

## Outstanding Internal Audit Recommendations as at 15<sup>th</sup> March 2017

<b>Recommendations Made</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
Number of High Priority	54	58	40
Number of Medium Priority	34	42	48
Number of Low Priority	25	21	30
<b>Total</b>	<b>113</b>	<b>121</b>	<b>118</b>
<b>Recommendations Implemented</b>	<b>109</b>	<b>107</b>	<b>73</b>
Number of high recommendations outstanding	2	7	1
No of medium recommendations outstanding	2	5	0
Number of Low recommendations outstanding	0	1	1
Outstanding but not overdue/ response not received	0	1	43
<b>Total Outstanding</b>	<b>4</b>	<b>14</b>	<b>45</b>
<b>Percentage due implemented</b>	<b>96%</b>	<b>89%</b>	<b>97%</b>

- Where recommendations have been raised in more than 1 year they are just shown below in the first year raised

## Outstanding Internal Audit Recommendations 2014/15

Audit 2014/15	Recommendations	Priority	Agreed Imp Date	Managers Comments
IT Security December 14	R1 It is essential that the current Council's Use of ICT by Employees Policy is reviewed to determine if it is still fit for purpose. If it is deemed not fit for purpose that a new ICT policy should be devised in accordance with the risk appetite, strategies and direction of business of the Council.	H	End May 2015  Revised date end March 2017	<b>Manager Responsible : Tony Smith/Mick Blythe/James Drury/Rachel O Neil</b>  Jan 17 ICT policies are being reviewed and updated. The suite of policies will be implemented by the end of March 2017. The Council's use of ICT by employees' policy has been drafted and is currently being reviewed by Councillor Blank informally, before formal adoption.
Procurement – February 2015	R3 The Council should publish a procurement toolkit on the Council's intranet and provide relevant Service Managers/Managers with compulsory training. This should include: <ul style="list-style-type: none"> <li>• The Council's contract procedure rules.</li> <li>• EU legislation requirements.</li> <li>• Local Government Transparency Code 2014.</li> <li>• Confirmation of the respective roles in the procurement process.</li> <li>• Procurement methods and best practice.</li> </ul> <p>Also raised March 16</p>	H	September 15  Extended to 3 months after SLA sign off date	<b>Manager Responsible : Rachel O'Neil</b>  January 2017 – Procurement toolkit developed. Aspire being updated. Procurement training being added to new E learning system and will be ready for launch in February 17. Member training scheduled for 19/01/17.

<b>Audit 2014/15</b>	<b>Recommendations</b>	<b>Priority</b>	<b>Agreed Imp Date</b>	<b>Managers Comments</b>
<b>Procurement Feb 2015</b>	<p>R4 The Council should formulate an updated procurement strategy. This should be reported to Members and adopted by the Council as soon as possible.</p> <p>Also raised March 16</p>	M	<p>March 2016</p> <p>Extended to 3 months after SLA sign off date</p>	<p><b>Manager Responsible : Rachel O’Neil</b></p> <p>January 2017 – Strategy developed and presented to GPGS Executive Board, Scrutiny and Standards and Audit Committee. Scheduled for adoption at Cabinet March 2017.</p>
<b>Car Parks March 2015</b>	<p>R4 To ensure compliance with part 4 of the Council’s Constitution quotations should be obtained for the supply of car parking tickets or an exemption documented by the Service Manager.</p> <p>Also raised March 2016</p>	M	<p>September 2015</p> <p>Revised Date January 2017</p>	<p><b>Manager Responsible : Andy Bond/Mike Brymer</b></p> <p>January 2017 – Procurement of new Pay and Display machinery was completed in November 2016, implementation to commence in January 2017. At this point we will go to the market through a procurement exercise for a new supplier of tickets.</p>

