

SIC No.	Issue	Action as recorded in Statement 2005/06	Current Position
1.	<p><b><u>Business Continuity Management</u></b></p> <p>Under the Civil Contingencies Act Local Authorities have a statutory duty to have plans in place to ensure they can continue to deliver critical services. All Council Services must have up to date documented Business Continuity Plans, which have been adequately tested and are accessible to staff pre-designated as 'Key' for the purposes of ensuring continuity of service provision.</p>	<p>a) A responsible officer or service will be identified to provide a lead on business continuity.</p> <p>b) This officer/service must then review the robustness of Service Continuity Plans and work with Heads of Service to ensure plans are documented, accessible, and tested.</p> <p>c) They will report to the Support Services Director and Members on the state of Business Continuity.</p>	<p>Business Continuity Planning remains a 'Significant' Issue and is therefore recorded in the Statement on Internal Control 2006/07.</p>
2.	<p><b><u>Capital Funding &amp; Major Projects</u></b></p> <p>The Council is exposed to significant risks in relation to the management of the Capital Programme. On 21<sup>st</sup> February 2006 the Council approved a capital payments budget for 2006/7, noted the indicative budgets for future years, and noted the continuing work on the Capital Programme Review which was approved at the Council meeting on 17<sup>th</sup> November 2005.</p> <p>The Bath Spa Project has continued to attract significant public interest during 2005/6.</p>	<p>a) The risk contingency position will continue to be monitored through the Budget &amp; Financial Plan process by the Executive and full Council.</p> <p>b) The current review of the Capital Programme planned for completion early in 2006/7 will report to the Executive and Full Council and implementation of any approved recommendations will be monitored.</p> <p>Comment: Following the decision by the Council to take back control of the Project and appoint new Project Managers progress has been positive and the building is on track for completion in the early summer of 2006.</p>	<p>Reporting on the Capital Programme and Major Projects has improved however it has been acknowledged that the Capital Programme structures &amp; control mechanisms need to be further developed ('significant' issue Statement on Internal Control 2006/07).</p>
3.	<p><b><u>Payroll</u></b></p> <p>An Internal Audit review has reported a number of critical risk exposure issues in relation to the administration and management of Payroll:</p> <ul style="list-style-type: none"> <li>• Payroll Procedures Manual</li> <li>• Authorising Signatories</li> <li>• Exception and Management Reporting.</li> <li>• System Administration.</li> </ul>	<p>a) Procedural notes will be compiled to clearly record roles, responsibilities, expectations and timeframes. This will include areas such as authorisations, reporting (management &amp; exception) and system administration. These will be issued to Service Management, People Services and Human Resources.</p> <p>b) The current list of authorised signatories will be reviewed and a process adopted to update and maintain the list.</p> <p>c) A review of the current exception and management reporting will be completed.</p> <p>d) The system administration roles and responsibilities will be clarified and System user access will be reviewed.</p>	<p>With the assistance of Audit, Risk and Information Service good progress has been made to improve the Payroll system of internal controls.</p>

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4.	<p><b><u>Safer Recruitment</u></b>            The Children Act 2004 established a statutory duty on Local Authorities and other key partners to safeguard and promote the welfare of all children. Protection of children was the subject of much publicity in early 2006 which resulted in the Secretary of State for Education reissuing guidance which confirmed the mandatory requirement for schools and other employers in the education service to obtain a CRB check for new employees.            Improvements are still necessary corporately in respect of recruitment practice to safeguard children and vulnerable adults -</p> <ul style="list-style-type: none"> <li>• Recording, monitoring and communicating when CRB and List 99 checks are requested / obtained.</li> <li>• Recording, monitoring and communicating when up to date personal references from a reliable source are obtained.</li> </ul>	<ol style="list-style-type: none"> <li>1) Human Resources need to develop a Corporate Policy for 'Protecting Children &amp; Vulnerable Adults'. This should be prioritised.</li> <li>2) The system, administered by People Services to request, and communicate the results of CRB disclosures need additional controls to be put in place to ensure all applicable new starters are vetted within a reasonable timescale.</li> <li>3) Schools should be asked to confirm that they hold for each member of staff employed since the establishment of the CRB (under Part V of the Police Act 1997) in March 2002 confirmation of a satisfactory disclosure being obtained.</li> <li>4) The Council will obtain assurance that self governing bodies such as schools comply with Council Policies in relation to the protection of children and vulnerable adults.</li> </ol>	<p>Subsequent to both the Council's inclusion of this 'issue' as a 2005/06 Statement item and the publication of the OFSTED report - "Safeguarding Children: An evaluation of procedures for checking staff appointed to Schools", the DfES issued letters to Local Authorities and schools requiring a national exercise to be carried out to improve record keeping. The national exercise has assisted in the implementation of the Statement actions including a full review of the Council's Safer Recruitment guidelines.</p>
5.	<p><b><u>Information Management</u></b></p> <p>An Information Strategy is required to ensure that the organisation has clear objectives on how it wishes to handle its information needs in conducting its business.</p>	<p>An Information Management Strategy should be put in place within the year along with corporate standards for how information is to be handled, stored, protected and used.</p>	<p>An Information Strategy has been drafted. This will be refined to ensure it meets the future needs of the Councils working methods, i.e. WorkSMART.</p>
6.	<p><b><u>Partnerships</u></b></p> <p>Partnership working is a highly beneficial way of achieving objectives but they can also be highly complex and bring a higher exposure to risk for the Council. Improvements are therefore required to our governance and support arrangements to reflect this.</p>	<p>Governance Arrangements should be reviewed and improved through the development of the new Local Area Agreements and the key principles used as a model for all types of partnership. This will include improvements to Performance, Financial and Risk Management arrangements.</p>	<p>Audit &amp; Risk Management review completed.            Findings agreed with Head of Policy &amp; Partnerships.            A Governance Framework still needs to be developed and this is a 'significant' issue in the 2006/07 Statement.</p>