## Three Rivers District Council

## Internal Audit Recommendations Log

## Updated for 26 July 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 AccessUrgent 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.** | Head of ICT***/*** ICT Client Manager | December 2011 | 🗶 | **An extension to 31 October 2016 is requested.** |
| 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.** | Head of ICT ***/*** ICT Client Manager | March 2011 | 🗶  | **An extension to 31 October 2016 is requested.** |
| 33/10/19 | Network Management – Standard BuildsClearly defined network security standards and device configuration requirements should be established and subject to change control, compliance monitoring and continual improvement, e.g. by adopting or adapting any standards that are already in use by trusted partnership networks. | Important | **Position (July 2016)****All infrastructure is subject to change control, with network security being reviewed as part of PSN compliance, as part of which there are annual health checks, penetration testing and reports to highlight defects or issues, these are fed into continual improvement to secure the network.** | Head of ICT / ICT Client Manager | March 2011 | **🗸** |  |

 **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 on-boarding 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.** | ICT Client Manager | March 2013 | 🗶 | **An extension to 31 December 2016 is requested.** |

 **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.** | Head of ICT / ICT Client Manager | October 2012 | 🗶 | **An extension to 31 October 2016 is requested.** |

| **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.** | ICT Client Manager | May 2013 | 🗶 | **An extension to 31 October 2016 is requested.** |
| 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.** | ICT Client Manager | March 2013 | 🗶 | **An extension to 31 October 2016 is requested.** |

 **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.** | ICT Client Manager | November 2013 | 🗶  | **An extension to 31 December 2016 is requested.** |

**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.** | Emma Tiernan – ICT Section Head | 30 June 2015  | 🗶 | **An extension to 31 October 2016 is requested.** |
| 09 | There should be formal, scheduled review and testing of the Disaster Recovery Plan on a periodic basis. | Medium | **Position (July 2016)****Recommendation to be closed as it is covered in the disaster recovery audit recommendations.** | Emma Tiernan – ICT Section Head | 31 December 2014 | 🗶 | **N/A** **To be removed** |

| **Health & Safety 2013/14****Final report issued June 2014** |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 08 | Regular documented reconciliations should be performed between the asset register and asbestos and legionella risk registers, to ensure that any new properties acquired that require testing, or any properties missed off the original list for testing, are picked up as soon as possible. | Merits Attention | The Asset and Property Manager will ensure appropriate reconciliations take place and are recorded fully.Position (August 2014)Not yet startedPosition (October 2014)Not yet duePosition (February 2015)List of leased assets compiled & approx 60% checked to establish responsibility. No new properties currently outstanding to be added to the original list however further reconciliation is required to complete outstanding 40% to ensure complete accuracy. Position (May 2015)Unfortunately limited progress has been made on the outstanding 40%, due to staff capacity and absence. This will be looked at as a priority.Position (August 2015)Unable to be completed in full due to staff resources. Position (November 2015)New surveyor now appointed due to start 9th Nov. This will be a high priority job to be completed. Position (February 2016)The list of properties relating to the planned maintenance programme is slightly more extensive than originally anticipated.  For this reason a 6 month extension is requested to carry out the necessary works which will bring us to end of September.  The request for this extension is due to the backlog of work and shortage of staff available to carry out the work in a timely fashion. The property list will be updated and landlord and tenant obligations interpreted with respect to maintenance. 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.** | Interim Head of Property Services | 1 December 2014  | 🗶 | April 2015 (staff resource limits more timely completion) 30 June 201531 December2015**TBC** |

**Appendix 8**

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

| **Debtors 2014/15****Final report issued December 2014** |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | The Council should explore the possibility of developing an authorisation function within e-Financials that will not allow the releasing of a credit note without appropriate authorisation from a second officer.Given that developments to the system may take some time to be implemented, in the interim a manual authorisation process should be introduced. A second officer should review and authorise all credit notes raised prior to being sent to the customers. Evidence, by way of a control sheet, should be retained to support the authorisation process. Part of the authorisation process should include a review of the evidence that supports the reason for the credit note. To aid the review, consideration should be given to allowing all services access to Anite. | Medium | Head of Service and Revenues Manager are currently looking at staffing structure to streamline processes.Position (February 2015)OngoingPosition (May 2015)OngoingPosition (August 2015)Restructure will now not take place until January, 20161Position (November 2015)Restructure will now not take place until early 2016 and with another member of staff due to return from maternity.Position (February 2016)Still to be implemented – ongoing.Position (June 2016)Still to be implemented – ongoing.**Position (July 2016)****Completed. A manual process has been implemented from 8 July 2016.** | Revenues Manager | 31 March 2015 | **🗸** | 31 May 201530 September 201531 January 201629 February 201631 October 2016 |
| 04 | We recommend that consideration is given to including the unit cost within the invoice to allow an arithmetic check to be performed by a second officer.Unit costs may be in the form of, but not limited to, weekly rental amounts, hourly rates for hire or one off costs relating to services provided. | Merits Attention | Head of Service will be exploring further with S151 Officer due to Shared Services and review of processes.Position (February 2015)OngoingPosition (May 2015)OngoingPosition (August 2015)OngoingPosition (November 2015)Restructure will now not take place until early 2016 and with another member of staff due to return from maternity. Position (February 2016)Still to be implemented – ongoing.Position (June 2016)Still to be implemented – ongoing.**Position (July 2016)****Completed. Consideration has been given to this issue but it has been decided not to progress with this recommendation.** | Revenues Manager | 31 January 2015 | **🗸** | 31 May 201530 September201530 November 201529 February 201631 October 2016 |

