

NORTH DEVON DISTRICT COUNCIL

REPORT TO: GOVERNANCE COMMITTEE

Date: 8th September 2020

TOPIC: AUDIT RECOMMENDATION TRACKER

REPORT BY: CHIEF EXECUTIVE

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 9th June 2020 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 risen to 1,207.

Table A) Live Audit Reports, Status & Numbers











Code	Title	Status	Progress	High Risk	Medium Risk	Low Risk
16 PL	Planning Applications 2015/16	 In Progress	83%	0	3	0
17 ITAM	IT Asset Management 2016/17	 In Progress	87%	1	6	0
17 SRR	Security Review Report 2017/18	 Overdue	98%	4	5	0
17 L	Licencing 2017/18	 Overdue	75%	0	1	3
17 G	Grants 2017/18	 In Progress	99%	0	2	5
19 E&ES	Email & Exchange Server 2018/19	 Overdue	95%	0	3	1
19 GDPR	General Data Protection Regulations 2018/19	 Overdue	92%	0	0	7
20 BC	Business Continuity 2018/19	 In Progress	0%	3	1	0
20 FB&E	Fraud, Bribery & Ethics 2018/19	 In Progress	40%	0	5	1
20 P	Payroll 2019/20	 In Progress	0%	0	0	1

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

Recommendation	Closure Note	Original Due Date	Completed Date
17 RM&CG 02 Completeness of Service Risk Registers	Every service area has now updated their service risk register including specific Covid-19 risk assessments.	30-Apr-2017	06-Aug-2020
20 FB&E 02 Service Risk Registers	The Service Risk Registers have all been reviewed recently by services and updated in light of C-19 with additional risk assessments added noted by the Head of Resources.	30-Sep-2020	11-Aug-2020

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 SRR 08 Information Sharing	The Council should ensure that the Customer Record Management system is fit for purpose and is accessible by all staff dealing with the Council's service users, especially those with violence markers. As the reporting, recording and maintaining of information on incidents will always be user dependant, it is vital that all users are trained up and encouraged to make use of and update the CRM system regularly. The Council should also consider a regular group email updating users on both incidents and markers		Due to Covid-19 the implementation for this automated process has been delayed, however in the meantime there is a manual process where V&A markers can be approved by SMT and placed in the Firmstep (CRM) and then shared with relevant departments to place on their own systems. Request revised due date for automated process: 31 November 2020	30-Jun-2018	31-Nov-2020

Table D: Outstanding Audit Recommendations

Code	Description	Progress	Latest Note	Original Due Date	Due Date
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.
- 5.3 We await the latest assurance statement which is being prepared by our Monitoring Officer.

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 August 2020
Reference: Audit Recommendation Report September 2020 V1.0