Audit Reference	Audit Area	Main Contact	Recommendations	Priority	Status Description	Original Date Due for Completion	Revised Date Due for Completion	Notes for Changing Date	Latest Note
BRK1604	Planning	Operations and Contract Manager (Planning Services) and Breckland Place Manager	A new suite of performance reports be provided by Capita on conclusion of discussions with the software provider Ocella to ensure Discharge of Planning Conditions is adequately monitored.	Medium	Outstanding (With Agreed Extension)	31-Dec-15	01-Jun-17	Capita has now provided the Council with a new suite of Performance indicators and these have been agreed and are being reported on. Whilst we have been pursuing quotes from Ocella for the cost of such provision this matter is being held in abeyance due to a complete review of the Council's IT.	Riana Rudland 06-Feb-2017 Cannot complete this action at present without knowing what the future is for Ocella - i.e. further investment or change of system.
BRK1604	Planning	Operations and Contract Manager (Planning Services) and Breckland Place Manager	Detailed written procedure be put in place by Capita stating how the Deemed Discharge of Planning Conditions will be monitored to ensure the Council is protected from financial and reputational risks of any breaches.	Medium	Outstanding (With Agreed Extension)	31-Dec-15	01-Mar-17	To date the Council has received no notification from applicants that they intend to rely on deemed consent if no decision is issued, Once again Capita do not have the ability to provide the Council with reports to demonstrate progress with Discharges of Condition. The software provider has been asked to provide a cost for the works to allow appropriate reports to be run. The Council is also working with South Holland in order to assess whether its Ocella specialist could provide the reports in a more cost effective way than the Ocella company itself. Generally the matter of Ocella reports is being put on hold until the outcome of the Council's IT systems has been decided. Capita are to provide a written procedure by 31st December 2016 indicating how it would deal with Deemed Discharges of Conditions.	Riana Rudland 06-Feb-2017 Proportion of backlog has been reduced. Update due from Capita in March as to volume left requiring action.
BRK1604	Planning	Operations and Contract Manager (Planning Services) and Breckland Place Manager	Land charge register be locked in a secure location where access is restricted to only officers responsible for updating the register and carrying out a search for land charges.	Medium	Outstanding (With Agreed Extension)	31-Dec-15	01-Apr-17	Unfortunately this has not yet been resolved as we were awaiting the outcome of discussions with the Land Registry. Given the delays expected in the transfer of information to the Land Registry the Council has agreed to purchase fire proof storage cabinets but this is on hold awaiting an estimate of the cost of scanning the Land Charges files. Due to the change in the Management of the Facilities team this was not provided so the new Manager is looking into the matter with a view to procuring appropriate cabinet space.	Riana Rudland 06-Feb-2017 Request to flag this as a risk rather than an audit action during the transition period of digitalisation.
BRK1607	Building Control	Breckland Place Manager	The Council reviews the fee payment mechanism for building control charges, to encompass the requirements of the Building Regulation Fee Charges Regulations 2010 and payment arrangements with Capita for the provision of this service. If the fees are not amended, a risk should be recorded in the Council's risk registers stating that the Council (and Capita) is not operating in accordance with the Regulations.	High	Outstanding (With Agreed Extension)	30-Apr-16	01-Apr-17	We are experiencing difficulty in respect of setting an appropriate hourly rate given the amount of chargeable fees and the fixed contract price. Meeting with Riana Rudland and Mandy Chenery to discuss this and agree new rate. The intention is to introduce the new fee rate in the next round of budget setting for commencement in April 2017	Riana Rudland 06-Feb-2017 Fee mechanism calculation agreed with Capita. Further review underway to understand loss of income against budget as a result of AI operating in BDC.
