

Appendix Five: Position of Outstanding Audit Actions

| Audit | Finding Description | Priority | Agreed Action | Original Due Date | Owner | Current Due Date | Update Comments | Resolution |
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| ICT Records Management | <p>Part of the duties of the Data Protection Officer is to monitor compliance with the GDPR and other data protection laws as well as the Council's data protection policies and processes. To this end, the Data Protection Officer has adapted the data protection self-assessment checklist as provided by the Information Commissioner's Office and made available from their website. Compliance checks have recently been initiated, with the HR section being subject to the first review by the Data Protection Officer.</p> <p>Utilising suggested checks by the UK's supervisory authority for GDPR will help ensure that the Council is adhering to best practice. That said, the self-assessment toolkit has been created with small organisations in mind. The ICO goes on to say that the checklist will be most helpful to small to medium sized organisations from the private, public and third sectors.</p> <p>Our assessment of the checklist</p> | Medium | The checklist will be reviewed to incorporate necessary compliance checks. | 30/04/2019 | Steve Anderson | 31/08/2019 | There has been a fresh look at monitoring compliance and new proposals are being drawn up with a view to obtaining agreement by end of Aug 2019. (JOS - 06/06) | In progress |

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| | <p>that is planned to be used by the Council is that the questions posed in the checklist around retention periods are largely directive and do not offer sufficient checks on compliance.</p> | | | | | | | |
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| Customer First | <p>The overall high level strategic benefits of the Programme have been established and are detailed in both the Programme Mandate and Programme Definition Document. These documents, we acknowledge, have been produced retrospectively and are still in draft format. Work is currently being carried out to determine how the benefits of the Programme will link to its outcomes and how benefits will be measured i.e. establishing performance targets/satisfaction measures. This work has not yet been completed and links and targets/measures formally documented.</p> <p>How the outcomes of the 6 Themes will link to the benefits of the Programme have also not yet been determined, including responsibility for benefit monitoring and reporting.</p> | Medium | Benefits, Outcomes and Performance Indicators for the Programme, Themes and Projects to be documented in a golden thread. Theme Leads to report on the benefits, outcomes and indicators as part of the theme reports. | 31/03/2019 | Michelle Carrington | 31/08/2019 | Workshop to be held late June with relevant officers to ensure understanding of outcomes, how they can be achieved, means of measuring progress or success and overall ownership | In progress |
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| Customer First | How the Customer First Programme will be monitored in respect of quality has not been established or documented. There is no Quality Management Plan in place for the Programme however it is understood that development of such a plan will form part of the wider programme management process currently being developed by the Performance and Programmes Team Manager. | Medium | A Programme Quality Management Plan to be defined as standard for use across the Councils range of programmes; and then adopted by the Customer First Programme | 31/03/2019 | Darren Mellors | 31/08/2019 | Awaiting Board approval - expect by end of July 2019 | In progress |
| Food Safety, Environment Protection & Enforcement | Food Law's Code of Practice requires that each competent authority must have an up-to-date, documented Food Service Plan which is readily available to food business operators and consumers. The Plan must be subject to regular review and clearly state the period of time during which the Plan has effect. There was no Food Service Plan for 2017/18 and 2018/19. Food Law's Code of practice also requires that each competent authority should have an up-to-date, documented Food Law Enforcement Policy which is readily available to food business operators and consumers. We | Medium | To develop Food Law Enforcement Policy and make it available to food business operators and consumers. | 31/03/2019 | Andy Gray | 30/10/2019 | Policy is in development | In progress |

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| | found that the Council have no Food Law Enforcement Policy. | | | | | | | |
| Sales & Invoicing | <p>The current financial system is seen as a blocker and is not meeting the requirements of most teams we spoke to. There is no functionality for commercial billing meaning that invoices can't be created from a template and a change in the sum of future invoices is a labour and time demanding process of manual amendments in the financial system. There is no functionality for the automatic generation of template documents for court actions for unpaid sundry debts, and reports produced by the system need manual formatting in order to make them user friendly and meeting service areas' requirements.</p> <p>This has been identified as an area for improvement and Civica have stated that they can develop a system add-on which will provide functionality for commercial billing. The discussions between Council officers and Civica has taken more than a year and Civica haven't engaged in the expected way or provided the needed support to address this and other identified</p> | High | <p>To review and procure a new finance system, either through a joint procurement exercise with partners or through a WLDC Council procurement process.</p> <p>To consider in line with the wider strategic needs of the Council and current transformation programmes of work to support a fit for purpose system.</p> | 31/03/2019 | Ian Knowles | 31/03/2020 | <p>The acquisition of a new finance system is expected to take approximately 9 months and implementation would be anticipated from September 2019. The procurement process has been delayed as a result of feedback from the market engagement events and a change to the procurement strategy. Procurement went to market in June 2019. The process will take until January 2020 with implementation dates to be agreed as part of the process.</p> | In progress |

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| | <p>issues. Prior to the audit completion we were been told that Civica have confirmed that the required commercial billing add-on will be ready by the end of October 2017.</p> | | | | | | | |
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