Monitoring Report of Actions Arising from Audit Reports
(incorporating any actions outstanding at 31 March 2019 from earlier reports)

URN	Auditing Body & Source	Audit Area and Responsible Manager	Priority	Agreed Action	Progress Report to Date	Timing For Completion	Status ('Not Started', 'In Progress' or 'Completed')
PropSC (19/20) 1	**RSM** Aug 19: Final Report (19/20)	Property – Statutory Compliance Assistant Chief Officer	Medium	The organisation will draft and approve policies and/or procedures which relate to the following areas: • Oil Heating • Gas Heating • Legionella • Fire Equipment & Systems • PAT & Fixed wiring • Display Energy Certificates • Commercial Gas Cookers Procedural documents to be written when new 3i System is fully implemented during September 2019 (target for procedure documents December 2019) The documents will be stored on the organisation's Intranet and staff will made aware of their location via formal communication	Policy covering all Property statutory compliance areas in first draft and WIP. Procedural documents yet to be worked on. The policy will be completed by the end of November, ready for consultation in December. The procedures will be completed by the end of December, so both on target.	**Original** Dec 19	In Progress
PropSC (19/20) 2	**RSM** Aug 19: Final Report (19/20)	Property – Statutory Compliance Assistant Chief Officer	Medium	The organisation will ensure that an SLA is put in place for each contractor that provides compliance testing services (Gas & Oil, Electrical, HVAC and Generator & UPS). The SLA will include an agreed	Process on-going through 2019/20 and 2020/21 due to the number of SLAs to be tendered and awarded. Due date August 2020.	**Original** Aug 20	In Progress

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				timescale to complete any work and send over certification. The emails in which certification and reports are sent by contractors will be saved with the documentation itself, to allow the organisation to review performance in line with the SLA.			
BC (19/20) 1	**RSM** Sep 19: Final Report (19/20)	Operational Business Continuity Head of Training and Assurance	Medium	The Group Commander will conduct a review of the Business Continuity Policy and add a generic business continuity plan and identify a management team to be utilised should an incident occur. Once reviewed and updated, the plan will be made available to staff via the Service's intranet and distributed via email.	The Business Continuity Policy has been subject to a full review and it is now ready to be made available on the Service SharePoint. Once the revised Policy is uploaded, as per Service procedures, an email will be promulgated to all staff advising of newly published or revised policies.	**Original** Dec 19	In Progress
BC (19/20) 2b	**RSM** Sep 19: Final Report (19/20)	Operational Business Continuity Head of Training and Assurance	High	The Service will review and update the Flu Pandemic and Death in the work place Continuity Plans. The Service will also update the Business Continuity Plans to capture information on: • date of next review;	The Flu Pandemic Plan has been subject to a full review, the updated plan is available on SharePoint. The Service Death / Injury in the Workplace Plan has been written, it is currently out on consultation across the Service. Once any suggested amendments have been made,	**Original** Dec 19	In Progress

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				• ownership and approval of the Plan; • governance arrangements; • a dedicated business continuity team; • a list of contractors and suppliers to be contacted; • control rooms; minimum equipment required for control rooms; and • logging of decision making.	following the consultation period (six weeks), the plan will be made available on the Service SharePoint. Once the revised Plan is uploaded, as per Service procedures, an email will be promulgated to all staff advising of newly published or revised policies / plans.		
RM (18/19) 2	**RSM** Feb 19: Final Report (18/19)	Risk Management Head of Governance & Asset Management	Medium	Risks on the Corporate Risk Register will have the following fields populated: • Mitigating controls; • Assurances against controls; and • Gaps in controls/assurances.	Delayed due to CMT/team restructuring and a pending review of the risk management software in use, with a view to ensuring cost avoidance if possible on changes made to the system by the supplier. The Corporate Risk Register is currently being updated and populated with the fields for Mitigating controls; Assurances against controls and Gaps in controls / assurances. A request was made to an extension to this action to be completed by Feb 2020.	**Original** May 19 **Revised Date** Feb 2020	In Progress

URN	Auditing Body & Source	Audit Area and Responsible Manager	Priority	Agreed Action	Progress Report to Date	Timing For Completion	Status ('Not Started', 'In Progress' or 'Completed')
					This was approved by the ASC on 15/10/19		
RM (18/19) 4	**RSM** Feb 19: Final Report (18/19)	Risk Management Head of Governance & Asset Management	Medium	Formal risk management training will be provided to risk owners and other key staff. Areas to be covered could include: • the quality of risk descriptions • the level of information required for risk reviews • management of risk actions • mitigating controls • assurances gaps in control	RSM are completing formal Risk management training to CMT in January 2020. This will include:- • the quality of risk descriptions • the level of information required for risk reviews • management of risk actions • mitigating controls • assurances gaps in control Together with a thorough review with CMT of the Service risk register. A request was made to an extension to this action to be completed by Feb 2020. This was approved by the ASC on 15/10/19	**Original** May 19 **Revised Date** Feb 2020	In Progress

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SC 4 (18/19)	**RSM** Apr 19: Final Report (18/19)	Stock Control Head of Governance & Asset Management	Medium	The Authority will ensure that following the upgrade of Microsoft Dynamics to training on the stores requisitioning system will take place for those members of staff who are responsible for ensuring transactions are done in an accurate and timely fashion.	Due to the delay in the upgrade of Microsoft Dynamics to the Service, a request was made to an extension to this action to be completed by Feb 2020. This was approved by the ASC on 15/10/19	**Original** Jul 19 **Revised Date** Feb 2020	In Progress

Monitoring Report of Actions Arising from 2018/19 Annual Governance Statement

No	Issue	Source	Planned Action	Progress to date	Timing For Completion	Status ('Not Started', 'In Progress' or 'Completed')
1	Medium Term Budget/CRMP	Assurance Statements	To continue to address the medium term funding gap and manage for forthcoming funding pressures.	The 2020/21 financial year will be a 'one off' settlement with the delayed spending review, Business Rates Review and Formula Review taking place for 2021/22. The strategic financial planning will therefore be far from the 2021/22 financial year. The 2020/21 budget and council tax will beset February 2020.	Mar 2020	In Progress
2	Review of Authority Effectiveness	Governance report FRA March 2019	FRA Members decided in 2018/19 that the annual process was not required in this year and that the exercise would be completed again in 2019/20 with new FRA members, who will be in place from June 2019	New FRA members have been appointed and review of effectiveness will be discussed and the exercise completed at the next Audit and Standards Committee. This was subsequently postponed due to the pilot of running with additional FRA meetings and ceasing the Policy and Challenge Group meetings. At the FRA Development Day in October 2019, it was decided to continue with the current pilot. The review of effectiveness will therefore take place prior to the year end, to enable a more informed discussion and review to take place.	Mar 2020	In Progress