

## 2015/16 ANNUAL GOVERNANCE STATEMENT ACTION PLAN AS AT OCTOBER 2016

Governance Issue	Action to be taken	Responsible Officer	Timescale	RAG Status																																																																
Business Continuity Plans	Business Continuity Plans to be maintained with reasonable assurance over completeness and application, including through the supply chain.	Resilience Manager	March 2017																																																																	
<p><b>Status:</b> IN PROGRESS</p> <p>A report was presented to the Regulatory and Audit Committee with a status report detailing the completion of BCPs across each of the Business Units. Areas of non-compliance are being highlighted to One Council Board and an updated status report will be presented to Regulatory and Audit Committee in February.</p>																																																																				
Financial Management – Financial Control	Actions identified by the Professional Lead to improve the management controls, and actions arising from the 2015/16 Internal Audits to be implemented and tested to ensure confidence in their application and effectiveness.	Director of Assurance / Head of Strategic Finance	March 2017																																																																	
<p><b>Status:</b> IN PROGRESS</p> <p>Significant progress has been made in addressing the control weaknesses identified during the 2015/16 Internal Audit reviews of the key financial systems. The 2016/17 audits of these areas are now in progress and will be reported to the Regulatory and Audit Committee in April. Current status of audit actions detailed in table below:</p>																																																																				
		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="background-color: #92D050;">Audit Title</th> <th rowspan="2" style="background-color: #92D050;">Year</th> <th colspan="3" style="background-color: #FF0000; color: white;">High</th> <th colspan="3" style="background-color: #FFD700; color: white;">Medium</th> <th rowspan="2" style="background-color: #92D050;">Total</th> </tr> <tr> <th style="background-color: #92D050;">Completed</th> <th style="background-color: #92D050;">In Progress</th> <th style="background-color: #92D050;">N/A</th> <th style="background-color: #92D050;">Completed</th> <th style="background-color: #92D050;">In Progress</th> <th style="background-color: #92D050;">N/A</th> </tr> </thead> <tbody> <tr> <td>Accounts Payable</td> <td>2015/16</td> <td style="text-align: center;">1</td> <td style="text-align: center; color: red;">4</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center; color: red;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center;">5</td> </tr> <tr> <td>Accounts Receivable</td> <td>2015/16</td> <td style="text-align: center;">5</td> <td style="text-align: center; color: red;">2</td> <td style="text-align: center;">-</td> <td style="text-align: center;">3</td> <td style="text-align: center; color: red;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center;">10</td> </tr> <tr> <td>General Ledger</td> <td>2015/16</td> <td style="text-align: center;">6</td> <td style="text-align: center; color: red;">5</td> <td style="text-align: center;">-</td> <td style="text-align: center;">5</td> <td style="text-align: center; color: red;">3</td> <td style="text-align: center;">-</td> <td style="text-align: center;">19</td> </tr> <tr> <td>Payroll</td> <td>2015/16</td> <td style="text-align: center;">1</td> <td style="text-align: center; color: red;">5</td> <td style="text-align: center;">-</td> <td style="text-align: center;">1</td> <td style="text-align: center; color: red;">4</td> <td style="text-align: center;">-</td> <td style="text-align: center;">11</td> </tr> <tr> <td>Pensions</td> <td>2015/16</td> <td style="text-align: center;">1</td> <td style="text-align: center; color: red;">2</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center; color: red;">2</td> <td style="text-align: center;">-</td> <td style="text-align: center;">5</td> </tr> </tbody> </table>							Audit Title	Year	High			Medium			Total	Completed	In Progress	N/A	Completed	In Progress	N/A	Accounts Payable	2015/16	1	4	-	-	-	-	5	Accounts Receivable	2015/16	5	2	-	3	-	-	10	General Ledger	2015/16	6	5	-	5	3	-	19	Payroll	2015/16	1	5	-	1	4	-	11	Pensions	2015/16	1	2	-	-	2	-	5
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Embedding the Operating Framework and system of assurance	Implementing the Assurance Framework with routine reporting to the OCB and the Regulatory and Audit Committee.	Director of Assurance / Chief Auditor	March 2017	
<p><b>Status:</b> IN PROGRESS</p> <p>The assurance mapping exercises for CH&amp;ASC and CSC&amp;L is in progress and will be complete by December 2016. Reports will be presented to OCB in January.</p>				
Data Quality for the management of cyclical maintenance and inspection of plant and equipment.	Actions identified by the Professional Lead to be implemented and tested to ensure confidence in their application and effectiveness.	Head of Strategic Assets	March 2017	
<p><b>Status:</b> IN PROGRESS</p> <p>Data and records management process under review with current contractor and is being considered as part of the tender exercise.</p>				
Management oversight of the governance of project and programme management.	Develop the professional lead role to provide the management oversight of programmes and projects; and, develop the support and guidance to management and staff responsible for the delivery of projects.	Programme Management Officer	March 2017	
<p><b>Status:</b> COMPLETE</p> <p>The Programme Management Officer has developed a comprehensive Project Management Toolkit which has been communicated and well publicised across the whole Council. The Single View of Change captures details of all key projects. This is monitored by the Programme Management Officer and reported to OCB on a regular basis.</p>				