NORTH DEVON DISTRICT COUNCIL

REPORT TO: **GOVERNANCE COMMITTEE**

Date: 3rd September 2019

TOPIC: **AUDIT RECOMMENDATION TRACKER**

REPORT BY: **HEAD OF CORPORATE AND COMMUNITY SERVICES**

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 22nd July 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 remained at 1,195.

Table A) Live Audit Reports, Status & Numbers

Code	Title	Status	Progress	High Risk	Medium Risk	Low Risk
14 AP	Action Plan 2013/14	In Progress	92%	0	1	1
14 E&D	Equality & Diversity 2013/14	Overdue	86%	0	1	2
15 DR	Disaster Recovery 2015/16	In Progress	89%	0	6	0
15 HN (CBL)	Housing Needs (Choice Based Lettings) 2015/16	In Progress	80%	0	1	0
15 PSR (DFG)	Private Sector Renewal (Disability Facilities Grants) 2015/16	In Progress	90%	0	1	2
16 BCM	Business Continuity Management 2015/16	In Progress	93%	0	8	1
16 HN (CBL)	Housing Needs (Choice Based Lettings) 2016/17	In Progress	85%	0	0	5
16 PL	Planning Applications 2015/16	In Progress	91%	0	3	0
16 SP	Severance Packages 2015/16	In Progress	50%	0	1	1
17 ITAM	IT Asset Management 2016/17	In Progess	87%	1	6	0
17 C&P	Commissioning and Procurement 2017/18	In Progress	66%	0	2	1
17 CS	Cyber Security 2016/17	In Progress	78%	0	3	3
17 SRR	Security Review Report 2017/18	In Progress	95%	4	5	0
17 L	Licencing 2017/18	In Progress	75%	0	1	3
17 G	Grants 2017/18	In Progress	85%	0	2	5
17 PO	Parking Operations 2017/18	In Progress	75%	0	2	0
18 CC	Cash Collection	In Progress	50%	0	0	1
19 E&ES	Email & Exchange Server 2018/19	In Progress	66%	0	3	1
19 GDPR	General Data Protection Regulations 2018/19	In Progress	49%	0	0	7
19 MAS & BC	Main Accounting System and Budgetary Control 2018/19	In Progress	50%	0	0	1

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

Recommendation	Closure Note	Original Due Date	Completed Date
15 AGS 08 Complete audit recommendations to comply with agreed deadlines	The Audit Recommendation Tracker provides a clear audit trail of how well services are delivering against their audit recommendations. Where extension to time is requested this is approved by Governance Committee. Therefore this action is now business as usual.	31-Mar-2016	20-Aug-2019

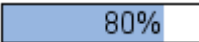## Table C: Outstanding Audit Recommendations where Head of Service have requested a revision to the due date

Code	Description	Progress	Latest Note	Original Due Date	Due Date
14 E&D 01 Joint Inclusive Equality Scheme Action Plan	The Joint Inclusive Equality Scheme Action Plan should be updated to reflect the current position in respect of the achievements of set targets and outcomes.	80%	New policy now drafted and will be adopted very shortly. New EIA forms being developed to sit alongside the policy. Launch will be through Managers' Forum. **Request revised due date: 31st October 2019**	31-Dec-2014	31-Jul-2019
14 E&D 02 Equality and Diversity website update	The Council's staff intranet and public webpages in respect of Equality and Diversity should be updated as some of the information contained within is not fully current and also some information which is no longer relevant. The Council's published list of Equality Impact and Needs Assessments.	80%	New policy now drafted and will be adopted very shortly. New EIA forms being developed to sit alongside the policy. Launch will be through Managers' Forum. **Request revised due date: 31st October 2019**	31-Dec-2014	31-Jul-2019

Table D: Outstanding Audit Recommendations

Code	Description	Progress	Latest Note	Original Due Date	Due Date
NONE					

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.

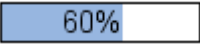2013/14 AGS action plan is 93 % complete

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.

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Table E: Annual Governance Statement

Code	Description	Status	Progress Bar	Latest Note	Original Due Date	Due Date
14 AGS 02	Review & update the IT Disaster Recovery Plan	▶ In Progress	60%	Extension of Time Request extended to 31st March 2020 approved by Governance Committee 11th June 2019. The Business Continuity Recommendations have last month (April 19) confirmed which services they have established are priority services for recovery. ICT await absolute confirmation that these are now the priorities. ICT will then review these and advise SMT/Governance what our currently recovery capabilities are and what further mitigation would be required to achieve these recovery points. This will require a revised back-up model either on-premise, in the cloud or a hybrid approach. ICT will also consider Disaster Recovery as a Service (DRaaS) which would also provide x2 DR Test Plans a year. ICT also have an approved Cyber Incident Response Plan.	31-Mar-2015	31-Mar-2020