## Attachment 2

## Three Rivers District Council

## Internal Audit Recommendations Log for 5 December 2017 Audit Committee

(Appendix 3)

**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).  Position (March 2017)  While some survey work has been undertaken since November 2016, most of this work has been annual resurvey work.  The number of trees surveyed currently stands at 2,782 individual trees and 1,335 groups of trees.  It is envisaged that we are on track for surveying all of the TRDC tree stock by end of March 2018, however we will need to ensure that we are regularly monitoring this over the next 12 months.  Position (June 2017)  It is envisaged that we are on track for surveying all of the TRDC tree stock by end of March 2018, however we will need to ensure that we are regularly monitoring this over the next 12 months.  Position (September 2017)  The total numbers of individual trees surveyed has increased to 2832 and the number of Groups (including avenues, woodland compartments, plantations and hedges) to 1371. This means that since the end of November 2016 an additional 70 individual trees and 43 groups of trees have been surveyed together with the resurvey of all of the high risk areas, which has brought the total number of new survey records between 30/11/2106 and 31/08/2017 to 4,207.  It would appear that trees at all of our key sites have now been surveyed. The Principal Landscape Officer is currently reviewing TRDC ownership throughout the District together with our property team and will ensure that any smaller sites which may currently remain un-surveyed are surveyed over the coming months prior to the March 2018 survey deadline.  **Position (November 2017)**  **The Principal Landscape Officer is still in the process of reviewing all smaller sites for which survey work may remain outstanding and will ensure that these sites are picked up between now and the end of March 2018.** | Landscape Officer (North) and Landscape Officer (South) | End March 2018\* | 🗶 |  |

| **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 |
| 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.  Position (March 2017)  Following some ongoing staffing changes and a need to further upgrade the Uniform IT system to allow mapping functions to work properly this matter will not be fully addressed until September 2017.  Position (June 2017)  Delays to the upgrade to Uniform 10 did not happen until 22nd May 2017. Basic testing has been done but resource is required to ensure the database is completely up to date and then to test the reporting. Property Service do have a spreadsheet of lease renewals so are managing the estate; this would just enhance the process and provide better reporting. Property Services is undergoing a restructure so this will be addressed as part of that process. Proposed date was September 2017 but to allow time to build and check the new system, thoroughly test and implement January 2018 would be a more realistic target.  Position (September 2017)  Uniform upgrade still not complete, therefore current target date still applies. Lease renewals continue to be managed via the existing spreadsheet so the enhancement offered by reporting directly from Uniform, whilst useful, is not critical to how leases are managed.  **Position (November 2017)**  **Please see comments above, there has been no change, the uniform application is still unable to produce the information – under review with Idox.** | ~~Interim~~ Head of Property Services | 30 September 2015 | 🗶 | 30 April 2016  30 June 2016 (subject to revised IT deadline)  31 December 2016  30 Sept 2017  31 January 2018 |

| **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 |
| 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.  Position (March 2017)  New Licensing Officer Just in post. Uniform is undergoing maintenance. Addition of Enterprise. It is anticipated that most if not all new / renewal applications to be inputted onto Uniform from 1st April 2017. Applications prior to this to be inputted for Taxi / Private Hire Licences by November 17 and on an adhoc basis for premise licences / club premises certificates.  All Service requests from April 2017 to be inputted onto Uniform.  Position (June 2017)  Enterprise not yet installed.  LO had meeting with CSC who asked for step to step guides. It was anticipated in the last update that the upgrade to V10 was imminent. This was however delayed until June 17.  Licensing Officer received training on new version on 13th June 2017 and is building licensing module.  LO will then create procedures for Team and CSC.  It is anticipated that most if not all new / renewal applications to be inputted onto Uniform from 1st August 2017. Applications prior to this to be inputted for Taxi / Private Hire Licences by January 2018 and on an ad-hoc basis for premises licences / club premises certificates.  All Service requests from August 2017 to be inputted onto Uniform.  Position (September 2017)  Enterprise has recently been Installed, needs some configuration.  All Service Requests, complaints and enforcement logged onto Uniform.  New Personal Licences, New / Renewal Taxi and Private Hire Drivers, Street and House to House Collections, New Premise Licences, Temporary Event Notices are now inputted straight on to Uniform.  **Position (November 2017)**  **All Service Requests, complaints and enforcement logged onto Uniform.**  **All Taxi and Private Hire Drivers have been added to system.**  **New Personal Licences, New / Renewal Taxi and Private Hire Drivers, Street and House to House Collections, New Premise Licences, Temporary Event Notices are now inputted straight on to Uniform.**  **New templates being produced as and when required.** | Team Leader – Projects & Compliance | 31 March 2016 | **🗸** | 30 November 2016  30 November 2017 |

