## Three Rivers District Council

## Internal Audit Recommendations Log for 22 November 2016 Audit Committee

## Appendix 3

## Outstanding Recommendations from the 2009/10 Audit Plan

| **Network Infrastructure 2009/10**  **Final report issued October 2010** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 33/10/02 | Physical Security – Unauthorised Device Access  Urgent consideration should be given to:   * Effectively restricting network access to authorised devices, e.g. MS (NAP) and Cisco's (NAC). | Essential | Position (July 2016)  External network access is restricted to devices via use of remote desktop application (Appgate), using two factor authentication. Cisco VPN solution is about to be deployed again using two factor authentication. As part of ongoing security and PSN upgrades a review of Cisco NAC will be carried out in 2016. It is expected that this will be completed by the end of October 2016.  Position (September 2016)  The VPN solution has been deployed to the services which require it and a further roll out to all staff is planned. This is to be completed by October 2016.  **Position (November 2016)**  **No update received.** | Head of ICT***/*** ICT Client Manager | December 2011 | 🗶 | 31 October 2016 |
| 33/10/09 | Account Management – Standardised Profiles.  Management should consider implementing standardised account management profiles to be consistently applied for home directories, logon scripts, logon profiles and workstation restriction on user accounts across the domain. | Important | Position (July 2016)  The Active Directory servers have been designed and built and migration of users is anticipated to be complete by October 2016. This will complete this outstanding recommendation.  Position (September 2016)  This is still anticipated to be completed by the end of October 2016.  **Position (November 2016)**  **No update received.** | Head of ICT ***/*** ICT Client Manager | March 2011 | 🗶 | 31 October 2016 |

**Appendix 4**

**Outstanding Recommendations from the 2010/11 Audit Plan**

| **IT Remote Working 2010/11**  **Final report issued January 2012** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 09 | Management should ensure that security settings on mobile device handsets such as iPhones enforce the following settings:   * Devices should be required to be protected by a power on password or PIN. Any default passwords or PIN codes need to be changed on first use, these should not be removed unless authorised in writing by ICT; * Devices should be set to ‘Non-discoverable’ or ‘Hidden’ to help prevent information disclosure by short distance data transfer; * Users should be restricted from reconfiguring the security settings on devices.   The remote wipe solution should be investigated to ensure all the data stored on the mobile phone can be wiped either remotely or by exceeding the login threshold. Management should ensure that only ICT approved mobile devices should are procured and issued and all confidential and sensitive data held on mobile device handsets such as iPhones is adequately encrypted according to the sensitivity of the data. | Important | Position (July 2016)  Provision of an Enterprise Mobility Management solution to address all of these points was included in the procurement of the new Service Desk solution.  Subsequent to the onboarding of the new Service Desk, (EMM) requirements will be documented and procured from the Service Desk provider and all current Windows or iphones supplied by the authority will come under this solution.  The aim is to have this in place by December 2016.  Position (September 2016)  It is still anticipated that this will be in place by December 2016.  **Position (November 2016)**  **No update received.** | ICT Client Manager | March 2013 | 🗶 | 31 December 2016 |

**Appendix 5**

**Outstanding Recommendations from the 2011/12 Audit Plan**

| **IT Project Management 2011/12**  **Final report issued November 2011** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 02 | An IT Strategy that supports both Councils’ corporate strategies needs to be implemented to direct the forward usage of ICT within both Councils and the Shared Service. An IT strategy should be developed in consultation with the business strategies for both Councils and the Shared Service to ensure that IT development links into corporate priorities. | Minor | Position (July 2016)  A new ICT Strategy is to be produced which will cover both Councils. This is expected to be completed by the end of October 2016. An additional resource will procured from the ICT Transformation budget.  Position (September 2016)  An Interim Head of Service Transformation has been appointed and it is anticipated that the strategies will be completed by the end of October 2016.  **Position (November 2016)**  **No update received.** | Head of ICT / ICT Client Manager | October 2012 | 🗶 | 31 October 2016 |

