SUMMARY OF RECOMMENDATIONS FOLLOWED UP

Audit (Number of Recommendations originally accepted)	Date final report issued	Number of recommendations where implementation not yet due	Number of recommendations where implementation now confirmed by management	Number of recommendations where management advise that implementation delayed (Appendix B)	Number of recommendations where management advise that implementation is no longer intended (Appendix C)	Number of recommendations where implementation not confirmed or alternative date not provided
Emergency Planning Arrangements 2011/12 (10)	8/5/12	1	1	8	0	0
Procurement 2012/13 (9)	22/5/13	0	7	0	2	0
Council Tax/NNDR 2012/13 (4)	24/6/13	0	3	1	0	0
Environmental Services 2012/13 (4)	8/7/13	0	4	0	0	0
Safeguarding 2013/14 (7)	23/8/13	0	0	7	0	0
Payroll 2013/14 (4)	30/8/13	2	2	0	0	0
Housing 2013/14 (3)	17/12/13	3	0	0	0	0
Section 106 Agreement 2013/13 (5)	19/12/13	1	4	0	0	0
Dunbrik 2013/14 (2)	20/12/13	0	2	0	0	0
Purchasing & Creditors 2013/14 (2)	18/2/14	1	1	0	0	0
Contract Management 2013/14	18/2/14	1	0	0	0	0

Council Tax/NNDR 2013/14 (2)	26/2/14	2	0	0	0	0
Debtors 2013/14 (1)	28/3/14	1	0	0	0	0

'OVERDUE' RECOMMENDATIONS WHERE IMPLEMENTATION HAS BEEN DELAYED

Audit: Emergency Planning, Business Continuity & the Olympics 2011/12

Recommendation	Priority/ranking	Original response	Previous Responses	Latest position + (source)
1. The Major Emergency Plan should be reviewed by the Emergency Planning Manager and then approved by Management Team and the Performance and Governance Committee. This review should ensure that it considers any staff, location or role changes which have taken place within the Council since the last review.	Medium	**Agreed Action:** The emergency plan is working in practice but we will review the documentation. **Responsible Officer:** Building Control and Emergency Planning Manager **Recommendation Implementation Date:** 31 March 2013	This cannot be progressed until the revised structure has completed in order that named officers can be identified and included. Revised date: March 2014	Due to the flooding response for the first 2 months of the year, we moved the updating of the EP and BCM plan by a couple of months, now with a committee date of July 2014. Building Control and Emergency Planning Manager – 13/5/14 Audit Manager Comment: The Audit Committee will be kept informed of developments regarding this recommendation at the meeting in September 2014.
2. The Action Plan, identified through the Business Continuity Management methodology course peer evaluation, should be addressed by the Business Continuity Officer. Once completed, outcomes to all the areas of concern and action points should be reported to the Emergency Planning Manager and Head	Medium	**Agreed Action:** The business continuity plan is working in practice but we will review the documentation. **Responsible Officer:** Building Control and Emergency Planning Manager **Recommendation Implementation Date**:	An action plan has been agreed in order to produce a revised business continuity plan. This action plan and timetable was agreed by Management Team on 25 April 2013. Revised date: March 2014	As above.

Recommendation	Priority/ ranking	Original response	Previous Responses	Latest position + (source)
of Service.		31 March 2013		
3. Once the Peer Review Action Plan is completed, the Business Continuity Plan should be reviewed and updated with outcomes from Action Plan. This should include the removal of cross referencing and direct access to Contacts and other relevant information.	Medium	**Agreed Action:** Agreed **Responsible Officer:** Building Control and Emergency Planning Manager **Recommendation Implementation Date:** 31 March 2013	As above	As above.
4. Appendix 2 of the Major Emergency Plan should be reviewed and updated to ensure that contact details are accurate and individuals are aware of responsibilities allocated to them for different scenarios or circumstances.	Medium	**Agreed Action:** Agreed **Responsible Officer:** Building Control and Emergency Planning Manager **Recommendation Implementation Date:** 31 March 2013	This cannot be progressed until the revised structure has completed in order that named officers can be identified and included. Revised date: March 2014	As above.
6. Common functional and specific emergency response plans should be reviewed, updated where appropriate and dated by the Service Managers. They should all follow the	Low	**Agreed Action:** Agreed **Responsible Officer:** Service Managers/Building Control and Emergency Planning Manager	This is included in the agreed Action plan and will be undertaken in stages with throughout the year. Revised date: March 2014	As above.