| **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 duePosition (August 2015)On track for surveying at least one third tree stock by March 2016.Position (November 2015)As above.Position (February 2016)As abovePosition (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.** | Landscape Officer (North) and Landscape Officer (South) | End March 2018\* | 🗶 |  |

| **IT Change Management 2014/15****Final report issued January 2015** |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | 1. We recommend that a copy of the Communication Plan for W3R is obtained from Capita and is then reviewed jointly to confirm / revise the specified local variances to the generic Capita central CM processes.

  | Medium | AcceptedPosition (February 2015)Not duePosition (May 2015)Position (August 2015)Operational Level Acceptance document received and reviewed by W3R. This document outlines roles and responsibilities between local and central service teams. W3R specific communications plan still to be received. Also 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 (June 2016)Please see separate report by the Head of Finance.**Position (July 2016)****This recommendation has been superseded by the exit from the Capita contract in June 2016.** | ICT Client Section Head& Capita Account Director | 30 June 2015 | **🗸** | 30 September 2015**N/A** **To be removed** |
| 02 | 1. We recommend that there is appropriate liaison and confirmation between Capita and W3R to obtain clarity and agreed understanding about the evaluation, scheduling and authorisation of changes, including the CAB processes, and to obtain reassurance about the quality checking that is carried out by Capita in this respect.
 | Merits Attention | AcceptedPosition (February 2015)Not duePosition (May 2015)Position (August 2015)Change management process and procedure documentation reviewed and followed. Central change management team produce a forward schedule of changes which are reviewed at each CAB. Quality checking is outstanding.Also see section 2.5.2 of the main SIASUpdate 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 (June 2016)Please see separate report by the Head of Finance.**Position (July 2016)****This recommendation has been superseded by the exit from the Capita contract in June 2016. The ICT service is now provided through a mix of in-house staff and third party providers.**  | ICT Client Section Head& Capita Account Director | 30 June 2015 | **🗸** | 30 September2015**N/A** **To be removed** |
| 03 | We recommend that the test plans and respective results are fully detailed and documented for each RFC as part of the relevant Work Plans. This should also include evidence of reviews carried out by Capita for ensuring that the testing complies with their defined process and that appropriate quality standards are met in this regard. | Medium | AcceptedPosition (February 2015)Not duePosition (May 2015)Position (August 2015)This is yet to be progressed.Also 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 (June 2016)Please see separate report by the Head of Finance.**Position (July 2016)****This recommendation has been superseded by the exit from the Capita contract in June 2016. The ICT service is now provided through a mix of in-house staff and third party providers.**  | ICT Client Section Head& Capita Account Director | 30 June 2015 | **🗸** | 30 September2015**N/A** **To be removed** |

| **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 duePosition (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.** | Revenues Manager | 31 July 2015 | 🗶 | 30 September 201530 November 201531 March 2016**An extension to 31 March 2017 is requested to complete this recommendation.** |

| **Asset Management 2014/15****Final report issued February 2015** |
| --- |
| 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 duePosition (May 2015)Not yet duePosition (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.** | Interim Head of Property Services | 31 March 2016 | 🗶 | **30 September 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 duePosition (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.** | Interim Head of Property Services | 30 September 2015 | 🗶 | 30 April 201630 June 2016 (subject to revised IT deadline)**TBC** |