## Outstanding Recommendations 2015/16

Audit- Recs 2015/16	Recommendations	Priority	Agreed Imp Date	Managers Comments
<b>Data Protection May 2015</b>	R1 It is essential that the programme of training embarked on in April 2015, is monitored to ensure all staff fully complete the training and that the anticipated further training to data asset owners occurs and is completed within a prescribed timescale.	H	November 2015  Revised Date April 2017	<p><b>Manager Responsible: Rachel O’Neil/Tony Smith/Gerard Rogers (as SIRO)</b></p> <p>January 2017 - Training programme developed, Data Protection module is one of the Council’s launch modules for the new e learning system. Information Asset Owners and Information Asset Assistants (IAA) are being identified. Training to begin for this group of staff in February 17. 21 IAA’s in place so far – awaiting names from Environment, Resources and Regeneration to complete training schedule.</p>
<b>Data Protection May 2015</b>	R2 On completion of the training programme it should be ensured that refresher training is undertaken at regular intervals.	H	Ongoing	<p><b>Manager Responsible: Rachel O’ Neil/ Tony Smith/Gerard Rogers (as SIRO)</b></p> <p>Training programme assigned to staff members automatically via e</p>

Audit- Recs 2015/16	Recommendations	Priority	Agreed Imp Date	Managers Comments
				learning module. Line Managers will be able to easily identify those staff members who have failed to complete mandatory training, including refresher training. CMT to receive monitoring reports on half yearly basis.
<b>Data Protection – May 2015</b>	R3 The review of Council forms used to collect personal data, be concluded by the revised implementation date 1 <sup>st</sup> June 2015, with appropriate action being taken on any forms which are considered not to have a robust and consistent fair processing notification.	H	End July 2015  Revised Date March 2017	<b>Manager Responsible: Rachel O’ Neil/ Tony Smith/Gerard Rogers (as SIRO)</b>  January 2017 – review underway. Will be completed by March 2017.
<b>FOI Procedures – May 2015</b>	R1 It must be ensured that refresher training as planned, is undertaken on a regular basis by the FOI champions.	H	January 16  Revised date April 2017	<b>Manager Responsible: Rachel O’ Neil /Tony Smith /Gerard Rogers (as SIRO)</b>  January 2017 - Training programme assigned to staff members automatically via e learning module. Line Managers will be able to easily identify those staff members who have failed to complete mandatory training, including refresher training. CMT to receive monitoring reports

Audit- Recs 2015/16	Recommendations	Priority	Agreed Imp Date	Managers Comments
				on half yearly basis.
<b>Non Housing Property Repairs July 2015</b>	R3 As previously agreed, a report to the Council should be prepared indicating the outcomes of the property condition surveys undertaken and the levels of maintenance required, subsequent to which liaison must occur between the Council and the service provider to provide guidance on the levels of contributions available and the level of maintenance affordable (both revenue and capital).	H	September 2015  Revised date October 2017	<b>Manager Responsible: Michael Rich / Matt Sorby/ Jon Vaughan</b>  Report to be produced by Kier  January 2017 - Given other work and delays, this is still some time off. A date in the future needs to be set. We have discussed the work feeding in to budget setting in the Autumn so that we have re set budgets for 18/19.
<b>Non Housing Property Repairs July 2015</b>	R5 In conjunction with R2, when the new 10 year cycle is established it must be transparent as to what works are included within the cycle with the programme being adhered to as much as is practical. In instances where works are deferred or brought forward for any reason the plan should be updated to reflect the changes.	H	Ongoing	<b>Manager Responsible: Michael Rich / Matt Sorby/ Jon Vaughan</b>  January 2017 – agree and will look to set up regular (i.e. perhaps every 3 – 4 year) reviews as well as the annual budget setting. This will await the work on R3.