Recommendation	Priority/ ranking	Original response	Previous Responses	Latest position + (source)
same format and where appropriate, should be made available on the SDC Website and on SiMON.		**Recommendation Implementation Date:** 31 March 2013		
7. Once all documents are updated, they should be uploaded onto the appropriate Simon web page in order that staff can access the most recent version.	Low	**Agreed Action:** Agreed **Responsible Officer:** Service Managers/Building Control and Emergency Planning Manager **Recommendation Implementation Date:** 31 March 2013	This is linked to item 12 if the implementation action plan and will be undertaken once this stage is complete and the revised intranet is confirmed as secure. Revised date: May 2014	As above.
8. Section 5.8 of the Business Continuity Plan should be reviewed. Service Specific plans should be produced by Service Managers to identify how they will manage their critical services.	Medium	**Agreed Action:** Agreed **Responsible Officer:** Building Control and Emergency Planning Manager/Heads of Service through the Head of Environmental and Operational Services **Recommendation Implementation Date:** 31 March 2013	This is included in the agreed Action plan. Revised date: March 2014	As above.

Recommendation	Priority/ ranking	Original response	Previous Responses	Latest position + (source)
10. An operational risk register should be produced for Emergency Planning for the year 2012/13, based on the requirements of the new Framework and linked to Service Plan objectives once the new framework is in place. The Audit, Risk and Anti-fraud Manager should be contacted for guidance if required.	Low	**Agreed Action:** Agreed **Responsible Officer:** Building Control and Emergency Planning Manager **Recommendation Implementation Date:** 31 March 2013	The operational risk register for BCP has been completed for 2012 and the 2013 version will be undertaken when due. Comprehensive Risk registers for Emergency Planning and Business Continuity cannot be completed until revised plans are in place. Revised date: March 2014	As above.

Audit: Procurement 2012/13

Recommendation	Priority/ ranking	Original response	Latest position + (source)
4. Management should review the expenditure for agency and temporary staff and consider adopting the framework agreement, already in place across the Council for general, non-specialised staff.	High	**Agreed Action:** As above **Responsible Officer:** Heads of Service **Recommendation Implementation Date:** 31st August 2013	In view of the recent organisational changes, this recommendation has been carried forward to the review of Agency Staff, Contracting & Consultants 2014/15. Audit Manager Comment: The Committee will be advised further following completion of the Agency Staff, Contracting & Consultants review.
5. Departments with specialist agency needs should tender for a call off	High	**Agreed Action:** As above **Responsible Officer:** Heads of Service	As above.

Recommendation	Priority/ ranking	Original response	Latest position + (source)
contract for the supply of their agency staff. The tender should be designed to consider not only the best price but also the quality of service and minimum knowledge requirements for their field of expertise.		**Recommendation Implementation Date:** 31st August 2013	

Audit: Council Tax/NNDR 2012/13

Recommendation	Priority/ ranking	Original response	Latest position + (source)
4. A review should be undertaken to ascertain whether Council Tax and NDR online payments could be received and processed in-line with other Council services.	Low	**Agreed Action:** As above **Responsible Officer:** Principal Accountant/IT Manager **Recommendation Implementation Date:** 31/12/13	The PID is being submitted to the IT Steering Group next Tuesday (6th May), we expect that this will take about 10 - 15 days of development and testing as once we turn on 3D Secure for one payment type all other payments will also use 3D secure and each payment type will need testing. Based upon current workloads within the team it is likely that this work will be completed by October 2014 however as this is not a statutory requirement, only best practice it may slip depending on other requests that are submitted. IT Manager – 28/4/14