| **IT Back up and Disaster Recovery 2011/12**  **Final report issued December 2012** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 02 | The Shared Service should conduct a risk assessment of the capability to recover key systems and services in the event of a disaster based on the Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) for Councils’ systems. This should ensure that any potential issues that could be faced are documented with appropriate counter measures put in place. | High | Position (July 2016)  A full DR and BCP requirements review will be carried out as a precursor to re-tendering both the DR and BCP contracts covering both councils. Contract retender and award must be completed by November 2016. It is anticipated that the DR and BCP requirement will be completed by the end of October 2016.  Position (September 2016)  It is still anticipated that this will be completed by the end of October 2016.  **Position (November 2016)**  **No update received.** | ICT Client Manager | May 2013 | 🗶 | 31 October 2016 |
| 04 | The Shared Service should test its DR arrangements on an annual basis at both Adam Continuity and ICM.. Testing should follow a detailed test plan and test results should be reported to management following the test period. We also recommend that where appropriate, ad hoc tests of tape restores are performed when not otherwise tested. | High | Position (July 2016)  As part of the contract retender for DR / BCP the requirement for period testing will be included.  As part of moving ICT desktop and server support in house a schedule of trial restores from tape will be put in place to confirm that backups are tested.  This to happen by October 2016.  Position (September 2016)  It is still anticipated that this will be completed by the end of October 2016.  **Position (November 2016)**  **No update received.** | ICT Client Manager | March 2013 | 🗶 | 31 October 2016 |

**Appendix 6**

**Outstanding Recommendations from the 2012/13 Audit Plan**

| **Server Virtualisation (ICT) 2012/13**  **Final report issued December 2012** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | The adequacy of the security settings and management arrangements established and applied to the virtual environment at both the Councils should be reviewed and where the standards currently are not aligned with best practice standard such as recommended by CIS (Centre for Internet Security), then they should be applied/configured to create a baseline for on-going security and monitored accordingly. | High | Position (July 2016)  The entire virtual environment in both councils is in the process of being upgraded to the current software versions, this will address a number of security issues, additionally where sensitive data, such as DWP information, is to be held, or accessed the virtual environment is being moved into a ‘virtual garden’ to restrict and secure access. This is in line with PSN and Cabinet office recommendations for securing the virtual environment. This is anticipated to be completed by December 2016.  Position (September 2016)  It is still anticipated that this will be completed by December 2016.  **Position (November 2016)**  **No update received.** | ICT Client Manager | November 2013 | 🗶 | 31 December 2016 |

**Appendix 7**

**Outstanding Recommendations from the 2013/14 Audit Plan**

| **Cyber Risk 2013/14**  **Final report issued June 2014** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 03 | Management should ensure the data loss prevention policy is developed and published at the earliest. As part of this process, management should:   1. Consider all possible media for data loss and risk assess the various options. | High | Position (July 2016)  A Data Loss prevention policy is to be produced which will cover both Councils. This is expected to be completed by the end of October 2016.  Position (September 2016)  This is still expected to be completed by the end of October 2016.  **Position (November 2016)**  **No update received.** | Emma Tiernan – ICT Section Head | 30 June 2015 | 🗶 | 31 October 2016 |

