NORTH DEVON DISTRICT COUNCIL

REPORT TO: **GOVERNANCE COMMITTEE**

Date: 7th January 2020

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 5th November 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 raised to 1,199.
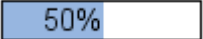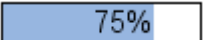
Table A) Live Audit Reports, Status & Numbers

Code	Title	Status	Progress	High Risk	Medium Risk	Low Risk
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
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 RM & CG	Risk Management and Corporate Governance	Overdue	93%	0	3	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	99%	0	2	5
17 PO	Parking Operations 2017/18	Overdue	75%	0	2	0
19 E&ES	Email & Exchange Server 2018/19	In Progress	91%	0	3	1
19 GDPR	General Data Protection Regulations 2018/19	In Progress	83%	0	0	7
19 CG & RM	Corporate Governance & Risk Management 2018/19	In Progress	33%	0	2	1

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

Recommendation	Closure Note	Original Due Date	Completed Date
NIL			

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
17 PO 01 Review of processes and procedures	The Council should consider and review its parking operation processes and procedures and revise where needed to ensure that value for money is being achieved.	50%	21-Oct-2019 Procurement of new handheld technology completed for CEOs with go live 14 October 2019, further functionality being investigated. CEO handbook work stalled due to staff changes. National Standard CEO Handbook in development with British Parking Association. **Request Revised Due Date: April 2020.**	30-Sep-2019	30-Sep-2019
17 RM&CG 02 Completeness of Service Risk Registers	Heads of Service should ensure all service risk registers have identified, assessed and scored all risks, with risk owners identified. Any mitigating controls, present or planned, should also be noted in each risk register.	75%	02-Dec-2019 SMT have just commenced the 2020/21 Service Planning Process and ALL Heads of Service will be required to update their Risk Registers as part of that process and these will be taken through SMT, until we are satisfied that they have all been reviewed. **Request revised due date: 31 January 2020**	30-Apr-2017	31-Oct-2017

Table D: Outstanding Audit Recommendations

Code	Description	Progress	Latest Note	Original Due Date	Due Date
NIL					NIL

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

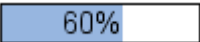| Appendix and paragraph	Referred or delegated power?
5.5	Delegated

7. Statement of Internal Advice

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

Author: Sarah Higgins   Date: 11th December 2019
Reference: Audit Recommendation Report January 2020 V.1.0

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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