

## 2012/13 AGS Action Plan

AG Ref	Significance	Gap Identified	Agreed Action	Responsible Officer	Timescale
1.5	NS	Inconsistency in the existence of agreed quality standards in key service areas.	Assessment of the materiality of the inconsistency and whether a Corporate policy will add benefit.	Susan Dixson – Head of Internal Audit	Feb 2014
1.7	NS	Corporate Procurement Strategy in place covers 2009 – 2012 and a lack of a Corporate Contract Management Policy.	Corporate Procurement Strategy to be updated.  Council wide contract management approach to be developed.	Terry Brewer – Divisional Director Commercial, Contracts & Procurement	Sept 2014
2.2	NS	Contract Procedure Rules not regularly reviewed – last reviewed/updated 2009.	CPRs to be reviewed in 2013.	Terry Brewer – Divisional Director Commercial, Contracts & Procurement	Dec 2013
3.2	NS	Corporate Anti-fraud Policy not up to date (c/f 11/12 3.4).	Already reviewed and updated – to be approved by GARM and included in the constitution.	Justin Phillips _ Service Manager CAFT	Jan 2014
3.6	NS	During 2012/13 it was identified that a standard's complaint had not been referred in a timely manner.	Reporting lines will be reviewed for such cases to ensure that changes in structures do not in future impinge on the timeliness of complaints being passed to the Standards Committee.	Simon George – Director of Finance & Assurance	Sept 2013
4.8	NS	Risk Management Strategy annual review overdue – last reviewed/updated October 2011.	To reviewed and updated.	Susan Dixson – Head of Internal Audit	Dec 2013
4.8	NS	Loss of risk management expertise.	Plan to be developed to maintain core elements of risk management.	Susan Dixson – Head of Internal Audit	Sept 2013
4.9	NS	Whistleblowing Policy in place for staff but is not made available to members of the public, partners or contractors.	Policy to be reviewed and updated.	Hugh Peart – Director of Legal & Governance Services	Dec 2013

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5.3	NS	The Council's Training & Development Plan does not specifically cover governance training.	An e-learning tool is currently being developed.	Lesley Clarke – Organisational Development Manager	Nov 2013
7.2		BC team unable to confirm that all Divisions have up to date BC plans.	Exercise currently underway to develop/update BC plans across the Council.	Kan Grover - Service Manager - Emergency Planning & Business Continuity	Nov 2013
7.2	NS	Harrow IT Business Continuity/Disaster Recovery Plan not finalised – user acceptance testing delayed until Q1 13/14 not complete. (in part c/f 11/12 GF7)	User acceptance testing has been completed except for the SRM (Procurement) element of SAP as a new remote access disaster recovery solution is currently being developed. Once implemented this will be tested.	Rahim St John - Head of Business Transformation Partnership	Dec 2013
7.6	NS	The council can not demonstrate it applies policies and procedures consistently and there are no mechanisms in place to check this based on risk. Implementation of new policy compliance software due Q1 13/14 has been delayed. (c/f 11/12 3.35)	Procurement process at contract negotiation stage – ironing out technical details – if satisfactory will proceed with purchase and be in place by end of year.	Tony Monachello - Service Manager, Information Management	March 2014
7.9	S	Application to the PSN Code of Connection (Government Connection) has been rejected on the basis that the scope, which only covered the secure part of the network, was too narrow.	Re-submission covering the whole network	Rahim St John - Head of Business Transformation Partnership	Oct 2013
7.10	NS	The council can not currently demonstrate it is reducing the number, severity, or both, of security incidents – raised	To be monitored over the year on a quarterly basis as part of the Breaches Register and Incident Management Procedure. Reported to	Tony Monachello - Service Manager, Information Management	March 2014

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		awareness & introduction of improved reporting has increased the level of incidents reported in the short term.	the Resources Improvement Board. Historic data will enable comparison.		
c/f 3.7	NS	Directorate/Service Specific schemes of delegation covering HR/service specific responsibilities not consistently in place across the Council.	Review of delegations in the 2013/14 IA Plan.	Susan Dixson – Head of Internal Audit	Dec 2013
c/f 3.34	NS	Data Quality Procedures not up to date.	Internal Audit to undertake a review of the procedures.	Susan Dixson – Head of Internal Audit/Alex Dewsnap - Divisional Director Strategic Commissioning	Jan 2014
c/f 13.11	NS	Resources Workforce Strategy not finalised.	To be finalised.	Tom Whiting	Nov 2013
c/f 16.5	NS	No separate bank account for WLWA (raised by External Auditors in August 2012. Plans are in place for a separate bank account from April 2014. The External Auditors are not overly concerned, and the Director of Finance and Assurance has agreed to produce a separate working paper for the External Auditors to provide additional assurance.	Separate Bank Account from April 2014	WLWA Treasurer	April 2014
c/f 16.6	NS	Formal Financial Procedure to be drafted as part of new Financial Procedure Rules to cover the removal of ledger codes from the	To be drafted.	Hasina Shah	Dec 2013

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		chart of accounts (caused on issue in the draft financial statement for 2011/12).			
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