**Appendix 4**

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

| **Contract Management 2015/16**  **Final report issued January 2016** | | | | | | | |
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| 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.  Position (March 2017)  The template and guidance documents will be reviewed at the meeting of the TRDC Risk Management Group on 4 April 2017 and subject to agreement, workshops for staff will be arranged over the next 2 months.  Position (June 2017)  Workshops with staff have been arranged with all departments in July and August 2017.  Position (September 2017)  No update received.  **Position (November 2017)**  **No update received.** | ~~Corporate Procurement Manager~~  Emergency Planning and risk Management Manager | 31 May 2016 | 🗶 | 31 July 2016  30 November2016  30 June 2017  31 August 2017 |

**Appendix 5**

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

| **Office Services 2016/17**  **Final report issued January 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 05 | We recommend the option of automatic uploading of Inspection Reports by Contractors using mobile devices should be explored. | Merits Attention | Following the account meeting HBI do have an App available for recording Legionella data. They are going to demonstrate this at the training session in January, with a view to trialling it out at a few sites and if successful rolling it out across all the sites. This will effectively reduce staff time as the data will automatically populate the site and in addition aids compliance with Legionella testing legislation.  Position (March 2017)  Explored the option and will trial the App in March on a few sites with a view to rolling out across all sites.  Position (June 2017)  This is being used by the PPM Contractor on the majority of sites, there are still a few teething problems but these are being dealt with and once resolved will be applied to other sites. To get this in place at all accessible sites may take longer than originally expected, revised target date 30th January 2018.  Position (September 2017)  After a recent review of the use of the App HBI have agreed to shadow the team. This is taking place in September so we will meet the deadline of January 2018.  **Position (November 2017)**  **At a shadowing session we have agreed to review the system of controls to rationalise these. HBI are coming on site next month. Once the review has taken place the app will be used across all sites. Deadline of 31st January should still be met.** | Facilities Manager | 31 January 2017 | 🗶 | 30 June 2017  31 January 2018 |

| **Contract Management 2016/17**  **Final report issued March 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | We recommend that, for each of the four contracts / suppliers selected for testing, there is an examination of the need (as applicable):  For a formal contract or whether existing arrangements are sufficient for legal and contract management purposes,  To locate relevant contract documentation where it may exist, and whether any resource expended on this is necessary, or  To complete and sign any contract documents already in place or whether existing arrangements are sufficient for legal and contract management purposes.  To re-procure the services to test the market, ensure proper process and provide full documentation with clear specifications to enable formal signed contracts to be put in place.  It is recommended that this is done in conjunction with Legal, the Procurement Manager and the relevant contract owner / manager. | Medium | Capital Constructions, Right Maintenance and Orion Heating:  At present for all non-reactive works over £5K, the service is obtaining 3 quotes before the work is commissioned.  We agree that a framework or formal agreement should be in place for planned and reactive works and this will require a detailed specification. At present the team is hugely under resourced and this will be a complicated and time consuming specification to produce hence the long target date.  The Property Services Team work in accordance with the specification for the PPM contract agreed for each site. Any Contract would be held with Legal.  Canon:  The Contract Manager has checked with Legal service and they are happy for the contract to continue within the current arrangements. The contract is coming up for renewal in March 2018 and the Contract Manager will ensure that a signed contract with the new supplier will be maintained.  Position (June 2017)  Property Services aim to review working arrangements for all Contractor by the end of December. 3 quotes are still obtained for works under £500 to ensure a competitive price is achieved. Works over £5000 will go out to a competitive tender.  Position (September 2017)  December deadline still stands for the review.  **Position (November 2017)**  **The team remains hugely under resourced and do not have the capacity to carry out the work to create the specification required. The Head of Property and Major projects has agreed to appoint an external company to write this for us. Revised date 31 March 2018.** | At present Facilities Manager although this will fall to the new Head of Property once appointed. | 31 December 2017 | **\*** | **31 March 2018** |
| 02 | We recommend that an analysis of supplier transactions from the creditors system is conducted to identify:  Suppliers for whom contracts are not currently in place, but potentially should be following appropriate consultation with stakeholders, and  Suppliers not currently listed on the TRDC Contracts Register. | Merits Attention | The Procurement Manager is going to get a list of the Purchase Orders raised for last financial year and analyse the data before sending it to services for action.  Position (June 2017)  This is a work in progress as the data has been obtained and a sorting process commenced. Analysis will follow and be co-ordinated with the regular updating of the contract register.  Position (September 2017)  This is a work in progress as the data has been obtained and a sorting process commenced. Analysis will follow and be co-ordinated with the regular updating of the contract register.  **Position (November 2017)**  **The work is progressed on an ongoing basis as regular quarterly updates of the contract register are prepared and published.** | Procurement Manager | 30 June 2017 | **🗸** | 31 October 2017 |
| 03 | We recommend that:  Market testing and price benchmarking should be undertaken to confirm that rates / prices being charged are reasonable,  If appropriate and contracts are put in place, consideration should be given to inclusion of a schedule of rates for the services procured by the authority from each of the suppliers. | Medium | As per recommendation 1 response.  Non-reactive works over £5k are awarded after receiving three quotes. However, this will be reviewed as part of the specification.  Position (June 2017)  To be reviewed by December 2017.  Position (September 2017)  To be reviewed by December 2017.  **Position (November 2017)**  **To be reviewed by December 2017. Please see comments at 01. This will be addressed once the specification has been written and the new contract is in place.** | Facilities Manager | 31 December 2017 | **\*** | **31 March 2018** |

