

## Outstanding High Risk Actions

Audit Title	Rating	Target Date	Person Responsible	Management Response	Update Detail
Business Continuity Planning Arrangements	High	30/9/2016	Dean Trussler	<p>"The Council will establish and maintain a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level that;</p> <ul style="list-style-type: none"> <li>• Establishes the context of the assessment and defines the criteria for evaluating the potential impact of a disruptive incident;</li> <li>• Takes into account legal and other commitments;</li> <li>• Includes systematic analysis and prioritisation of risk treatments;</li> <li>• Defines the required output from the business impact analysis and risk assessment; and</li> <li>• Specifies the requirements for this information to be kept up-to-date.</li> </ul> <p>The business impact analysis will include;</p> <ul style="list-style-type: none"> <li>• Identifying activities that support the provision of services;</li> <li>• Assessing the impacts over time of not performing these activities;</li> <li>• Setting prioritised timeframes for resuming these activities at a specified minimum acceptable level (RTO - Recovery Time Objective), taking into consideration the time within which the impacts of not resuming them would become unacceptable (MTPD - Maximum Tolerable Period of Disruption); and</li> <li>• Identifying dependencies and supporting resources for these activities, including suppliers and outsource partners.</li> </ul> <p>The risk assessment will include;</p> <ul style="list-style-type: none"> <li>• Identifying risks of disruption to the Council's prioritised</li> </ul>	A policy was sent to CMT awaiting approval

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Business Continuity Planning Arrangements	High	31/8/2016	Dean Trussler	<p>The Council will develop an overarching Business Continuity Management (BCM) Policy covering the framework for BCM in the organisation. The policy will set out;</p> <ul style="list-style-type: none"> <li>•Scope, aims and objectives of BCM in the Council;</li> <li>•The Council's commitment to BCM;</li> <li>•The activities that will be required to deliver these; and</li> <li>•Roles and responsibilities of staff in relation to BCM.</li> </ul> <p>•Version control to state approval details and next planned review date.</p> <p>Once finalised, the policy will be subject to ratification by CMT and communicated to staff.</p>	A policy was sent to CMT awaiting approval
Business Continuity Planning Arrangements	High	31/3/2018	Dean Trussler	<p>"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;</p> <ul style="list-style-type: none"> <li>• Responsibilities;</li> <li>• Membership and quoracy;</li> <li>• Meeting frequency; and</li> <li>• Accountability and reporting.</li> </ul> <p>"</p>	Management action re-assigned to user: Dean Trussler
Creditors	High	31/5/2018	Claire Portsmouth	<p>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.</p>	Management action re-assigned to user: Claire Portsmouth

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Creditors	High	30/6/2019	Simon Pallett	<p>The Council will implement an amendment tracker, which details the following:</p> <ul style="list-style-type: none"> <li>•The supplier;</li> <li>•The date on which an amendment was requested;</li> <li>•The individual requesting the amendment;</li> <li>•The method of contact (requesting the amendment);</li> <li>•The date on which verification checks were undertaken;</li> <li>•The method of verification check and individual responsible;</li> <li>•The details of the amendment (including type and date of); and</li> <li>•The individuals responsible for amending the account and checking the amendment entry.</li> </ul> <p>All relevant staff will be informed of the method for the recording of supplier details amendments. The tracker will be made accessible to all relevant staff.</p>	
Debtors Management	High	30/6/2019	Barry Stratfull	<p>The Finance Team at the Council will conduct a review of all parked invoices, to establish whether there are valid reasons for these invoices not being chased. All invoices where there are no valid reasons for parking will be chased through the Council's debt management process.</p> <p>As part of this, guidance will be provided to Council staff requesting them to only park invoices had it been approved by the Service Lead – Finance and where debts are parked, an audit trail will be maintained on Agresso to support the reasons for parking the debt as well as approval from the Council.</p>	<p>A review has been completed and guidance has been provided the only part that has not been done is unparking the parked invoices. This is due to the amount of invoices that would need to be gone through to ensure that invoices that should be parked remain parked</p>
General Ledger	High	31/7/2018	Simon Pallett	<p>The Council will implement an appropriate password policy that requires passwords to be changed on first sign on from a new user, and that also sets passwords to automatically expire and require changing on a periodic basis.</p>	<p>Management action re-assigned to user: Simon Pallett</p>

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Neighbourhood ASB Enforcement	High	30/6/2020	Colin Moone	<p>The Council will review the current structure and resources within Neighbourhood Enforcement teams and assess whether additional resources are required to ensure ASB cases are responded to in a timely manner.</p> <p>As part of this, the role of the Resilience and Enforcement Team in coordinating ASB activity will be reinforced.</p>	<p>Target date changed to: 30/06/2020 Original target date: 31/01/2018</p>
Temporary Accommodation	High	31/10/2018	Colin Moone	<p>The TA Team will confirm all nightly self-contained properties and bed and breakfast properties have the following in place:</p> <ul style="list-style-type: none"> <li>☑ a current gas safety record;</li> <li>☑ carbon monoxide and fire safety precautions;</li> <li>☑ safe electrics and electrical equipment; and</li> <li>☑ a valid energy performance certificate.</li> </ul> <p>Evidence of each of these will be retained on the TA shared drive. The Team will document when assurances are received and when subsequent review of the property's safety certificates and equipment is due. This information will be actively monitored and where safety records become outdated and invalid, these will be chased with the relevant accommodation provider and escalated to Senior Management within the Council. The TA Team will undertake periodic visits to confirm that the properties have the appropriate safety equipment. The Team will also devise a preferred suppliers list which will be populated with establishments which the Council have confirmed to be compliant with the above requirements.</p>	<p>Details of os Management action asking for update</p>