

Audit recommendations completed since the production of the last Governance Report 08 June 2023

Code & Title	Latest Note	Original Due Date	Completed Date
<p>Business Continuity 20 BC 04 Copy of Testing of Service Resumption Plans</p>	<p>Completed - 100%</p> <p>Eight table top exercises were carried out across the organisation to test the arrangements of services that own a “priority function” and smaller critical teams. A number of different scenarios taken from NDC business continuity playbook were utilised to validate business continuity solutions and to verify the adequacy of the arrangements that are in place. the following teams/ services have completed a tabletop exercise;</p> <p>Senior management team - Staff loss scenario Governance - Loss of IT Customer Focus and ICT - Loss of IT Environmental Health and Housing - Denial of Service Crematorium - National Power Outage Programme Management and Performance - Loss of IT Place, Property and Regeneration - Loss of IT CCTV/ Standby - Local Power outage/Severe weather.</p> <p>Each exercises were facilitated by the emergency planning officer and were targeted at managers and Heads of service. An exercise report has been written which captures the lessons learnt from the exercise from the observations of the EPO. An exercise and testing strategy is in place to ensure regular testing of BC arrangements</p>	<p>31-Dec-2021</p>	<p>29-Aug-2023</p>

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	moving forward and calendar invites have been sent to SMT to ensure these are scheduled annually.		
Business Continuity Follow-up 21 BCFU 01 Update the Implementation Management Plan	Following the last update on the 01 June 2023 this action can be closed. NDC Senior Management team undertook a tabletop business continuity exercise on the 10th July 2023. The aim of the exercise was to validate the business continuity arrangements that are in place across the organisation, including the implementation plan. Additionally, the exercise raised awareness of business continuity arrangements and improved competency and confidence for those who have a role in response. Lessons from the exercise have been captured within the final report and will be actioned as necessary.	31-Oct-2021	29-Aug-2023
Safe Covid Operations 21 SC-19 O 05 Introduce quarterly pulse surveys of every employee	This action is now complete; Pulse survey will go out this month (September 2023)	31-Jul-2021	11-Sep-2023
Climate Change Governance 22 CCG 07 Carbon, Environment and Biodiversity Plan Updates	The Devon, Cornwall and Isles of Scilly Adaptation Plan will be finalised late 23/24 and actions incorporated into the next Carbon Plan. We are including adaptation to climate change in relevant capital projects.	30-Jun-2023	08-Sep-2023
Cyber Security 22 CS 02 Firewall changes should be subject to a formal Change Management process	<p>We have established a change management process during the Service Desk installation. Although the new system will not be live until August we have adopted the process and are using it as part of our ITIL processes.</p> <p>Firewall changes will be discussed and a decision made regarding their adoption during the weekly Change Advisory Board meeting.</p>	31-Dec-2023	08-Jun-2023

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	The control will enable us to manage the full lifecycle of all firewall revisions which will minimise the disruption to IT services.		
Cyber Security 22 CS 06 Firewall event alerts	Firewall alerts are now being sent to a shared mailbox where 5 members of the Infrastructure Team have access. We have no auto-logging capabilities from Outlook to the Service Desk system. Any relevant alerts will be manually logged onto the ITSM and dealt with accordingly.	30-Apr-2022	27-Jun-2023
Cyber Security 22 CS 10 Backup the firewall configuration	We keep a copy of the certificate in shared drives and in Office 365	30-Jun-2022	27-Jun-2023
Equality & Diversity 22 E&D 02 Create and monitor a policy on periodic provision of training and monitor attendance	Following the Election, members have received EDI training, several sessions have been delivered by South West Councils & W&R are receiving internal training. This is ongoing and we are exploring different delivery methods, attendance is being captured. The L&D policy is being updated to build in the the need for planned refresher training and EDI will form of the recruitment training for managers.	30-Jun-2023	13-Aug-2023
Equality & Diversity 22 E&D 03 HR policies should be reviewed to ensure they are current and in a "finalised" format.	The majority of the policies as listed have been updated others will be updated as part of a schedule with Unison.	30-Jun-2023	13-Aug-2023
Payroll 22 PAY 02 Risk around staff with day to day operational roles having System Administrator access to iTrent	Audit report re-added onto Pentana Sept 23. Management accept this risk due to the size of the Payroll Team.	31-Mar-2023	12-Sep-2023

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Programme Management Office 22 PMO 01 Copy of Improve report templates	We have revised the Business Case, Project Initiation Document and RICALL Log, which holds all the programmes Risks, Issues, Change Control, Actions and Lessons Learnt. These are the major templates used for the programmes. Other agendas templates will be updated as used and continually improved as the PMO develops its offer.	30-Jun-2023	30-Aug-2023
Parking Operations 22 PO 02 Review the level of cancelled PCNs and review any potential training requirements i	A review has taken place, as identified in the note of the 30th August. An ongoing mechanism for review has been set up and will be populated quarterly. At the moment the results/trends do not suggest any training requirements but we have a relatively new team and this will be reviewed as above.	30-Jun-2023	07-Sep-2023
Parking Operations 22 PO 06 Risks relating to the Car Parking service should be reviewed	Risk assessments completed.	31-Mar-2023	14-Jun-2023
Risk Management 22 RM 01 Approval of Risk Management (Framework and model)	Documents approved by Governance Committee in June 23	30-Jun-2023	16-Jun-2023
Recruitment, Retention & Selection 22 RRS 01 Review Recruitment Policy	This Policy has now been approved.	31-Mar-2023	08-Aug-2023
Recruitment, Retention & Selection 22 RRS 02 Utilise Data Reports to analyse and improve processes	This has now been actioned and will be continually monitored via a KPI	30-Jun-2023	07-Sep-2023

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Recruitment, Retention & Selection 22 RRS 04 Develop essential skills for effective recruitment	Management Response: Training is currently being done on a 1:1 basis. Recruitment training to be scoped and delivered to also cover 2.1(below)	31-Aug-2023	06-Sep-2023
Security 22 S 06 Members Security awareness training	Training completed following the election in May 2023	30-Dec-2022	31-Jul-2023
Tarka Leisure Services Contract 22 TLSC 01 The screed depth around the pool is thinner than agreed as part of the contract specification	NDC is still with holding the final payment (retention) on the leisure centre project until all snagging issues (of which this is one) are resolved. There is still an ongoing debate between the main contractor and sub-contractors as to who will sign off the warranty on the screed depth. NDC cannot control the date that this debate/argument is resolved. The pool is fully functional and there are no issues with the performance of the screed, so this is a low risk issue.	31-May-2023	14-Sep-2023