| **Main Accounting 2016/17**  **Final report issued May 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 02 | We recommend that evidence of the request for new account codes is retained. | Merits Attention | Agreed  We will look to set up a spreadsheet on the shared drive for new code requests, after Final Accounts.  Position (June 2017)  As above.  Position (September 2017)  A New Codes Requested spread sheet is being designed to ensure it is capable of capturing all the necessary data. For example, Cost Centre will be different from Account Code and different from Job Code, as regards the fields required.  **Position (November 2017)**  **Codes register now in place and being used. Recommend this is now marked resolved.** | Section Head – Accountancy  *Financial Accounting & Technical* | 31 October 2017 | **🗸** |  |
| 04 | It is recommended that regular (e.g. monthly or quarterly) reconciliations of the debtors and creditors modules in eFin to the general ledger are conducted.  The reconciliations should be performed with an appropriate separation of duties between preparation and approval / checking, as well as appropriately documented. | Medium | The 2016/17 year-end reconciliations have been completed and did not identify any issues / concerns.  However, the frequency of in-year reconciliations will be implemented as part of a wider review of control account / feeder system reconciliations with the general ledger. This review will cover the timings for each reconciliation, the nature of each reconciliation and designate responsibility for completion and sign-off.  Position (June 2017)  To be reviewed after Final Accounts.  Position (September 2017)  HoF comment  Reconciliations have been brought up to date. A process has been developed to allocate a timetable and responsibility for all reconciliations. Some have transferred to Revs and Bens where they sit better and this has involved an amount of training being delivered by the accountancy team. It is planned to have a timetable and process documented by the end of September – this will need testing and embedding so the recommendation will be completed by the next Audit Committee.  **Position (November 2017)**  **Reconciliations control sheet now implemented and agreed with SIAS. Nominates both reconciler and second checker and frequency thereof. Recommend that this is now marked as ‘resolved’.** | Section Head – Accountancy  *Financial Accounting & Technical* | 30 June 2017 | **🗸** | 15 November 2017 |

