents.</p>	<p>50%</p>	<p>A training event for councillors was planned for the 8<sup>th</sup> October 2022. Due to the unfortunate passing of The Queen the training was cancelled after the first presentation was delivered by Alex Miles (Emergency planning Officer). Since this date the representative for the Environment Agency, who was due to present on at risk areas in North Devon has been seconded to assist with drought planning. Other training sessions are being supported by the emergency planning officer and a Community engagement events has been planned by Devon Communities Together for the 28<sup>th</sup> March and these are promoted to Town and Parish Councils, councillors are welcome to attend to learn more about community resilience, funding available to their communities and to partake</p>	<p>30 Dec 2022</p>	<p>01 Dec 2022</p>

			<p>in flood warden training. The Environment Agency and Devon Communities Together are happy to continue to support this training in future, in order to balance other agencies priorities and workloads we will look to deliver this training after the elections have been held in May so that training doesn't have to be repeated in short succession.</p> <p><b>Extension requested – 31st December 2023</b></p>		
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<p>22 P 02 Learning a lesson from obtaining consultee responses should be replicated for the whole consultee list</p> <p><b>MEDIUM PRIORITY</b></p>	<p>Recommendation: The recent work undertaken by the Planning Service Manager in obtaining improved timely responses from one of the major consultees upon the Consultee List should be replicated with other consultees both internal and external to it, to ensure all necessary consultee responses are received in a timely manner in accordance with the consultation.</p> <p>Observations and Implications: Reviewing the Consultations' tab on the Planning webpage with regard individual planning applications and looking at eth Consultee List shows significant numbers of consultees with a 'reply received' date after the 'reply due' or in several cases shown as not providing and response whatsoever. It is understood work has recently been undertaken by the Planning Service Manager with DCC Highways which has resulted in improved timely responses from this consultee.</p>	0%	<p>The new Service Manager (Development Management) will be contacting all consultees to remind them of the importance of receiving responses in a timely manner.</p> <p><b>Request revised due date: 28<sup>th</sup> Feb 2023</b></p>	30 <sup>th</sup> Sept 2022	30 <sup>th</sup> Sept 2022

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<p>22 CTAX &amp; NNDR 01 Identify Fraud - which would lead to loss of revenue</p> <p><b>MEDIUM PRIORITY</b></p>	<p><b>Recommendation</b> The council needs to review NFI data matches received. The NFI system now requires comments / findings to be entered against matches provided within individual reports enabling the Cabinet Office to view progress made.</p> <p><b>Observation and Implications</b> Revenues staff have not had the resources nor time to review and investigate the two relevant NFI reports provided back to the authority following the last NFI data matching exercise nearly two years ago. Regarding the Council Tax dataset submitted for the NFI exercise Synectics Solutions following their data matching provide for each authority as output two reports - one re 'Single Person Discount (SPD)' and the other 'Rising 18s' data matches. If persons have wrongly been claiming Single Person Discount or a 'Rising 18' is resident in a single person discount claiming household, then a potential change is required increasing the amount due upon the council tax bill. Whilst</p>	<p>0%</p>	<p>Training has been given and work will be done as resource allows between HB/CTR processing. NFI system problems have slowed progress. NDC, in partnership with DCC &amp; DAP, will be undertaking a full review of single occupier discounts; this is in the CF Service Plan and the request for extension of time aligns with this.</p> <p><b>Request extension of time: 31st August 2023</b></p>	<p>30 Nov 2022</p>	<p>30 Nov 2022</p>

	<p>Revenues staff have not reviewed the NFI reports they do undertake their own monitoring of Rising 18s through obtaining the Electoral Roll from the Elections Team. The NFI Single Person Discount report received is not considered particularly robust containing a lot of irrelevant and worthless data matches. It is understood that a Devon County Council funded exercise upon SPD is potentially due to commence soon to which North Devon have agreed to participate in whereby an external company will undertake the necessary follow up of the data matches their own data matching exercise identifies. DAP was informed that North Devon have signed up to undertake an exercise via an external third party upon companies claiming Small Business Rate Relief with a couple of other local authorities.</p>				
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<p>22 GM 08 Benefits of bringing the service in-house</p> <p><b>MEDIUM PRIORITY</b></p>	<p><b>Recommendation:</b> Perform a cost/benefits analysis since bringing the service in-house.</p> <p><b>Observation and Implications:</b> Members and the public are not aware of the benefits of bringing the service in-house, potentially leading to more complaints from the public than might otherwise be received. Presentation of the facts to Members alongside the plan would help increase theirs and public engagement.</p>	0%	<p>A report will be taken to S &amp; R in March 2023. Future updates will be presented through the EE Programme.</p> <p><b>Request extension of time: 31<sup>st</sup> March 2023</b></p>	31 Oct 2022	31 Oct 2022
<p>22 S 01 The absence of security training for staff</p> <p><b>MEDIUM PRIORITY</b></p>	<p><b>Recommendation:</b> A simple security awareness module should be created and circulated to all staff periodically and included with induction training.</p> <p><b>Observation and Implications:</b> The absence of security awareness training for staff increases vulnerability and therefore the likelihood of an attack on a property and/or staff being successful.</p>	0%	<p>There are no specific external training providers which have been identified therefore in-house training to be recorded for staff circulation.</p> <p><b>Request extension of time: 28th February 2023</b></p>	30 Nov 2022	30 Nov 2022