

Overdue Internal Audit Management Actions where no progress has been reported

	Title	Management Actions	Rating	Status	Target Date	Completion Notes
Person Responsible: Joe Carter						
	Business Continuity Planning Arrangements	"A formal and documented process will be established, implemented and maintained for exercising and testing business continuity procedures in order to assess their effectiveness. This will be documented within the Council's overarching Business Continuity Management Policy. A testing schedule will be defined for the Council BCP as well as the Directorate and Service BCPs which details the intervals at which each element of these will be tested. Exercises/tests will; <ul style="list-style-type: none"> • Be based on appropriate scenarios with clearly defined aims and objectives to minimise the risk of disruptions; and • Produce formalised post exercise reports that contain outcomes and lessons learnt, recommendations and actions to implement improvements. "	Medium	No Action Taken	31/03/18	Not Complete
	Business Continuity Planning Arrangements	"A formal group will be established to oversee the Council's business continuity agenda. The group's remit will be defined within Terms of Reference which will include; <ul style="list-style-type: none"> • Responsibilities; • Membership and quoracy; • Meeting frequency; and • Accountability and reporting. "	High	No Action Taken	31/03/18	Amended as per follow up audit April 2017 Amended as per q1 follow up

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	Business Continuity Planning Arrangements	<p>"A formal programme of business continuity training will be developed and delivered to staff covering, but not limited to;</p> <ul style="list-style-type: none"> • The roles and contributions of staff to the effectiveness of BCM within the Council; and • The roles and contributions of staff to the effectiveness of BCM within the Council; and • The implications of non-conformance with the policy. <p>• The implications of non-conformance with the policy.</p> <p>"</p>	Medium	No Action Taken	31/03/18	No action taken as per follow up Audit

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Person Responsible: Simon Pallett						
	Business Continuity & IT Disaster Recovery	The Council Business Continuity / IT Disaster Recovery plan will be linked to the arvato Business Continuity / IT Disaster Recovery plan as soon as possible	Medium	No Action Taken	31/03/17	arvato business continuity/disaster recovery plan received April 2018. Forwarded to Dean Trussler for consideration re linkage to SBC plans. email 2/10/2018 requesting status 24/09/2018 Follow up Audit found that this action has no been completed
	Creditors	The Council will investigate and resolve the 'Amendment Logging' issue on Agresso. Changes in supplier details will then be able to be monitored and reviewed.	Medium	No Action Taken	31/07/18	Received No data to indicate that Action is complete email 2/10/2018 requesting status

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Person Responsible: Barry Stratfull						
	Creditors	All amendments to supplier standing data (including changes to email addresses and bank details) will be supported by a fully completed and authorised form (with any relevant correspondence), clearly evidencing the verification checks undertaken and uploaded to Agresso.	High	No Action Taken	31/05/18	No update received
	Asset Management	<p>The Principal Asset Manager, Principal Accountant for Capital & Treasury and Group Property & Regeneration Solicitor should oversee the preparation of an Asset Management Procedure that clearly outlines the responsibilities of all involved departments and staff. The procedures will clearly outline:</p> <ul style="list-style-type: none"> •How to identify assets; •Responsibility of staff in reporting new assets and disposals to the finance team, the legal team and the asset management team; •Documentation to be held for assets owned by the Council; •Responsibility in recording all assets into the Land Terrier and the Asset Register; •Timeliness and responsibility of reconciliations between the asset values in the asset register and the general ledger; •Timeliness and responsibilities for all involved teams within the asset revaluation process and updating of results. •Formal written verification procedures covering how regular reconciliations are to be completed against the asset register and the Councils property management records. <p>The policy and procedure will be approved by CMT and communicated across all directorates.</p>	Medium	No Action Taken	31/03/17	<p>We confirmed that a procedure had not been defined which outlined responsibility of all departments involved in asset management.</p> <p>We further identified following discussions with the Principal accountant that the processes were well known within the staffing structure however, there was no documented procedure.</p> <p>As such we have restated the action.</p>

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Person Responsible: Neil Wilcox						
	Contract Management Change	<p>Level 1: The Councillor who is responsible for procurement governance may also take on Contract Management. This will be considered in the future.</p> <p>Level 2: This will be considered as part of the overall council re-structure.</p> <p>The accountability point and Level 3 points will be built into the overall CM guidance which is being developed. The implementation will be reviewed as part of Contract Management Head's review of contracts.</p> <p>Level 4 key points will be built into the contract management guidance which is being developed. The implementation needs to be reviewed as part of on-going contract management reviews.</p>	Medium		31/03/18	
	Asset Management	The Legal Department will ensure that completion memorandums are communicated and obtained on file for all asset acquisitions made.	Medium	No Action Taken	31/03/17	<p>We were advised by the Principal Accountant that this action had been implemented, however we were not provided with the evidence to confirm this and therefore have not agreed this action as implemented as we have not seen the evidence.</p> <p>Following review with the Assistant Director Finance and Audit, it was accepted that the actions within the report would be reassigned for completion by the end of March 2017.</p>
	Contract Procedure Rules Review	Through the Finance DMT, controls will be established in the short term to monitor procurement and the use of suppliers, through measures such as the use of approved supplier lists.	Medium		31/10/18	

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Person Responsible: George Grant						
	Treasury Management & Cash Handling	The Finance team will develop an Authorised Signatory Database for petty cash expense forms and this will be implemented by the Cash Office.	Medium	No Action Taken	31/07/18	Action reformatted
Person Responsible: David Askwith						
	Rent Accounts	The Policy and Procedure Monitoring Spreadsheet will be updated to reflect the correct policy and procedure review dates. Moreover, the Spreadsheet will be reviewed on a quarterly basis to ensure policies and procedures are subject to regular review as required.	Medium	No Action Taken	31/03/18	change of res
Person Responsible: Sushil Thobhani						
	Purchasing Cards	As part of the Councils Transparency code, the Council will publish expenditure on purchase cards, broken down by merchant, on its public internet site.	Medium	No Action Taken	31/03/18	Moved resp to ST

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Person Responsible: Colin Moone						
	Management of Housing Stock	The Tenancy Management Policy and Fact Sheet 9 (Mutual Exchange/Transfer) will be updated to include; • A requirement to set submission deadlines when requesting information from the tenant or external landlords; • The timescales to be given; and • Refusal as the consequence for missing the deadline. Once approved, this will then be communicated to relevant staff and implemented to ensure effective management of applications, with compliance will be monitored as a KPI.	Medium	No Action Taken	31/03/18	Change of resp
Person Responsible: Ranvir Chahal						
	Special Educational Needs Funding	The Council will ensure the Local Offer is updated annually with the new SEN Information Report for all schools. In line with the above, the Governing Bodies of each school will ensure their schools are annually reviewing the SEN Information Report, and will ensure review dates for SEN funding information are clear.	Medium		31/12/17	
Person Responsible: Jacqueline Laver						
	Special Educational Needs Funding	The Council will ensure the Local Offer is updated annually with the new SEN Information Report for all schools. In line with the above, the Governing Bodies of each school will ensure their schools are annually reviewing the SEN Information Report, and will ensure review dates for SEN funding information are clear.	Medium		31/12/17	