| **Council Tax 2016/17**  **Final report issued May 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 02 | We recommend that reconciliations between the Academy system (for Council Tax, Benefits and NDR) and the general ledger are completed on at least a quarterly basis.  Completed reconciliations should be reviewed by a senior Finance officer and this check evidenced. | Medium | The 2016/17 year-end reconciliations have been completed and did not identify any issues / concerns.  However, the frequency of in-year reconciliations will be implemented as part of a wider review of control account / feeder system reconciliations with the general ledger. This review will cover the timings for each reconciliation, the nature of each reconciliation and designate responsibility for completion and sign-off.  Position (June 2017)  To be reviewed after Final Accounts.  Position (September 2017)  HoF comment  Reconciliations have been brought up to date. A process has been developed to allocate a timetable and responsibility for all reconciliations. Some have transferred to Revs and Bens where they sit better and this has involved an amount of training being delivered by the accountancy team. It is planned to have a timetable and process documented by the end of September – this will need testing and embedding so the recommendation will be completed by the next Audit Committee.  **Position (November 2017)**  **Reconciliations control sheet now implemented and agreed with SIAS. Nominates both reconciler and second checker and frequency thereof. Recommend that this is now marked as ‘resolved’.** | Section Head – Accountancy  *Financial Accounting & Technical* | 30 June 2017 | **🗸** | 15 November 2017 |

| **Starters & Leavers 2016/17**  **Final report issued May 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 03 | We recommend that the Organisational Development team should ensure that starters complete all mandatory courses and reminders are sent to line managers where necessary. | Medium | Agreed  Position (June 2017)  In progress.  Position (September 2017)  At present, the OD team receive an automated email via RL alerting them of new starters. A welcome email is sent, including log in details for the elearning they need to undertake. At present we are relying on the member of staff/manager to complete these as due to technical issues with Vine (the software provider for the elearning), we are currently unable to run a reliable report on who has/has not completed the elearning so it would not be possible for us to chase them. The Council’s e-learning platform is being upgraded from October 2017, this will include updating our modules, improved user friendliness and access to reporting tools, so that HR and managers can review staff completion levels. Once these technical issues have been ironed out, we will be able to run a report of all new starters per quarter and confirm they completed their e-learning modules.  A timeline is being reviewed with the supplier for our upgrade but will be in place by end December 2017 at the latest.  **Position (November 2017)**  **Plans are still moving ahead for a new e-learning platform and reporting tools in December. The provider will be coming in to carry out a demonstration shortly.**  **In the meantime, the e-learning compliance is:**   * **Review new starter spreadsheet for starters** * **Check e-learning compliance (3-months from start date)**   **(This will tie in with the 3-month probation period when all e-learning should be completed and managers do have this on their induction checklist)**   * **Send reminder to Staff / Manager to complete e-learning** * **Follow up with staff monthly.** | HR Managers (job share post) | 31 July 2017 | 🗶 | 31 December 2017 |
| 04 | We recommend that HR update starters and leavers information on the Intranet for both Council’s so that services have access to the current arrangements.  July  The process should also clearly define roles and responsibilities, so that individual services are aware of their responsibilities when appointing a starter or processing a leaver. Timescales for completing each process should also be included. | Medium | Agreed.  Position (June 2017)  In progress.  Position (September 2017)  The HR Co-ordinators have accepted responsibility for keeping the directories for both Councils up to date. However, due to technical difficulties in actually making these changes, we have not been able to do so. The technical difficulties are being investigated and hopefully should be resolved quickly.  A process map is in the process of being drawn up.  **Position (November 2017)**  **All technical difficulties have been resolved and the HR Co-ordinators are adding starters/taking off leavers as required.** | HR Managers (job share post) | 31 July 2017 | **🗸** | 31 October 2017 |
| 05 | We recommend that IT in conjunction with HR agree and implement a robust process for granting / deleting IT systems access for starters and leavers, including where possible the use of e-forms via the Intranet. This should cover roles and responsibilities and the retention of supporting evidence for actions taken. Details of starters and leavers could be circulated on a regular basis (say monthly) to Heads of Service and Leadership Team / Management Board in order to raise visibility across services. | Medium | Agreed.  Position (June 2017)  In progress.  Position (September 2017)  Starter/Leaver information is given to IT via the starter/leaver form. We have not yet been able to create an embedded form (due to technical issues) but we are working on a resolution for this. A monthly list of starters/leavers is provided for LT/MB.  **Position (November 2017)**  **We are no closer to the creation of an embedded form. However, this is in no way affecting the process success. We will continue to work towards a solution to the embedded forms.** | HR Managers (job share post) | 31 July 2017 | 🗶  Not fully – although not having an embedded form is not affecting the success of the system. | 31 March 2018 |

