Audit Plan 2009/10

Network Infrastructure 2009/10							
Final report issued October 2010							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
33/10/02	Physical Security – Unauthorised Device Access Urgent consideration should be given to: • Effectively restricting network access to authorised devices, e.g. MS (NAP) and Cisco's (NAC).	Essential	Position (March 2011) This will require considerable unbudgeted capital investment therefore the timescale needs extending. Position (August 2011) ICT has investigated this with an external network specialist and feedback received on 12/08/11 is as follows: "On further consideration, there is a risk of significant problems occurring with the deployment of NAC particularly with the requirement for a Cisco browser plug-in to provide browser based network authentication. Browsers used now and in the future are unlikely to be 100% compatible with the Cisco NAC and it will be expected that some users will experience ongoing problems connecting to the network. Also the operation of NAC is primarily for use with Cisco switches that either support NAC protocols or use custom SNMP operations. The use of non Cisco switches using the SNMP method also requires that the SNMP MIBs (management information bases) are compatible with the Cisco MIBs and this is unlikely to be the case. A further issue is that a suitable NAC friendly architecture is in place to support NAC	Head of ICT/ICT Client Manager	December 2011	✗	June 2012 December 2012 December 2013 TBC April 2015 TBC **N/A**

Network Infrastructure 2009/10							
Final report issued October 2010							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			operation. At present the TRDC network is not suitable for NAC use without some redesign. To address the issue of Unauthorised device access, the main risk is the servers and the data held on them. Using VLANs to block access to server VLANS from user VLANs is a traditional and cost effective method of reducing access risks. It is recommended that servers not requiring direct access by specific groups of users are blocked by VLAN segregation as a primary means of protection. VLAN segregation is the method used by NAC. In addition, core and distribution switches should have port security activated (this locks authorisation to the current MAC address of the connected device), and all unused ports should be shut down Further work is required to determine a more suitable and extensive means of authorising device access on the edge switches." Further network consultancy will be required to implement this and is estimated at cost of £3,000. At the desktop level, security and anti virus systems are systems are already in place. Position (October 2011) As at August 2011 above. Position (February 2012) A 12 week programme of infrastructure improvements was initiated on 20/10/11 and completed on 20/01/12.				

Network Infrastructure 2009/10

Final report issued October 2010

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			One of the work streams within this programme was to perform a network discovery and audit. As part of this phase of work, substantial remedial work was done and has been planned for future phases of improvements. The above has contributed to a delay in this work and we are now in a position to progress with it. Position (June 2012): The following progress has been made on this work: WBC & TRDC Core Switching – Full IOS & Firmware update of Cisco Catalyst 6509 Blade Switch. This is fully installed and in-use WBC & TRDC Distribution Switching – Installation and Migration to 4 x Cisco 3750X-24 GbE Port Switches These are fully installed and in-use These will be configured into more efficient stacks again in the future when this datacentre is re-organised A new IP schema has also been designed to support all of these changes and will also be implemented in conjunction with the access layer switching which is outstanding in the next few months. Position (August 2012) Configuration of Switches to optimise them has been completed. The data centre reorganisation ahs been put on hold pending outcome of ICT Tender.				

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			The next stage of VLAN separation has also been put on hold due to the disruption this will cause and will be planned in once outcome of ICT tendering exercise is known. Position (October 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting. Position (January 2013) Following discussions with Capita, this will be investigated during transition and implemented during transformation as an additional project (which will be chargeable). Category 4 Position (May 2013) Following discussions with Capita, this will be investigated during transition and implemented during transformation as an additional project (which will be chargeable). Category 4 Position (August 2013) Implementation of further VLANs has been included within a network recommendations proposal from Capita ICT. Due to the additional work required in relation to PSN (Public Services Network) accreditation, Capita ICT and the client management team				

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			are currently establishing a roadmap for all remaining transition and transformation projects. Position (October 2013) As per August update. Awaiting budget approval and prioritisation of this work. Position (February 2014) As per August 2013 update. Awaiting budget approval. Position (May 2014) Awaiting budget approval Position (August 2014) Budget approved. VLANs have been created across W3R. Devices are being migrated across over the next few months. Position (October 2014) Not yet due. Progress is being made as above. Devices are being scheduled to be moved across. Position (February 2015) Not yet due Position (May 2015) IT is under review, revised timescales will be communicated at the next audit committee. Position (August 2015) See section 2.5.2 of the main SIAS Update				

Network Infrastructure 2009/10

Final report issued October 2010

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			Report. **Position (November 2015)** **See comment in section 2.5.2 of the main SIAS Update Report.**				
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	Part complete – Shared Services are already using thin client which has set profiles. Non Shared Services will be migrated to thin client in FY 11/12. Position (August 2011) Thin client rollout for non-shared service departments has been put on hold due to the number of projects on ICT's project list for delivery this year. It will be considered by the Joint ICT Steering Group for prioritisation a 12/13 as part of Thin Client or in isolation with the implementation of Microsoft Systems Centre Configuration Manager (SCCM). Position (October 2011) As at August 2011 above. Position (February 2012) Implementation of a trial version of MS Systems Centre Configuration Manager has begun and will be trialled for 6 months before procuring the full version. This will enable deployment of standard software and builds to PCs and Servers. Work to standardise and restrict workstations across Three Rivers will be prioritised by the ICT Steering group in line with other projects	Head of ICT / ICT Client Manager	March 2011	✖ (part met - for shared service accounts)	March 2012 December 2013 TBC April 2015 TBC **N/A**