BRK1616	Starters, Movers and Leavers	HR Business Partner/ IT Manager	A process to be implemented whereby all job roles within the Council are mapped to the ICT, and other, requirements of the role.	Medium	Outstanding (With Agreed Extension)	31-Mar-16	31-Dec-17	18/10/16 - This is being worked on and as part of new staff structure and linking to job descriptions.	G Kinton 14-Feb-17 Processes are being designed to achieve this with links between HR and IT to create automated process - 31 December 2017 as part of infrastructure refresh
BRK1618	Network Security and Infrastructure	IT Manager	Recommendation 2 - Breckland IT management to design and implement an appropriate IT training programme, having formally identified where the training time should be positioned via the internal appraisal process.	Medium	Outstanding (With Agreed Extension)	29-Apr-16	31-Jul-17	18/10/16 - A programme of training will be rolled out. Netconsent will in the future cover policies with Q&A after	G Kinton 14-Feb-17 As part of the infrastructure update a training plan will be designed and rolled out, plan to be defined by 31 July 2017
BRK1618	Network Security and Infrastructure	IT Manager	Recommendation 3 - The username known as "DomainAdmin" to be disabled and replaced with equivalent named user accounts, if possible. Passwords for these accounts to be compliant with the existing Domain Accounts Policy. It is recognised that the account is required for the effective operation of the network. Hence, disabling it should be tested to understand the consequences of doing so before being disabled	Low	Outstanding (With Agreed Extension)	29-Apr-16	30-Nov-17	18/10/16 - this will happen with the move to the new infrastructure	G Kinton 14-Feb-17 This will happen with the move to the new infrastructure and is not a priority before hand. Revised date 30 November 2017
BRK1619	Business Continuity Planning and Disaster Recovery	IT Manager	Recommendation 2 - Copies of all relevant DR plan documentation (including updated documentation as this becomes relevant) to be communicated to all relevant staff, with hard copies kept at both Elizabeth House in Dereham and Breckland House in Thetford. Consideration could be given to incorporating the DR plan documentation into the Corporate Business Continuity Plan or using similar storage and communication mechanisms.	Medium	Outstanding (With Agreed Extension)	29-Jul-16	31-Dec-17	18/10/16 - This is being done as part of the development of new disaster recovery processes.	G Kinton 14-Feb-17 DR is much improved, there is now 4 hourly replications to Thetford and overnight back ups in place - therefore if a disaster occurs the ability is there to recover. The documentation of this process will be undertaken as part of the IT infrastructure work and will be carried out alongside this, therefore revised deadline date of 31 December 2017
BRK1619	Business Continuity Planning and Disaster Recovery	IT Manager	Recommendation 1 - IT Management to complete the upgrade of the DR infrastructure and ensure that formal documentation of DR plans are drafted and agreed thereafter.	Medium	Outstanding (With Agreed Extension)	29-Jul-16	31-Dec-17	18/10/16- Being done as part of development of new disaster recovery processes.	G Kinton 14-Feb-17 DR is much improved, there is now 4 hourly replications to Thetford and overnight back ups in place - therefore if a disaster occurs the ability is there to recover. The documentation of this process will be undertaken as part of the IT infrastructure work and will be carried out alongside this, therefore revised deadline date of 31 December 2017
BRK1619	Business Continuity Planning and Disaster Recovery	IT Manager	Recommendation 5 - IT Management to document, agree and implement an appropriate DR test plans and relevant supporting management process. Such processes to include: The creation and communication of test reports for each test; Documenting appropriate remedial action plans that seek to address potential weaknesses identified as a result of the tests; Updating the DR plan as appropriate to implement any remedial actions identified.	Medium	Outstanding (With Agreed Extension)	29-Apr-16	31-Dec-17	18/10/16 - Being done as part of development of new disaster recovery processes	G Kinton 14-Feb-17 DR is much improved, there is now 4 hourly replications to Thetford and overnight back ups in place - therefore if a disaster occurs the ability is there to recover. The documentation of this process will be undertaken as part of the IT infrastructure work and will be carried out alongside this, therefore revised deadline date of 31 December 2017
BRK1619	Business Continuity Planning and Disaster Recovery	IT Manager	Recommendation 6 - IT Management to ensure that all DR-related documentation such as the DR plan, test schedules, test reports and remedial action plans be shared with Business Continuity colleagues as appropriate.	Medium	Outstanding (With Agreed Extension)	30-Jun-16	31-Dec-17	18/10/16 - Being developed as part of new disaster recovery processes.	G Kinton 14-Feb-17 DR is much improved, there is now 4 hourly replications to Thetford and overnight back ups in place - therefore if a disaster occurs the ability is there to recover. The documentation of this process will be undertaken as part of the IT infrastructure work and will be carried out alongside this, therefore revised deadline date of 31 December 2017
BRK1619	Business Continuity Planning and Disaster Recovery	IT Manager	Recommendation 3 - IT Management to work with Business Continuity Management to design and implement appropriate IT service Business Continuity Plans that adequate demonstrate how the DR service will be delivered. The plans to include reference to formal out of hours support arrangements.	Medium	Outstanding (With Agreed Extension)	29-Apr-16	31-Dec-17	18/10/16 - Development of new disaster recovery solution will link with Business Continuity plan	G Kinton 14-Feb-17 DR is much improved, there is now 4 hourly replications to Thetford and overnight back ups in place - therefore if a disaster occurs the ability is there to recover. The documentation of this process will be undertaken as part of the IT infrastructure work and will be carried out alongside this, therefore revised deadline date of 31 December 2017