**Appendix 6**

**Outstanding Recommendations from the 2017/18 Audit Plan**

| **Follow up of legacy IT audit recommendations & Extended DR scope 2017/18**  **Final report issued August 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | In partnership with the Councils’ continuity teams, the business continuity plans and IT disaster recovery plans should be reviewed and, where necessary, updated so that expectations of all stakeholders are met. | Medium | Agreed - This will be raised with the continuity teams within both Councils.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **In progress. Revision of recovery time objectives for systems to be issued to all service heads.** | ICT Section Head | 31 December 2017 | 🗶 |  |
| 02 | Management should arrange for a full test of its IT disaster recovery plan to be carried out.  In the interim period, Management should arrange for a table-top exercise to be performed and for elements of the IT disaster recovery plan to be tested. | Medium | Agreed - A test will be arranged and elements of the Plan will be tested when the opportunity arises.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **This is currently being scheduled. Likely to be January as the IT service resources pre Xmas are focused on: Network upgrade, migration of data to the new Storage solution, implementation of the new backup solution. IT service agreed that it makes sense to DR with the new backup solution in place.** | ICT Section Head | 31 December 2017 | 🗶 |  |
| 03 | Feedback from relevant stakeholders should be incorporated within the interim IT Strategy, which should then be published. | Medium | Agreed - The IT Strategy is due to be published in September 2017.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **IT Strategy finalised.** | ICT Section Head | 30 September 2017 | **🗸** |  |
| 04 | The status of the rollout of the MDM solution to mobile devices should be reported on to senior management.  Issues encountered should be assessed and appropriate action taken to prevent the rollout from being delayed. | Medium | Agreed - The MDM roll out will be monitored.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **On track. Testing for MDM solution (Mobile Iron), procured earlier this year. This will be deployed as part of the Active Directory migration project and installed on all corporate mobile devices e.g. corporate mobile phones and surface pro devices. Laptops will be encrypted as part of the same process. Testing is already underway.** | ICT Section Head | 30 June 2018 | 🗶 |  |

