

**NORTH DEVON DISTRICT COUNCIL**

**REPORT TO: GOVERNANCE COMMITTEE**

Date: 10<sup>th</sup> March 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 7<sup>th</sup> January 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 1,199.

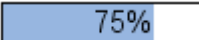
**Table A) Live Audit Reports, Status & Numbers**

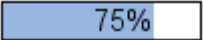
Code	Title	Status	Progress	High Risk	Medium Risk	Low Risk
<b>15 DR</b>	Disaster Recovery 2015/16	 In Progress	89%	0	6	0
<b>15 HN (CBL)</b>	Housing Needs (Choice Based Lettings) 2015/16	 Overdue	80%	0	1	0
<b>16 BCM</b>	Business Continuity Management 2015/16	 In Progress	93%	0	8	1
<b>16 PL</b>	Planning Applications 2015/16	 Overdue	83%	0	3	0
<b>17 ITAM</b>	IT Asset Management 2016/17	 In Progress	87%	1	6	0
<b>17 RM &amp; CG</b>	Risk Management and Corporate Governance	 Overdue	93%	0	3	1
<b>17 CS</b>	Cyber Security 2016/17	 In Progress	85%	0	3	3
<b>17 SRR</b>	Security Review Report 2017/18	 In Progress	95%	4	5	0
<b>17 L</b>	Licencing 2017/18	 In Progress	75%	0	1	3
<b>17 G</b>	Grants 2017/18	 In Progress	99%	0	2	5
<b>17 PO</b>	Parking Operations 2017/18	 In Progress	75%	0	2	0
<b>19 E&amp;ES</b>	Email & Exchange Server 2018/19	 In Progress	91%	0	3	1
<b>19 GDPR</b>	General Data Protection Regulations 2018/19	 In Progress	83%	0	0	7
<b>19 CG &amp; RM</b>	Corporate Governance & Risk Management 2018/19	 In Progress	33%	0	2	1

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

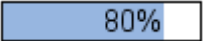
Recommendation	Closure Note	Original Due Date	Completed Date
NI			

**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
16 PL 03 S106 Agreements	We recommend that as part of the Contract audit 2016/17 a review the administration of Section 106 Agreements is completed to assess the effectiveness of service delivery.		The progress on this project was over estimated in previous reports. The implementation of the new software has freed up time and allowed a greater focus on the S106 process. A project team is in place and preparatory work has better revealed the extent of the problem - with little clear process in place and a number of teams holding and maintaining their own data sets. Priority has been put on ensuring that invoices are issued for S106 payments and that the S106 module in the new software is set up to assist all users in the process and draw down of payments. The later development of the module will take until September 2020 and using this base to refine and improve the process/system will likely take an additional six months to February 2021. <b>Request revised due date: 28 February 2021</b>	31-Dec-2016	31-Dec-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.		Majority of service areas have now reviewed and updated service risk assessments in February 2020. There are 3 areas who's assessments are currently being reviewed; Building Control, EH & Housing and Waste & Recycling. In order to enable these final assessments to be finalised a revised due date is requested. <b>Request revised due date: 31<sup>st</sup> March 2020</b>	30-Apr-2017	31-Oct-2017

19 CG&RM 01 Regular Review of Risk Registers	All risk registers should be reviewed regularly in accordance with the Risk Management Framework.		<p>Majority of service areas have now reviewed and updated service risk assessments in February 2020. There are 3 areas who's assessments are currently being reviewed; Building Control, EH &amp; Housing and Waste &amp; Recycling. In order to enable these final assessments to be finalised a revised due date is requested.</p> <p><b>Request revised due date: 31<sup>st</sup> March 2020</b></p>	30-Nov-2019	31-Jan-2020
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**Table D: Outstanding Audit Recommendations**

Code	Description	Progress	Latest Note	Original Due Date	Due Date
15 HN (CBL) 01 Housing Team to review the housing waiting list to confirm details are still correct / change in circumstances, that they wish to remain on the register + review all Band B every 6 months	<p><b>Housing Waiting List Review</b></p> <p>The Housing team should undertake a review of all applicants to:</p> <ul style="list-style-type: none"> <li>. Confirm that the details on the register are still correct</li> <li>. Check whether there have been any changes in an applicant's circumstances</li> <li>. Confirm that the applicant wants to stay on the housing register. The Housing team should also contact, or at least review, all applicants in Band B every 6 months, although this would exclude those for prevention of homelessness or statutory homelessness as these are reviewed weekly as standard.</li> </ul>		<p>10-Jun-2019</p> <p>Please see attached report. Request revised due date: <b>31<sup>st</sup> December 2019 original Due Date 31 October 2015.</b></p>	31-Oct-2015	31-Dec-2019

## 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


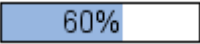
## 7. Statement of Internal Advice

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

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Author: Sarah Higgins Date: 2<sup>nd</sup> March 2020  
Reference: Audit Recommendation Report March 2020 V.1.1

**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		Extension of Time Request extended to 31 <sup>st</sup> March 2020 approved by Governance Committee 11 <sup>th</sup> 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