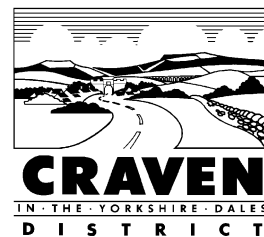


## Audit & Governance Committee – 11 January 2016

### Internal Audit – Implementation of Priority One Recommendations



#### Report of the Corporate Head, Financial Management

Ward(s) affected: All

- 1 **Purpose of Report** – To update committee members on priority one internal audit recommendations outstanding.
- 2 **Recommendations** – Members are recommended to:
  - 2.1 Note the contents of *Appendix A – Outstanding Priority One Internal Audit Recommendations* and consider inviting responsible officers to the next meeting where appropriate.
- 3 **Implications**
  - 3.1 **Financial and Value for Money (vfm) Implications** – as highlighted for individual recommendations in Internal Audit Reports
  - 3.2 **Legal Implications** - none
  - 3.3 **Contribution to Council Priorities** – not applicable
  - 3.4 **Risk Management** – as highlighted for individual recommendations in Internal Audit Reports
  - 3.5 **Equality Analysis** – not applicable
- 4 **Consultations with Others**

Senior Managers/Action Owners
- 5 **Access to Information: Background Documents**

None
- 6 **Author of the Report**

Rebecca Steel, Performance Management Officer  
Telephone: 01756 706215  
e-mail: [rsteel@cravendc.gov.uk](mailto:rsteel@cravendc.gov.uk)

Note: Members are invited to contact the author in advance of the meeting with any detailed queries or questions.
- 7 **Appendix** –

Appendix A – Outstanding Priority One Internal Audit Recommendations

PAGE INTENTIONALLY BLANK

## Appendix A – Outstanding Priority One Internal Audit Recommendations

Priority 1 Recommendations relate to significant gaps in the Internal Control Framework

Source Report	Recommendation Name	Original Target Date	Service Area	Status		Latest Update	Updated/re viewed by	Date
C2 07 - Data Handling - Priority 1 C5 08 - ICT Review of Outstanding Actions - Priority 1	IA 15/16 059 A strategy should be compiled as to the most appropriate way in which to carry out a Council wide review of all data sharing, and arrangements put in place to promptly address this to ensure compliance with the guidelines	C2 07 - Aug 2012 C5 08 - Mar 2015 A&G Nov 15 - Dec 2015	Information Services	Amber		This is included within the scope of the Information Management and Governance Strategy currently undergoing internal review. When completed and approved, the final version will be shared with the Committee. The Council have also recently signed up to the North Yorkshire Data Sharing protocol, which will ensure greater control over data sharing with County partners.	DRN	23/12/15
C4 08 - Data Protection 2013/14 - Priority 1 C5 08 - ICT Review of Outstanding Actions - Priority 1	IA 15/16 152 The electronic records and the EDRMS phases of the Information Management Project should be progressed	C4 08 - Aug 2014 C5 08 - Dec 2014 A&G Nov 15 - Dec 2015	Information Services	Amber		This is included within the scope of the Information Management and Governance Strategy currently undergoing internal review. When completed and approved, the final version will be shared with the Committee. The Council have also recently signed up to the North Yorkshire Data Sharing protocol, which will ensure greater control over data sharing with County partners.	DRN	23/12/15
C4 08 - Data Protection 2013/14 - Priority 1 C5 08 - ICT Review of Outstanding Actions - Priority 1	IA 15/16 153 A Records Management Policy covering all formats, which is clearly owned at an appropriate level, should be produced, approved, appropriately communicated Council wide and training provided. Compliance with the Policy should be monitored	C4 08 - Aug 2014 C5 08 - Mar 2015 A&G Nov 15 - Nov 2015	Information Services	Amber		The Records Management Policy has been submitted for approval to the Corporate Leadership Team (anticipated clearance in January), and when this has been approved the final version will be published and shared with the Committee.	DRN	23/12/15

## AGENDA ITEM 5b

Source Report	Recommendation Name	Original Target Date	Service Area	Status		Latest Update	Updated/re viewed by	Date
C4 08 - Data Protection 2013/14 - Priority 1 C5 08 - ICT Review of Outstanding Actions - Priority 1	IA 15/16 157 A clearly owned information asset inventory should be developed and maintained. Once developed, identified information asset owners should ensure that risks and opportunities are monitored	C4 08 - Aug 2014 C5 08 - Apr/Sep 2015 A&G Nov 15 - Dec 2015	Information Services	Amber		The information asset inventory and appointment of information asset owners is still being compiled, and is now not expected to be completed until the end of the financial year.	DRN	23/12/15
C6 02 - Transparency - Priority 1	IA 15/16 217 An Information Management Strategy should be in place to establish how information is managed, published, stored / disposed and used. As part of this a standard data publishing process with nominated officer/s responsible for publishing data should be included.	C6 02 - Dec 2015	Information Services	Amber		The Information Management and Governance Strategy and related Implementation Plan have been prepared and are currently undergoing internal review. When completed and approved, the final version will be shared with the Committee.	DRN	23/12/15