| **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  | LicensingLicensing 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 duePosition (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).Environmental ServicesAgreedPosition (May 2015)Not yet duePosition (August 2015)This work is only partially completed, due to the Enforcement Manager having other projects to work on e.g. trade recycling.Position (November 2015)This work is currently being undertaken and a target completion date of 31 December 2015 is still anticipated.Position (February 2016)The work has taken longer than expected, but is due to be completed by 31 March 2016.Position (June 2016)Procedures now completed. | Team Leader – Projects & Compliance Environmental Enforcement Manager  | 31 March 2016 30 June 2015  | **🗶****🗸** | **30 November 2016**31 December 201531 March 2016 |
| 02 | LicensingThe 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 | LicensingThe 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 duePosition (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.** | Team Leader – Projects & Compliance | 31 March 2016 | 🗶 | **30 November 2016** |

| **Benefits 2014/15****Final report issued April 2015** |
| --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | The declaration of interest form should be reviewed to ensure it provides adequate protection to the respective Councils.Completed forms should be checked to ensure all staff who have (and need) access to the Academy system have returned a conflicts of interest form. This should be extended to staff outside of the Revenues and Benefits service, for example Customer Service Centre staff. Access to declared accounts should be restricted. | Merits Attention  | We will cross check against the establishment list and determine who still needs to sign a declaration for 2014/15 to get the outstanding ones completed.Position (May 2015)Now we are into a new financial year I will organise the re-signing for all staff in Revs and Bens.Position (August 2015)We are currently going through major upgrades of our systems and my focus at the moment is getting a stable system. I will re-visit the declaration of interest document in October.Position (November 2015)Now that the migration to new servers and upgrades to processing systems have just about completed we will visit annual declarations by the end of November 2015**.**Position (February 2016)No update received.Position (June 2016)In progress.**Position (July 2016)****This was competed in June 2016.** | Benefits Manager | 31 May 2015 | **🗸** | 30 June 201531 October 201530 November 201530 June 2016 |
| 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 duePosition (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.** | Benefits Manager | 30 June 2015 | **🗶** | 31 December 2015**An extension to 30 Sept 2016 is requested** |

| **South Oxhey Initiative 2014/15****Final report issued April 2015** |
| --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | A revised project board, formed in accordance with PRINCE2 principles, chaired by the Director of Community and Environment and including other senior Council officers, should be established. When the development partner has been appointed, their representatives should also be included on the board, as senior suppliers.The project board should operate to a standard agenda, to include items such as:* Highlight / exception reports
* Risks and issues
* Budget monitoring.

The Policy & Resources Committee should act as an executive board, overseeing and holding to account at a strategic level, with the South Oxhey Initiative project board operating under delegated authority, within tolerances.  | High  | Recommendation accepted. A proposal will be put to Management Board to progress the issue.A subsequent report will go to P&R Committee once the preferred bidder is identified.Position (May 2015)I did a note as regards the Project Board, dated 30th April, to our Management Board for their consideration at a meeting on 5th May. My recommendations were accepted and this part of the recommendation has been satisfied. The second part of the recommendation will go to P&R Committee on 20th May.Position (August 2015)The matter was not considered at the May P&R Committee as there is no agreement between Members as to the composition of the Board.Currently no further formal discussions on this matter are planned as Members have decided they do not want a smaller Board than at present. Steven Halls, Geof Muggeridge and Alan Head will continue to make the argument with Members and therefore this action remains ongoing. The position will be reviewed at 31 March 2016. Position (November 2015)Members continue to require that all matters are taken to full P&R Committee, recommendation remains unresolved. Suggest further review January 2016.Position (February 2016)A further proposal as to the formation of a Project Board will be put to Policy & Resources Committee on 21st March.Position (June 2016)P&R Committee on 21/03/16 approved the terms and conditions for the formation of a Project Board. The first meeting was held on the 19th April and they are scheduled to convene every four weeks. | Head of Major Projects | 30 June 2015  | **🗸** | Ongoing and to be reviewed 31 March 2016 |

| **Disaster Recovery 2014/15****Final report issued June 2015** |
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| 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.** | Capita Account Director | 31 August 2015  | 🗶 | **An extension to 31 October 2016 is requested.** |
| 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.** | Capita Account Director / ICT Section Head | 31 August 2015 | 🗶 | **An extension to 31 December 2016 is requested.** |
| 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.** | Capita Account Director | 31 August 2015 | 🗶 | **An extension to 31 December 2016 is requested.** |