**Appendix 8**

**Outstanding Recommendations from the 2014/15 Audit Plan**

| **Tree Surveying 2014/15**  **Final report issued January 2015** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 02 | The Council’s tree stock should be surveyed and details recorded on the Eezytreev system to provide a baseline from which the Council can take forward tree surveying activities. | Medium | Agreed.  \*1/3 tree stock to be surveyed each year. This may be supplemented with external support for the initial baseline survey (subject to funds being made available).  Position (February 2015)  Officers have started survey work using Eezytreev and are still exploring the use of external support to help to achieve the initial baseline survey (support needs to be instructed by end of March 2015 in order to ensure financial commitment).  Position (May 2015)  Not yet due  Position (August 2015)  On track for surveying at least one third tree stock by March 2016.  Position (November 2015)  As above.  Position (February 2016)  As above  Position (June 2016)  As above – not yet due.  Position (July 2016)  We have continued to survey tree stock and since November 2015 have increased the number of survey records. The number of individual trees surveyed has increased from 2,037 to 2,474 and the number of groups of trees from 1,090 to 1,213 at the end of May 2016.  The raw data is not easily translated, but it is intended that tree survey data is reported to Members on an on-going basis via the Members’ Information Bulletin every September and April and as part of this it is anticipated that we will be able to develop a clear idea over time as to the proportion of parks and open spaces which are covered by our survey work.  Further to the report in September 2015 all of the requirements of the SIAS Internal Audit have been complied with to date, and as such we can evidence that we are in the process of developing robust and effective arrangements for our tree surveying activities.  Position (September 2016)  As above (detail of tree numbers etc… to be provided to Members via Members Information Bulletin September).  **Position (November 2016)**  **Unfortunately due to staff absence it was not possible to provide information via MIB as expected. It is anticipated that this will be reported in the next Members Information Bulletin later this month (November 2016).** | Landscape Officer (North) and Landscape Officer (South) | End March 2018\* | 🗶 |  |

| **NDR 2014/15**  **Final report issued January 2015** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 03 | The available hardware should be introduced within the inspection regime, with appropriate training given where necessary | Merits Attention | To clarify, the Service has bought the Inspectors module (2010 I believe) but yet to purchase the required tablets to support implementation due to lack of IT support.  Whilst the current Revenues Manager has implemented such a module at a previous authority this was implemented with the help of internal IT resources and CSS.  Position (February 2015)  Yet to start awaiting Tablet / Module – Meeting arranged with Capita on 240315 re implementation.  Position (May 2015)  Not yet due  Position (August 2015)  The migration to Server 2008 should have occurred on 25 July but did not happen as testing showed that the server and systems had not been properly configured by Capita. The next available date for the migration is the 22 August.  This module cannot be implemented until we are on the new server and on the right version of Academy.  Position (September 2015)  Migration has still not taken place.  Position (November 2015)  Due to ongoing IT upgrades this has slipped further down list given major configuration within Academy and yet to decide on either tablet / iPad.  Position (February 2016)  Still to be implemented – ongoing.  Position (June 2016)  Still to be implemented – ongoing.  Position (July 2016)  Discussions are taking place with the software provider to understand whether the Council’s preferred mobile working solution will work with the module. Once the information has been confirmed an ICT solution will be implemented.  Position (September 2016)  Discussions are still ongoing due to ICT changes and at the moment not a priority. However, potential new Revs & Bens ICT contract to be signed early Sept 2016, which at this stage will pick this up once again.  **Position (November 2016)**  **Still to be implemented as not high on the agenda at the moment with a new ICT helpdesk process being bedded in.** | Revenues Manager | 31 July 2015 | 🗶 | 30 September 2015  30 November 2015  31 March 2016  31 March 2017 |