Network Infrastructure 2009/10

Final report issued October 2010

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			required by the councils. Position (June 2012) The trial of MS Systems Centre Configuration manager will end in August 2012. Prioritisation of this project in conjunction with other infrastructure priorities will happen with ITSG between now and August 2012. Position (August 2012) Future projects were discussed at ITSG on 22 August. Position (October 2012) This has been included to the 13/14 project programme. The councils are currently conducting due diligence with the preferred supplier for the ICT Service. The councils ICT programme will be discussed during due diligence and reported to the next Audit committee meeting. Position (January 2013) Following discussions with Capita, this will be implemented during transformation. Category 3 Position (May 2013) This is being picked up within the capita work Position (August 2013) This was picked up during due diligence and will be completed by Capita ICT during transformation phases. This is a chargeable				

	Network Infrastructure 2009/10							
Final report issued October 2010								
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
			project.				
			Position (October 2013) Small progress, thin client has been identified as a key priority project due to poor performance, some of the work to standardise and improve profile creation will be initiated during this project. Nov to Dec timeframe. Standardising non-thin client user profiles needs to be captured through a separate chargeable project. £13,835 – budgets to be approved and the work prioritised				
			Position (February 2014) No change - awaiting budget approval.				
			Position (May 2014) Awaiting budget approval				
			Position (August 2014) Budget approved.				
			Position (October 2014) Not yet due. Included within ModerniseIT Infrastructure Improvement programme.				
			Position (February 2015) Not yet due				
			Position (May 2015) IT is under review, revised timescales will be communicated at the next audit committee. Active Directory design and build has been				

Network Infrastructure 2009/10							
Final report issued October 2010							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			completed, however users will not see the benefit of this until they are migrated into that new domain with their new desktops. It is the timeframe that is at risk presently.

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. | | | | |
| 33/10/19 | Network Management – Standard Builds
Clearly 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 | This will need considerable resource; we are in the process of implementing change control software that will be integrated with our call management system. Network security standards will be harmonised with WBC and formalised during the next financial year.

Position (August 2011)
This has also been recommended within the external review. This will be addressed as part of the requirements specification and stated within the Invitation to Tender for the procurement of an alternative ICT Service delivery model.

Position (October 2011)
As at August 2011 above.

Position (February 2012)
As at October 2011 | Head of ICT / ICT Client Manager | March 2011 | ✗ (Part met) | March 2012

December 2013

TBC

April 2015

TBC

N/A |

Network Infrastructure 2009/10

Final report issued October 2010

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (June 2012) As at Feb 2012. Transition, if agreed, to any outsourced provider would occur in early 2013. Position (August 2012) No change from June update Position (October 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting. Position (January 2013) Standard desktop builds have been included within the contract and will be developed during transition\transformation. Capita's proposal does not cover the standardisation of network builds and security standards; hence this will be addressed during transformation as a separate project. Standard Builds Desktop – Category 3 Standard Network Builds – Category 4 Position (May 2013) This is being picked up within the capita work Position (August 2013)				

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			This was picked up during due diligence and will be completed by Capita ICT during subsequent transformation phases. Position (October 2013) Parts of this requirement have been met. There is a standard base build for desktops, which is currently awaiting further testing and sign off. We are already working towards fulfilling all conditions for the PSN government directive, which is a trusted network. We have a strict change control process in place, therefore having clear documentation, risk assessments, approval and a full audit trail available. Additional works around adherence to network security standards and further device configs. are required and this work requires budget approval and prioritisation. Position (February 2014) Achieved PSN accreditation for WBC and TRDC in early Dec 2013. Change control procedures are in place. External facing devices are certified at EAL4 under the Common Criteria for Information Technology Security Evaluation (ISO/IEC 15408). Further works are awaiting budget approval. Position (May 2014)				

Network Infrastructure 2009/10							
Final report issued October 2010							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Awaiting budget approval Position (August 2014) Budget approved. Work currently being scoped. Position (October 2014) Not yet due. Included within ModerniseIT Infrastructure Improvement programme. Position (February 2015) Not yet due Position (May 2015) IT is under review, revised timescales will be communicated at the next audit committee. 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.**				

Audit Plan 2010/11

IT Remote Working 2010/11							
Final report issued January 2012							
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; and • 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	Important	Government Code of Connection stipulates that they have only approved Blackberrys for use as mobile devices. There are currently more critical priorities to address within ICT and this is where the focus will lie. The implementation of a Blackberry Enterprise Server will address the above recommendation and will be identified as a future project for the ICT Service. Position (August 2012) Due to the large resource and investment required with this, it will be assigned a priority once the future of the ICT Shared Service is known. Position (October 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting. Position (January 2013) Mobile telephony is outside the proposal. Implementation of a Blackberry solution which can provide all of these requirements has been included as part of 13/14 project requirement and will be discussed during transformation. Category 4 Position (May 2013)	ICT Client Manager	March 2013	✗ (part met)	March 2014 31 December 2015 **N/A**