| **IT Operations & Contract Management 2014/15****Final report issued June 2015** |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | * The CSIS Account Director should agree a clear, formal process for the completion and closure of incidents, within their team and gain formal approval of this process from the Councils. Open / Outstanding actions should be assigned to the individual employees responsible and not to a default employee. Turnaround targets should be set and managed by CSIS formally on an on-going basis. This should be included in the progress report to the Councils.
* There should be an additional status indicator for closed and completed tickets. A ticket may be complete but not closed until they have gathered all the necessary evidence for the relevant incidents. This would clear up incidents being marked as closed without the supporting evidence.
* Where appropriate, these processes should be written into formal documentation to be shared and agreed across the CSIS teams and the Councils.
* The processes 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)****This recommendation has been superseded by the exit from the Capita contract in June 2016.** | Capita Account Director | 30 September 2015  | **🗸** | **N/A** **To be removed** |
| 02 | * Discussions between the Council and CSIS should take place once improvements have been observed with the delivery of ICT Shared Services. This should encompass the current KPI definitions and how they are measured with associated targets. This would include the amount of physical evidence deemed appropriate and sufficient to support the closure of tickets.
* The Council should gain formal agreement on the amount of outstanding penalties due, and a strategy be put in place for CSIS to meet that penalty.
 | 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)****This recommendation has been superseded by the exit from the Capita contract in June 2016.** | ICT Section Head | 31 August 2015 | **🗸** | **N/A** **To be removed** |
| 03 | * In-house knowledge sharing should be recommended for the on-site employees within CSIS. This would help grow the teams’ knowledge growth and eventually improve the efficiency of the team which may impact positively on their Service Level Agreements (SLA’s).
* The CSIS Account Director should put a formal plan in place to ensure knowledge sharing between team members.

Responsibilities should be assigned within CSIS. We suggest creating sub-team leaders to relieve these duties from the Account Director so he can focus on areas where his role will be more effective for the recovery plan. This should include weekly and perhaps daily catch ups to discuss any outstanding issues and progress made on historical incidents. | 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)****This recommendation has been superseded by the exit from the Capita contract in June 2016.** | Capita Account Director | 31 December 2015 | **🗸** | **N/A** **To be removed** |

**Appendix 9**

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

| **Diesel Usage 2015/16****Final report issued June 2015** |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | A senior officer should regularly review the use of diesel. This should include the following:* Review of the vehicle mileage / type of journey undertaken / fuel dispensed, to ensure vehicles are being used efficiently.
* Review of the time diesel is dispensed to ensure this is during normal operating hours for the depot.
 | High  | The current system (Fuel Tek) does not easily enable this and such work would have to be carried out manually.There are better Fuel Management system that would automatically produce this data and these will be investigated. Their procurement will be dependent upon both IT and finances, but a report / PID will be presented to the appropriate panel or CommitteePosition (August 2015)A survey of Batchworth Depot as a whole will be undertaken later this year and a decision on whether or not to invest in a fuel management system at this current time will be undertaken as part of this review. Position (November 2015)The survey of Batchworth Depot is currently being undertaken, with an estimated completion date of end of November. The issues / findings will then be reported to Members, and will include the provision of a fuel management system.Position (February 2016)The survey has been completed, but any works are not being prioritised until later in 2016/17, due to garden waste charging project.Position (June 2016)As above – 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.** | Chief Environmental Services Manager | 31 October 2015 (to be considered at budget setting) | 🗶 | 31 March 2016**31 March 2016** |

| **Data Protection 2015/16****Final report issued September 2015** |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | We recommend that Emergency Planning and Risk Manager follow up on completion of the mandatory DP and FOI e-learning module on an annual basis with all Heads of Services. | Merits Attention | AgreedPosition (November 2015)This has been scheduled for March each year, so that relevant information can be cascaded to staff via the PDR process.Position (February 2016)Reminder sent to Heads of Service and data for 2015/16 will be collected on 31 March 2016.Position (June 2016)Data collected for period up to 31/3/16. Heads of Service have been reminded to ensure that all staff complete the module.**Position (July 2016)****Complete** | Emergency Planning & Risk Manager | 31 March 2016 | **🗸** |  |

| **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 duePosition (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.**  | Corporate Procurement Manager  | 31 May 2016 | **🗶** | **31 July 2016** |

| **Council Tax 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 | Revenues Officers should enter provisional end dates for Student Exemptions.Following the March 2015 review of existing Student Exemption cases, an exercise should be undertaken to cancel non-returners. This exercise should be performed annually.  | Medium | Revenues Manager in sync with designated Billing Officers will be targeting quarterly ‘Provisional End Dates’ via reporting within AcademyPosition (February 2016)In progressPosition (June 2016)Completed as now progress Surveys quarterly, about to undertake second survey of 2016/17. | Revenues Manager | 30 April 2016 | **🗸** |  |
| 02 | Management should consider the cessation of undertaking programmed visits to long-term empty properties and focus inspections on exemptions that reduce the potential for financial loss if incorrectly applied or generate revenue, e.g. NDR avoidance. | Merits Attention | Revenues Manager will be liaising with Inspectors quarterly with a view to focusing on NDR avoidance and empty properties.Position (February 2016)In progressPosition (June 2016)Ongoing as will await new Head of Service for input / thoughts.**Position (July 2016)****Completed – this will be implemented from 11 July 2016.** | Revenues Manager | 30 June 2016 | **🗸** |  |