| **Asset Management 2014/15**  **Final report issued February 2015** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | The condition of all Council owned properties should be reviewed periodically and a planned maintenance programme put in place to deal with issues identified. | Medium | Surveys have been completed on the Council’s major assets including Three Rivers House and the leisure venues. In addition condition surveys have been undertaken on the garage stock.  Condition surveys on the remainder of the Council’s assets are outstanding. A programme will be put in place with appropriate actions and whole life costing where applicable.  Position (February 2015)  Not yet due  Position (May 2015)  Not yet due  Position (August 2015)  Not anticipated to start until the end of the year at the earliest due to staff resources. Other day to day requirements currently taking priority.  Position (November 2015)  New surveyor will be undertaking this once in post from Nov 9th.  Position (February 2016)  The list of properties relating to the planned maintenance programme is slightly more extensive than anticipated. For this reason and due to the backlog of work and the shortage of staff available to carry out the work in a timely fashion, a 6 month extension is requested to carry out the necessary works.  Position (June 2016)  Not yet due.  Position (July 2016)  March Audit Committee did not agree the extended deadline date for this recommendation and have asked officers for a written report on the current status of planned actions. This is being presented to Audit Committee on 26 July 2016.  Position (September 2016)  That the Committee agree to the extension to 30 September 2016 for Ref No.01 as a plan has been put in place, is fully operational and on course to complete on time. This will be completed on time as promised by Lyn  **Position (November 2016)**  **Implemented** | Interim Head of Property Services | 31 March 2016 | **🗸** | 30 Sept 2016 |
| 02 | When the Asset and Property Service have carried out the data quality exercise of the Uniform system, a regular report should be produced from the system to identify lease renewals and rent reviews due. | Merits Attention | A manual check is carried out four times per annum and paper records are kept to show timeline of lease expirations. It is not considered that the current process impacts on lease renewal performance, however the issue has been highlighted as a process that could be made more efficient by creating an automatic report. This should be in place after September 2015.  Position (February 2015)  Not yet due  Position (May 2015)  Upgrade to the new version of Uniform has been delayed until the ICT desk refresh has taken place from June 2015.  Position (August 2015)  Unable to facilitate due to the new version of Uniform being required.  Position (November 2015)  Still unable to facilitate due to the new version of Uniform being required, the IT refresh delay prevents the new version of Uniform being provided.  Position (February 2016)  The required version of Uniform (v9) requires a Windows 7 platform and work by Esre on mapping. This cannot happen until all PCs are upgraded to Windows 7. This is not expected to happen before 30 June 2016 and is subject to IT scheduling.  Position (June 2016)  Not yet due.  Position (July 2016)  March Audit Committee did not agree the extended deadline date for this recommendation and have asked officers for a written report on the current status of planned actions. This is being presented to Audit Committee on 26 July 2016.  Position (September 2016)  That the Committee agree to the extension to 31 December 2016 for Ref No.02 and link to ICT until the Uniform update is applied and in full working order.  **Position (November 2016)**  **This is in IT’s domain and testing originally planned for 17 October has not yet happened. No new timeline known at this stage.** | Interim Head of Property Services | 30 September 2015 | 🗶 | 30 April 2016  30 June 2016 (subject to revised IT deadline)  31 December 2016 |

