

APPENDIX 2

2016 / 2017 AGS: NEW ISSUES TO BE ADDRESSED

Please note that the actions included in this action plan are to address both significant governance issues that have arisen during 2016/17, but also forward looking matters identified for 2017 / 2018.

	Issue	Action	Target Date	Officer Responsible
1	<p>Project Delivery Arrangements</p> <p>The Council is undertaking a wide range of complex and diverse projects across the authority both within individual service areas and as part of the Business Transformation Programme including the redevelopment of Park Street Car Park, the Digital Transformation Strategy and the Council House Building Programme.</p> <p>There are a number of key risks associated with the delivery of any major project and it is important that the Council has sound governance arrangements in place to ensure that all projects are delivered successfully to time and budget.</p>	<p>Robust project management will be employed across all programmes with regular monitoring and reported through to each Board.</p> <p>Close control will be in place for finance to ensure there is no project creep.</p>	Ongoing	Chief Executive working with the Senior Leadership Team

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2	<p>Financial Management System</p> <p>The Council is in the process of implementing its new Financial Management System (FMS), Tech 1, which is due to be fully implemented by 1 October 2017.</p> <p>The Financial Management System is a key corporate system that underpins the whole of the Council's financial control arrangements and it is therefore imperative that there is a robust process for implementing the new system. Internal Audit have been heavily involved in reviewing the arrangements for implementing the new FMS, including project management arrangements, ensuring that appropriate controls are built into new processes and advising the project board on any concerns arising. This work will continue into 2017/18 to help ensure the successful implementation of the new system.</p>	<p>Internal Audit to continue their involvement in the implementation of the new FMS to ensure:</p> <ul style="list-style-type: none"> • the robustness of the data migration process; • that interfaces with other key systems are thoroughly tested; and • that system and user acceptance testing is robust. <p>Further time has been allocated in this year's audit plan for this purpose.</p>	1 October 2017	Head of Internal Audit

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3	<p>Procurement</p> <p>Internal Audit involvement in a number of procurement exercises during 2016-17 has highlighted a lack of awareness and understanding of the new Public Contract Regulations (2015). Weaknesses were also identified in a recent audit of tender evaluation processes in some areas of the Council.</p> <p>The need to raise awareness of the above has been recognised and is being addressed through a series of training sessions to accompany the introduction of a new e-tendering system/contracts register.</p>	<p>Complete the programme of training sessions on the new e-tendering package and extend the programme if required.</p> <p>Review tender evaluation reporting procedures to ensure they are fit for purpose.</p>	31 December 2017	<p>Head of Commercial Services</p> <p>Head of Commercial Services in conjunction with the Head of Internal Audit</p>
4	<p>Shared Services</p> <p>Continuing changes to service delivery arrangements needs to be backed up by appropriate and robust governance arrangements. Ongoing reviews are required as to the effectiveness and delivery of each service area.</p>	<p>Ongoing reports on finance, performance and delivery of outcomes will continue to be reported to the various Boards. Annual reports and Business Plans are submitted to various Scrutiny Committees</p>	Ongoing	Programme Office

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5	<p>Cyber Security</p> <p>It is important that the Council continues to keep data security high on the agenda to ensure that it is effectively managed, particularly with the introduction of new service delivery arrangements for ICT and information management.</p> <p>The risk of a cyber-attack is very real one and all organisations, including those in the public sector, should consider cyber security as an organisational risk. To mitigate against this risk, it is essential to raise awareness and commit to implementing a cyber-security, risk adverse culture.</p>	Regular system monitoring and reports to all Councils on threats and actions to mitigate.	Ongoing	3C ICT
6	<p>Fraud, Corruption and Serious Organised Crime</p> <p>Pilot studies have been undertaken in a number of regions which has resulted in a best practice check list being established to ensure that local authorities have sound and robust procedures to reduce the threat of SOC impacting on Council activities</p>	<p>Internal Audit to liaise with Police and other Councils to ensure that appropriate arrangements have been developed.</p> <p>Internal Audit has incorporated a number of reviews within its Audit Plan to follow the best practice checklists to look to provide assurance to the Council.</p>	31 March 2018	Head of Internal Audit

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7	Combined Authority The Council needs to develop effective partnership relationships with the new authority.	Leader of Council is member of the Combined Authority. Strategy and Resources Scrutiny Committee will scrutinise Leaders work with the Combined Authority. Council officers to contribute to appropriate Combined Authority projects and working groups.	Ongoing	Chief Executive (and working group representatives)
8	Loss of Key Staff The Council has difficulty recruiting in some areas and, as services undergo change, may be more at risk of losing key personnel.	The Council will publish its organisational development strategy and continue to review its recruitment and retention policies.	31 March 2018	Strategic Leadership Team Head of Human Resources