

Appendix A

Recommendation Code & Title	Overall Progress	Due Date	Last Updated	Latest Note
Grant Thornton Audit Findings 2016/17 – March 2018				
AR-AC_072 Develop a disaster recovery plan and perform a test of this plan at the earliest possible convenience.	30%	30-Sep-2018	18-Mar-2020	DR Plans are part of new ICT Strategy and will be part of the new ICT Programme Action Plan
HR Recruitment and Retention 2019/20				
AR-C&CR_076 The Recruitment and Selection Handbook should be reviewed, amended, updated and incorporate all changes in legislation.	40%	31-Jan-2020	10-Mar-2020	A policy group has been established to review all HR policies - this will be addressed as a priority in the review.
Information Governance 2018/19				
AR-C_138 The Records Retention and Disposal policy should be reviewed and updated prior to approval. Review the Document Retention Schedule prior to being made available to all staff responsible for document retention / disposal.	25%	31-Dec-2019	09-Mar-2020	Draft document is with the DPO to be reviewed, updated and disseminate to managers for checking the periods of retention against any external body/legal requirements.
AR-C_139 Records Management procedure should be put in place covering the complete lifecycle of records, including Allocation of responsibilities; Retention and updating records held in archive; and Guidance for staff and be subject to regular reviewed.	25%	31-Dec-2019	09-Mar-2020	Draft document is with the DPO to be reviewed, updated and disseminated to managers for checking the periods of retention against any external body/legal requirements.
AR-C_143 The draft Records Management Procedure should be reviewed and updated if necessary prior to being authorised and published. Following approval and authorisation it should be subject	25%	31-Dec-2019	09-Mar-2020	Draft document is with the DPO to be reviewed, updated and disseminate to managers for checking the periods of retention against any external body/legal requirements.

Appendix A

Recommendation Code & Title	Overall Progress	Due Date	Last Updated	Latest Note
Grant Thornton Audit Findings 2016/17 – March 2018				
to regular review by the Data Protection Officer.				
AR-C_144 The draft retention schedule should be reviewed and updated prior to being approved and issued.	25%	31-Dec-2019	09-Mar-2020	Draft document is with the DPO to be reviewed, updated and disseminate to managers for checking the periods of retention against any external body/legal requirements.
AR-C_147 A register is created listing all systems and authorised users together with access/permission levels that have been granted.	0%	31-Mar-2020	31-Mar-2020	[18-MAR] ICT Have a Key Applications Register of all Council Systems, however ICT do not control or administer access to many of these systems, in most cases the business users maintain their own access controls. Therefore, this is not an action ICT can fulfil and was not discussed with ICT Manager prior to action being raised. No further activity planned by ICT.
AR-C_149 A mandatory monitored training programme is produced for key employees responsible for processing subject access and third party requests for personal data, to ensure that employees are kept updated with any changes in legislation.	0%	31-Dec-2019	31-Dec-2019	Document to be drafted by DPO and approved/checked following CBC processes.
Main Accounting System 2018/19				
AR-F&MIS_368 The Total Finance cost centre and detail code structure should be subject to periodic review.	0%	31-Mar-2020	31-Mar-2020	Historical cost centres that are no longer used are not available to be used but they are not deleted to ensure the

Appendix A

Recommendation Code & Title	Overall Progress	Due Date	Last Updated	Latest Note
Grant Thornton Audit Findings 2016/17 – March 2018				
				history remains available for FOIs etc. The coding structure has been reviewed for year-end technical purposes. The next full review will be completed in advance of the next financial year.
AR-F&MIS_375 Clarification is required within the Finance department on the processing of virements in line with the current Financial Regulations and the virements section of the Financial Regulations should be reviewed to clarify the necessary working practices.	0%	31-Mar-2020	31-Mar-2020	All transfers tested were not virements as set out in the financial regulations and relate to general budget management and housekeeping however, greater clarity needs to be provided to both finance staff and in the Financial Regulations. Finance staff have since been trained and the Financial regulations will be updated at the next opportunity.
Petty Cash Audit 2019/20				
AR-F&MIS_376 Petty Cash Administration Procedures to be reviewed and updated, ensure they fully reflect current requirements and Financial Regulations; once updated, appropriately communicated, made readily available and adequate training for float holders.	30%	31-Jan-2020	31-Jan-2020	Draft updated procedures produced. Waiting for confirmation these are appropriate
AR-F&MIS_385 Management should regularly review the petty cash accounts in operation to	0%	31-Jan-2020	31-Jan-2020	Review of the need for each float to be undertaken to determine appropriateness.

Appendix A

Recommendation Code & Title	Overall Progress	Due Date	Last Updated	Latest Note
Grant Thornton Audit Findings 2016/17 – March 2018				
ensure their appropriateness and consider closing those not frequently used.				