| **NDR 2015/16****Final report issued March 2016** |
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| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | Business Rates Officers should be reminded of the need to record adequate notes and names / contact numbers of individual traders on account records to support actions and decisions taken. | Medium | Reminded staff to notepad all actions taken. Position (June 2016)Implemented | Revenues Manager | Immediate | **🗸** |  |
| 02 | Business Rates Officers should be reminded that Empty Property Relief should not be applied retrospectively to accounts without documentationand supporting evidence. | Medium | Reminded staff to notepad all actions taken. Position (June 2016)Implemented | Revenues Manager | Immediate | **🗸** |  |
| 03 | Management should undertake a review to identify any potential historic debts where recovery action has not been taken, including those where recovery action has been suppressed to ensure that cases approaching time barring are summonsed | Medium | Revenues Manager identified that the case was a shared services conversion error. A data cleansing exercise has been undertaken over the past 12 months by the NDR team to identify such cases, work is ongoing. Position (June 2016)Implemented | Revenues Manager | Implemented | **🗸** |  |
| 04 | Where a company is awaiting strike-off, the debt should remain on the Academy system until confirmation is received that the Company has been dissolved, e.g. subject to evidence from Companies House. | Medium | Write-off procedures updated and implemented with effect from 1 December 2015 (Audit had sight of the procedures).Position (June 2016)Implemented | Revenues Manager | Implemented | **🗸** |  |
| 05 | Authorisation records should be retained centrally and checked for completeness. Where possible evidence to support the authorisation of write-offs should be scanned against the relevant account.The Revenues Manager or other senior officer should perform checks of write-offs to ensure that these have been approved appropriately.  | Medium | As per ‘point 5’, write-off procedures now in place in order to stress no conflict of duties.Position (June 2016)Implemented | Revenues Manager | Implemented | **🗸** |  |

| **Debtors 2015/16****Final report issued March 2016** |
| --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | The Council should explore the possibility of developing an authorisation function within e-Financials that will not allow the releasing of a credit note without appropriate authorisation from a second officer. In the meantime, a manual authorisation process should be introduced requiring a second officer to authorise all credit notes raised.  | Medium | To explore modules within e-Financials Position (June 2016)Still to be implemented – ongoing.**Position (July 2016)****This is a duplication of the previous recommendation and should be closed.** | Revenues Manager | 31 August 2016 | 🗶 | **N/A** **To be removed** |
| 02 | We recommend that consideration is given to including the unit cost within the invoice to allow an arithmetic check to be performed by a second officer.Unit costs may be in the form of, but not limited to, weekly rental amounts, hourly rates for hire or one off costs relating to services provided. | Merits Attention | To explore further, this being dependent on Service Area requirements. Position (June 2016)Still to be implemented – ongoing.**Position (July 2016)****This is a duplication of the previous recommendation and should be closed.** | Revenues Manager | 31 August 2016 | 🗶 | **N/A** **To be removed** |

| **Creditors 2015/16****Final report issued April 2016** |
| --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | Responsibility for periodic monitoring of this area (raising orders after invoices are processed or paid), should be assigned, with reviews on officer compliance undertaken at intervals to be determined by Management. | Merits Attention | The Senior Finance Officer will produce a report for The Head of Finance to present to the Shared Service Operational Board. Retrospectively for 2015/16 and quarterly thereafter.**Position (June 2016)****This has been implemented and the 15/16 figures went to SSOB at its last meeting (19 May).  It is now reported as one of the management stats at each meeting.** | Senior Finance Officer | 30 April 2016 | **🗸** |  |

| **Benefits 2015/16****Final report issued May 2016** |
| --- |
| Ref No. | Recommendation | Priority | Action to Date | Responsibility | Deadline | Resolved 🗶 or 🗸 | Revised Deadline |
| 01 | Evidence should be retained to support DWP CIS system checks performed routinely by the Recovery Team. | Merits Attention | We will ensure that Overpayments staff are reminded that they must capture a copy of the CIS check on each occasion.**Position (July 2016)****Completed. This has been implemented from March 2016.** | Revenues Manager  | 30 September 2016 | **🗸** |  |