<b>Audit- Recs 2015/16</b>	<b>Recommendations</b>	<b>Priority</b>	<b>Agreed Imp Date</b>	<b>Managers Comments</b>
<b>Corporate Credit Cards March 2016</b>	R1 To strengthen controls procedure notes / guidance outlining acceptable usage and control / security of cards should be documented and issued to corporate credit card holders.	H	September 2016  Revised date April 2017	<b>Manager Responsible: Richard Staniforth</b>  Procedure notes to be produced and distributed.
<b>Data Protection May 2015</b>	R4 To accord with good practice as determined by the ICO, it would be prudent to incorporate the Privacy Impact Assessment process within the data protection policy and to ensure that key officers are trained on how to undertake these.	M	December 15  Revised to September 2017	<b>Manager Responsible: Rachel O' Neil/ Tony Smith/Gerard Rogers (as SIRO)</b>  January 2017 - Data protection policy will be revised by March 2017 and will include privacy impact assessment requirements. DPA training will include the completion of privacy impact assessments.
<b>Data Protection – May 2015</b>	R11 Consideration is given to utilising the information gathered from the review of Council forms as a building block to create a Council Personal Data Asset Register to comply with proposed EU legislation.	M	December 15  Revised to September 17	<b>Manager Responsible: Rachel O' Neil/ Tony Smith/Gerard Rogers (as SIRO)</b>  January 2017 – To be undertaken as part of a work package.

<b>Audit- Recs 2015/16</b>	<b>Recommendations</b>	<b>Priority</b>	<b>Agreed Imp Date</b>	<b>Managers Comments</b>
<b>Non Housing Property Repairs July 2015</b>	R6 It should be clarified that the condition surveys relate to Council premises (as opposed to assets e.g. Car parks) and is a finite 5 year exercise and not a rolling exercise.	M	Further discussion required	<b>Manager Responsible: Michael Rich / Matt Sorby/Jon Vaughan</b>  Matt Sorby to clarify with Michael Rich.
<b>Non Housing Property Repairs July 2015</b>	R7 It is essential that on conclusion of the 5 year review, a comprehensive comparison to the estates list is undertaken to ensure that there have been no omissions e.g. Coach station, public conveniences.	M	31 <sup>st</sup> March 2016	<b>Manager Responsible: Michael Rich / Matt Sorby/ Jon Vaughan</b>  Matt Sorby to confirm to Michael Rich that this has been actioned.
<b>Procurement March 2016</b>	R6 The CBC website requires updating with the Contracts Register to comply with the Local Government Transparency Code 2015.	M	Within 3 months of SLA sign off	<b>Responsible Manager: Rachel O'Neil</b>  January 2017 – Contracts register will be published from 1 April covering contracts over £50k.
<b>Bank Reconciliation August 2015</b>	R1The bank reconciliation procedure notes should be updated to reflect any changes in procedure once the transfer of the Councils bank account to Lloyds Bank has been fully implemented.  Also raised July 2016	L	31 <sup>st</sup> October 2015  Revised date June 2017	<b>Manager Responsible :</b> <b>Helen Fox</b>  Awaiting accountancy restructure to complete.



## Outstanding Recommendations 2016/17

<p><b>Queens Park Sports Centre June 2016</b></p>	<p>R19 It is recommended to review the coding of the parties. Currently activity party deposits get coded to activity party's account but further payments get coded to the main hall account.</p>	<p>L</p>	<p>July 2016</p>	<p><b>Manager Responsible: Chris Wright/Martin Key</b></p> <p>Administration process for parties to change so that one pre-payment is required for payment of booking.</p> <p>No confirmation that this has happened received.</p>
<p><b>Bank Reconciliation July 2016</b></p>	<p>R2 The receipts not credited figure detailed in the period 1 bank reconciliation should be recorded as the actual receipts not credited figure and not recorded as the net of receipts not credited and bill payment transfers.</p>	<p>H</p>	<p>31<sup>st</sup> August 2016</p> <p>Revised date June 2017</p>	<p><b>Manager Responsible :</b> <b>Helen Fox</b></p> <p>Awaiting review.</p>