| **Enforcement 2014/15**  **Final report issued March 2015** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | Licensing and Environmental Services  As part of existing procedure notes, standard templates for letters should also be included to ensure a consistent process is established.  The procedures should be reviewed and updated by the services periodically (e.g. annually), and should be circulated to all key members of staff. | Merits Attention | Licensing  Licensing has recently been subject to several reviews, which identified the lack of documentation. Procedure notes were produced as a result of this and standard letter templates are due to be compiled.  Position (May 2015)  Not yet due  Position (August 2015)  Work is ongoing on standard letter templates.  Position (November 2015)  Work is ongoing on standard letter templates.  Position (February 2016)  Additional procedures and standard templates will be rolled out later this year.  Position (June 2016)  Additional procedures and standard templates will be rolled out later this year.  (since April 2016 we have had no full time Licensing Officer in post).  Position (September 2016)  As procedures are reviewed ie Personal Licences new templates and procedures are prepared.  Continued absence of a full time Licensing Officer (partly as a result of an ongoing Licensing restructure) means there has not been the resource to undertake work on procedures or templates beyond any urgently required.  As Uniform goes live further templates will be generated.  **Position (November 2016)**  **Continued absence of a full time Licensing Officer (partly as a result of an ongoing Licensing restructure) means there has not been the resource to undertake work on procedures or templates beyond any urgently required.  As Uniform goes live further templates will be generated and are being so.** | Team Leader – Projects & Compliance | 31 March 2016 | 🗶 | 30 November 2016 |
| 02 | Licensing  The service should use a case management system as the sole database. This should include initial logging of enforcement cases, caseload management, monitoring and reporting of the status of cases, through to closure.  Monitoring should include senior management oversight of key decisions within individual enforcement cases. | Medium | Licensing  The reviews into the Licensing Service had revealed that M3 is currently under used and that there is limited knowledge of the system. The review has been scoping out whether a new case management system would be better utilised, such as Uniform. The intention would be that this would be the primary database for Licensing.  Position (May 2015)  Not yet due  Position (August 2015)  The Uniform modules for Licensing have been purchased. Work is currently being undertaken to prepare for go-live.  Position (November 2015)  The Uniform modules for Licensing have been purchased. A project plan is now in place to prepare for go-live.  Position (February 2016)  We now have Uniform for licensing and following training/consultancy days in November and more recently in January 2016 are currently working on going live with taxi licensing and Temporary Event notices.  Position (June 2016)  Preparatory work continues with view to go live with taxi licensing and Temporary Event Notices shortly.  (this will be partly dependent on employment of a full time, permanent Licensing Officer).  Position (July 2016)  As above – actions on-track in accordance with revised deadline date.  Position (September 2016)  Uniform manuals for one aspect of the taxi licensing to be completed first week of September with immediate data entry to follow.  These procedures will be tested and reviewed with a rollout of further taxi licensing work and TENS later in the year.  **Position (November 2016)**  **New taxi drivers applications are being recorded on the Uniform system. Officers are working through historic applications back to 1 October 2015 to record these on Uniform too.**  **Work is in progress, with some testing, for taxi vehicles and operators to be on Uniform commencing 1 January 2017.**  **Any Temporary Event Notices for events from 1 January 2017 onwards are also being input onto Uniform with accompanying procedure notes drafted.** | Team Leader – Projects & Compliance | 31 March 2016 | 🗶 | 30 November 2016 |

| **Benefits 2014/15**  **Final report issued April 2015** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 06 | In order to ensure compliance with the Data Protection Act (DPA), the Council should ensure that as a matter of urgency, the historical data stored within Anite is cleared.  Going forward, the Council should ensure that there are arrangements in place to clear old data on an annual basis to ensure ongoing compliance with the DPA. | Medium | Awaiting Anite upgrade.  Position (May 2015)  Not yet due  Position (August 2015)  The Anite upgrade that will allow archiving of old data was scheduled for 1/8. Although Northgate have completed their work, Capita have not linked Anite to Office of Outlook so we cannot go line on 1/8. This has been moved from 8/8 to 12/9. If this is successful, it will take a further 8-10 weeks to restructure the database and then archiving can happen.  Position (November 2015)  Now that the Information@work system has been migrated to a new server and upgraded we are ready to install the retention and destruction module which will archive documents. We are currently in the process of agreeing dates for the module to be installed and training to be given. Review at the end of December 2015.  Position (February 2016)  No update received.  Position (July 2016)  With regard to the Retention and Destruction module for Anite, we are currently in the process of getting installation dates agreed. Due to consultancy availability it’s not likely to be in place and working before 30.09.16.  Position (September 2016)  We are currently waiting for pre-req documents to be completed by IT so that we can book final installation and training dates with Northgate. We expect the documentation to be completed by end of September. There is quite a wait time for Northgate consultancy hence moving the date to 31.12.16.    **Position (November 2016)**  **No update received.** | Benefits Manager | 30 June 2015 | 🗶 | 31 December 2015  30 Sept 2016  31 December 2016 |