| **Cyber Security 2017/18**  **Final report issued September 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | Management should review and revoke elevated access rights from user accounts where they are found to be inappropriate or no longer required.  Elevated permission should not be granted to a user’s standard network account and should only be accessed where there is a demonstrable reason.  There should be a record of the accounts that have been granted elevated permissions, which is reviewed for adequacy on a routine basis. | High | Agreed – The Service is in the process of reviewing these accounts and, where possible reviewing this access  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **Accounts with elevated access rights have been reviewed:**  **WBC      72 from the original 223**  **TRDC     68 from the original 204**  **Next phase is to work with suppliers to provide delegated rights.**  **Policy in place to ensure that any domain administrator accounts are only created once they have been approved at Change Board (held weekly).** | ICT Section Head | 31 December 2017 | 🗶 |  |
| 02 | All devices that are running unsupported operating systems should be upgraded to run operating systems that are supported by the developer.  Where it is not possible to upgrade the operating system of a device, it must be isolated from the Councils’ IT network and appropriate security controls implemented. | High | Agreed – This will be discussed with the relevant IT system owners in order to agree the best way forward to migrate off of legacy operating systems.  TRDC XP machines – down to: 2  WBC XP machines – down to: 0  Decommissioning is part of the core infrastructure programme. Since Jan 2017 67 servers have been decommissioned.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **Significant progress. 96 servers have now been decommissioned. There are 45 remaining with an unsupported operating system installed. All servers have been reviewed and there is an associated plan in place to upgrade and/or decommission. The majority of these services have associated services or impact line of business applications, and need to be upgraded in line with services.**  **TRDC XP machine: 1. This is a system that provides telephone reports. The hardware and OS has been further secured, reducing the risk, by removing all Internet and Email access.** | ICT Section Head | 30 June 2018 | 🗶 |  |
| 03 | Management should put in place a process to verify that the actions taken to resolve security vulnerabilities have been effective. | High | Agreed – A mid-year IT Health Check will be conducted to verify that vulnerabilities have been resolved.  21 out of the 29 HIGH vulnerabilities were closed by the PSN submission date of 31 July 2017.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **QualysGuard security scanner is in place which scans, identifies and monitors and also provides proactive information on how to remediate the vulnerabilities. This removes the requirement for a chargeable mid-year ITHC. This is instead run on a monthly basis and provides assurance that the vulnerabilities have been resolved as well as providing information on new vulnerabilities. Awaiting confirmation from IT Steering Group that this recommendation can be closed (meeting on 28 Nov).**  **Propose close, assuming ITSG approve.** | ICT Section Head | 31 January 2018 | **🗸** |  |
| 04 | Management, supported by the IT service, should assess the risk of a cyber-attack on its operations.  Where necessary, appropriate action should be taken to mitigate against the impact of a cyber-attack. | Medium | Agreed – This will be raised with stakeholders at the IT Steering Group.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **Cybersecurity vulnerability paper taken to IT Steering Group on 28 Nov. This will be subsequently issued to management in order to update service continuity plans.**  **Propose close, assuming ITSG approve.** | ICT Section Head | 30 November 2017 | **🗸** |  |
| 05 | The ICT Section Head will agree with Councils’ HR Shared Service as to who is responsible for the delivery of information security training.  A training needs assessment should be performed for all members of staff at both Councils with regards to information and cyber security.  Compliance should be monitored and action taken when members of staff are found to have not completed the information security training. | Medium | Agreed – This will be discussed.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **Agreed with HR Shared Service that this is a shared responsibility.**  **IT Security and awareness training (E-Learning) module is already part of the new starter induction process. The HR requirement is that this module is completed within 2 to 4 weeks of starting. The module includes the requirement to read the associated IT policies e.g. Information Security.**  **The current figures from the electronic training system show 48% of the staff across W3R have completed the training. However there are issues with this system and accuracy of the reporting from this. The system is in the process of being upgraded.**  **Agreed with HR that the Security and Awareness training should be reissued with links to access this, with clear responsibility for all Heads of Service to ensure that remaining staff members complete the training by 1st April 18. Additionally it has been agreed that this should be included as a specific objectives within the annual PDR cycle.** | ICT Section Head | 30 November 2017 | **🗸** |  |
| 06 | There should be a record of the configuration of the Councils’ firewalls, which includes but is not limited to:   * The purpose of all of the rules and the associated services * The expected configuration and activity for each rule * The member of staff that requested the rule * The member of staff that approved the rule.   Firewall rules should be reviewed on a routine basis.  The IT network diagram should be updated so that it accurately reflects the design of the IT network. | Medium | Agreed – The IT network diagram has now been updated and the review of the firewall rules is ongoing.  Position (September 2017)  As above – final report only recently issued.  **Position (November 2017)**  **This is underway. All firewall changes already go through a change process and there is now a policy and associated procedure in place in order to inform a central infrastructure document where all firewall rules are recorded. The retrospective piece is underway, however this is a time-consuming piece of work.** | ICT Section Head | 30 June 2018 | 🗶 |  |

| **Licensing 2017/18**  **Final report issued October 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | We recommend that the service reviews and stores the documents including emails sent to organisations and services and information received in relation to the licence application, to demonstrate compliance with the established procedures.  Once the premises licence transfers have been processed, the service should contact the Debtors Service to action the change so that invoices can be sent to the correct licensee. The service should retain a copy of the information on file for licensing records. | Medium | All consultation emails are sent and received via the Licensing Team Inbox and copies of debtor requests and related documents are being retained.  The Licensing Team is currently trying to get the database to copy emails sent and received.  **Position (November 2017)**  **Implemented** | Licensing Officer | With immediate effect and ongoing | 🗸 |  |

| **Development Management 2017/18**  **Final report issued October 2017** | | | | | | | |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved  🗶 or 🗸 | Revised Deadline |
| 01 | We recommend that a comprehensive manual is produced that includes guidance on all four stages of the application process. The manual should be subject to review every two years, or in the event of significant changes. | Merits Attention | We do have a number of existing manuals / practice notes covering different areas of the DM process. Due to the number of different types of applications we receive there are a number of different requirements so a comprehensive manual is a large document to bring together. In addition we need the support of our CSC as they are now responsible for many of the administrative / validation processes.  I would suggest completion of a DM process manual that will cover the different parts of the DM process.  **Position (November 2017)**  **No update for this committee as final report only recently issued.** | Team Leader, Development Management | 1 April 2018 | 🗶 |  |