Audit: Safeguarding Arrangements 2013/14

Recommendation	Priority/ ranking	Original response	Latest position + (source)
1. The Chief Officer Communities & Business should ensure that the revised SDC Safeguarding policy includes any recent amendments (April 2013) and that all legislative points are covered. The revised policy should be made available on the intranet and the SDC website as soon as it has been agreed by full Council. The SDC website should be used to promote the policy and to encourage communication and engagement with stakeholders.	Medium	**Agreed Action:** As above **Responsible Officer:** Chief Officer Communities & Business **Recommendation Implementation Date:** Following approval of revised policy	The policy has been sent to an outside agency for approval and will be going to Cabinet May/June 2014. Community Planning & Projects Officer – 7/3/14 Audit Manager Comment: The Audit Committee will be kept informed of developments regarding this recommendation at the meeting in September 2014.
2. The Council's complaints officers must be made aware of the revised child protection policy including the flowcharts so they can deal with complaints effectively. The revised child protection	Medium	**Agreed Action:** As Above **Responsible Officer:** Chief Officer Communities & Business **Recommendation Implementation Date:** Following approval of revised policy	As above.

Recommendation	Priority/ ranking	Original response	Latest position + (source)
policy must be put on the intranet and the SDC website as soon as it has been agreed. The policy should be reviewed every 2 years			
3. Management should take appropriate steps to ensure that all Council officers are made aware of the person responsible for safeguarding by publicising on the intranet. Steps should also be taken to make sure all officers are aware of what to do if they come across any concerns impacting on safeguarding they believe ought to be raised with management or the appropriate authorities whilst carrying out their duties.	Low	**Agreed Action:** As Above **Responsible Officer:** Chief Officer Communities & Business **Recommendation Implementation Date:** Following approval of revised policy	As above.
4. The Chief Officer Communities and Business should liaise with the Heads of Service appropriately trained to ensure: - ● Where necessary job descriptions and person	Medium	**Agreed Action:** As Above **Action Already taken:** Heads of Service have already been trained in identifying which staff posts should be subject to safeguarding arrangements. HR holds a list of these posts and arranges regular three yearly DBS check.	As above.

Recommendation	Priority/ ranking	Original response	Latest position + (source)
specification should detail the safeguarding policy. Compliance with the latest policy should form part of the post key activities. • Application forms to mention the latest Safeguarding and Child protection • Starter pack should contain a copy of the latest Councils safeguarding policy		**Responsible Officer:** Chief Officer Communities & Business **Recommendation Implementation Date:** Following approval of revised policy	
5. Discussion items and good practice identified as part of the Safeguarding group should be recorded and filtered through to appropriate departments within the Council.	Low	**Agreed Action:** As Above **Action Already taken:** The safeguarding group has only met twice, once to decide to do more training and once to decide what training should consist of and which officers would be prepared to support or act as sounding boards for others. This is part of the review of the policy. **Responsible Officer:** Chief Officer Communities & Business **Recommendation Implementation Date:** Following approval of revised policy	As above.
6. Before a project is commissioned, appropriate	Low	**Agreed Action:** As Above	As above.

Recommendation	Priority/ ranking	Original response	Latest position + (source)
checks should be carried out regarding the appropriateness or suitability of provider to undertake the work. These checks should include what procedures the provider has in place regarding information sharing.		**Action Already taken :**The revised safeguarding policy contains a code of conduct to ensure good working practice; this includes relevant Information Sharing Procedures **Responsible Officer:** Chief Officer Communities & Business **Recommendation Implementation Date:** Following approval of revised policy	
7. The Chief Officer Communities & Business should ensure that there is an effective system in place to support officers that have received training. An evaluation form should be distributed immediately after training to add value to the process and to ensure that officers can identify any skills gaps that may remain following training.	Low	**Agreed Action:** As Above **Action Already taken:** Further training is proposed for line managers and two further officers prepared to act as a sounding board and to give advice have been identified and agreed to do this. These Officers are fully trained. **Responsible Officer:** Chief Officer Communities & Business **Recommendation Implementation Date:** Following next training event	As above. As above.