| **Disaster Recovery 2014/15**  **Final report issued June 2015** | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | * The Councils should take priority to ensure the kit lists for both the Councils are updated and fit for purpose, this is to be shared with Capita who are responsible for handling the 3rd party contracts for Disaster Recovery. * During the review it was mentioned that the Councils have been shown the Essex Councils comprehensive Disaster Recovery Plan as a template. Although this DRP is not part of this review and we can therefore not pass comment on its adequacy, it can form the basis for W3R. * Ensure procedure documents are kept up to date incorporating current technological environment so that the process steps covers all the detail recovery procedures in the event of disaster. * IT disaster recovery and business continuity plans should be reviewed at least once a year, or if any material changes occur within the IT environment, to ensure its continuing suitability, adequacy, and effectiveness. | High | Recommendation accepted.  Position (August 2015)  See section 2.5.2 of the main SIAS Update Report.  Position (November 2015)  See comment in section 2.5.2 of the main SIAS Update Report.  Position (February 2016)  See comment in section 2.5.2 of the main SIAS Update Report.  Position (July 2016)  All asset lists, including desktops, servers and network equipment have been updated and are managed by the Service Desk Provider. Procedure documents are currently being reviewed and updated. This has to be completed prior to re-procuring the DR contracts, in October 2016.  Position (September 2016)  This has to be completed prior to re-procuring the DR contracts, in October 2016.  **Position (November 2016)**  **No update received.** | Capita Account Director | 31 August 2015 | 🗶 | 31 October 2016 |
| 02 | * Once these kit lists have been reviewed and approved, Capita should liaise with the two contractors responsible for Disaster Recovery to initiate Disaster Recovery Tests on Critical systems and their key dependencies. * A complete DR scenario test on all applications and systems should ideally take place to provide assurance that recovery could happen within an acceptable time frame. * Document and retain test results and evidence for review by information owners. Initiate corrective actions based upon test results. * There should be Councils management oversight of the testing schedule to ensure that all disaster recovery plans are tested for adequacy and that they meet the Councils business needs. * IT Disaster Recover and Business Continuity plans should be reviewed at least once a year or if any material changes occur within the IT environment to ensure its continuing suitability, adequacy, and effectiveness. | High | Recommendation accepted.  Position (August 2015)  See section 2.5.2 of the main SIAS Update Report.  Position (November 2015)  See comment in section 2.5.2 of the main SIAS Update Report.  Position (February 2016)  See comment in section 2.5.2 of the main SIAS Update Report.  Position (July 2016)  The DR testing will take place once the DR procurement has taken place. A requirement to do DR testing will be built into the procurement specification.  Position (September 2016)  This is still anticipated to be completed by the end of December 2016.  **Position (November 2016)**  **No update received.** | Capita Account Director / ICT Section Head | 31 August 2015 | 🗶 | 31 December 2016 |
| 03 | * Talks surrounding the use of a data centre should be progressed. * The problem with keeping the Councils data locally is that, should a disaster occur unexpectedly be it natural or man-made, all or part of the data could be lost – including backups. * An offsite data centre solution should be considered if effective disaster recovery is a requirement at the Councils. | Medium | Recommendation accepted.  Position (August 2015)  See section 2.5.2 of the main SIAS Update Report.  Position (November 2015)  See comment in section 2.5.2 of the main SIAS Update Report.  Position (February 2016)  See comment in section 2.5.2 of the main SIAS Update Report.  Position (July 2016)  The ICT strategy will reference using the Councils data centres as a backup for each other. This should ensure continuity of service in the event of a disaster recovery incident.  Position (September 2016)  This is still anticipated to be completed by end December 2016.  **Position (November 2016)**  **No update received.** | Capita Account Director | 31 August 2015 | 🗶 | 31 December 2016 |

**Appendix 9**

**Outstanding Recommendations from the 2015/16 Audit Plan**

| **Contract Management 2015/16**  **Final report issued January 2016** | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | We recommend that contract risks should be identified and managed. The risks should be recorded either in a separate risk register for significant contracts, or for smaller contracts via a generic contract management risk within service risk registers.  A review of risks should form part of contract monitoring activity. | Medium | The Contract Management Forum steering group is planning to look at the Risk Register process next year. The aim is to simplify it for the smaller contracts and hopefully this can be done by the Spring.  Position (February 2016)  Not yet due  Position (June 2016)  CMF Steering Group has agreed a training session (scheduled for 19 July) on managing contract risk. This will cover managing risk, the risk register, and will agree a risk register template to provide consistency.  Position (July 2016)  As above - training session on contract risk still scheduled for 19 July 2016.  Position (September 2016)  CMF training session on managing contract risk held on 19th July. It covered managing risk and the risk register and discussed a risk register template particularly for smaller projects. A further session is planned towards the end of September 2016. The aim of that session is to set objectives and actions to provide a guidance note, process and recording format to identify and manage risk.  **Position (November 2016)**  **We have made significant progress and thanks to Rona and Mira’s dedication and the commitment of a core of CMF members we now have a draft guidance and risk log ready to put into the test and implementation stage. The update on this work including implementation plans will be discussed at the 3rd November Steering Group at which Rona will provide the draft documentation and details of the timetable – we will be asking Three Rivers colleagues to amend and tailor the documentation to reflect their corporate risk scoring approach which is different from Watford’s. Mira’s involvement with this project has meant that the documentation aligns with the Watford Project Management documentation and is therefore ensuring we are complimenting existing processes in Watford.** | Corporate Procurement Manager | 31 May 2016 | 🗶 | 31 July 2016  30 November2016 |

**Appendix 10**

**Outstanding Recommendations from the 2016/17 Audit Plan**

| **Section 106 Agreements 2016/17**  **Final report issued August 2016** | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | We recommend that a formal reporting mechanism to officers and Members is implemented to ensure that sufficient focus remains on the S106 contributions that remain unspent.  Periodic reporting, for example 6 monthly, should include as a minimum:   1. Number of applications with contributions yet to be received; 2. Amount of contributions received in period; 3. Contributions within 2 years of claw back; and 4. Total amount that is unspent, including a breakdown of those with and without spending plans.   Such reporting should continue until all S106 contributions are received and spent. | Medium | The process appears effective although it is noted that Officers provide a reactive approach to monitoring S106 monies received. Due to the personnel involved this process works effectively but a more proactive approach involving Members would be more satisfactory. As such, this recommendation is agreed and the Senior Land and Property Information Officer will proceed with a proposal. Essentially this is likely to involve a report on the outstanding S106 monies in the Members information Bulletin twice a year. The Senior Land and Property Information Officer will liaise with other Officers involved (Leisure/Landscape and Finance) to discuss format and initial publication of data.  Position (September 2016)  No further update on above as final audit report only issued on 25 August 2016.  **Position (November 2016)**  **The Senior Land and Property Officer has contacted the relevant Leisure and Landscape Officers regarding proposed S106 spends, a response from Finance is awaited. Discussions on track to prepare a report for the MIB early 2017.** | Head of Regulatory Services | 30 April 2017 | 🗶 |  |

| **Corporate Credit Cards 2016/17**  **Final report issued September 2016** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | Users should be reminded of the minimum expectations around the narrative to be placed into the spreadsheet when recording the purpose of the transaction. | Medium | Agreed.  **Position (November 2016)**  **The actions will be picked up in the revised procedures which are under review and due to be issued shortly.** | Senior Finance Officer | 31 October 2016 | **🗶** | **30 November 2016** |
| 02 | For the six credit cards where no authorisation form could be located, the Council should review the credit cards for appropriateness and if deemed appropriate, sufficient authorisation should be documented and retained. | Medium | Agreed.  **Position (November 2016)**  **The actions will be picked up in the revised procedures which are under review and due to be issued shortly.** | Senior Finance Officer | 31 October 2016 | **🗶** | **30 November 2016** |
| 03 | The procedures should be disseminated to all staff with a credit card. | Merits Attention | Agreed.  **Position (November 2016)**  **The actions will be picked up in the revised procedures which are under review and due to be issued shortly.** | Senior Finance Officer | 31 October 2016 | **🗶** | **30 November 2016** |