IT Remote Working 2010/11

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	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		As above (recommendation 05) Position (August 2013) Recommendation not yet due for completion. It should be noted that the PSN compliance requirements will impact the solution to this recommendation. Position (October 2013) As part of PSN compliance no removable media devices will be written to without controls in place. USB drives will be locked down using group policy to only allow USB keys that are encrypted and have been issued by ICT. No member of staff will be able to write to a CD, this request will be dealt with by ICT, in order for the data on the CD to be encrypted. This is achieved by group policy settings. In relation to mobile phones any device using pop3, which means a non-encrypted transfer of data is allowed will be unable to access Council data in this way. IMAP instead will be in place, which is an encrypted method of transferring data. There will still be an issue of mobile phones having calendar and some email data (depending on the users use) on the device. This will need to be managed with a separate project which will need a budget and priority. It should be noted, no PSN emails can be accessed using this method and no PSN emails can be forwarded to non-PSN accounts.				

	IT Remote Working 2010/11							
	Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (February 2014) Already requested that this deadline is moved to Dec 2015, in line with PSN requirements to manage data on mobile devices. Position (May 2014) Recommendation not yet due for implementation. Position (August 2014) Not yet due Position (October 2014) Not yet due Position (February 2015) Not yet due Position (May 2015) Not yet due Position (August 2015) Within the Modernise IT infrastructure improvement programme this work to protect all mobile devices is within "Mobile User Management". 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.**				

Audit Plan 2011/12

IT Project Management 2011/12

Final report issued November 2011

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 (August 2012) This has not progressed due to resource constraints caused by work on the ICT Outsourcing Position (October 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. The decision to outsource will have a large impact on the strategy. Position (January 2013) Capita can help with advice on this but the responsibility for this lies with the ICT Client Manager roles which are currently being advertised at both councils (Category 1) Position (May 2013) ICT Client Managers have now been appointed. Due to the high workload during transition to Capita the revised deadline has been amended. Position (August 2013) No change to above. Terms of reference for the IT Steering group have been amended to reflect the requirement for the development of an ICT strategy.	Head of ICT / ICT Client Manager	October 2012	✗	May 2013 Sept 2013 May 2014 Sept 2014 Feb 2015 June 2015 Dec 2015 **N/A**

	IT Project Management 2011/12							
	Final report issued November 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (October 2013) No change to the August update Position (February 2014) No change to October update. Position (May 2014) Underway. Terms of Reference have been agreed with the Council. Officers involved with interviews have been briefed and all interviews have been scheduled. Interviews span from middle of June to end of July and report is expected for review by end of August 2014. Position (August 2014) On track. Report to be completed by end of September. Position (October 2014) IT Strategy Report Completed. Requires sign off and agreed way forward from both Councils. Position (February 2015) IT Strategy Report Completed. Requires sign off and agreed way forward from both Councils. Revision of dates will fall in line with budget setting for Sept 2015. Position (May 2015) This has been delayed due to Officer resource required on both remediation and ModerniseIT.				

IT Project Management 2011/12

Final report issued November 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			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.**				

IT Back up and Disaster Recovery 2011/12

Final report issued December 2012

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 (January 2013) This work will be undertaken by Capita during transition and transformation. (Categories 2 and 3) Position (May 2013) As above, Capita will propose a full disaster recovery plan, post data-centre move (scheduled for Q4 2013). Position (August 2013) No change from May update. It should be noted that as part of the IT contract Capita will work with the Councils to define and implement a back-up strategy and policy. This includes working with business services to define appropriate frequency of backups with RPO's where appropriate of 30 minutes. Data centre move design has commenced and a	ICT Client Manager	May 2013	✗ In progress	May 2014 Sept 2014 Oct 2014 Feb 2015 TBC **N/A**

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			risk assessment will be included within this planning. Position (October 2013) No change to the August update Position (February 2014) This is being progressed through the data centre migration project. There is a backup workstream within this project which is currently assessing all backups. Note the revised data centre migration is end of June 2014. This allows for critical Council business, year end, elections, and IER go live and was agreed at 10th Dec – ITSG. Position (May 2014) In progress. Backup solution architect is currently assessing ability to recover. This is all feeding into the data centre migration project. IER dates have changed to mid-end of June and the data centre migration move will be adjusted to accommodate that. Position (August 2014) Revised backup solutions documented and are currently being costed by Capita ready for implementation in line with the data centre migration. Backup solution implementation target was mid Sept, and has been revised to end of Oct 2014. Position (October 2014) As above. DC move timeframe extended to				

IT Back up and Disaster Recovery 2011/12

Final report issued December 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			migrate services/hardware from mid Dec 2014 to end of Jan 2015. Position (February 2015) DC Migration delayed indefinitely. DR planning moved to Account Recovery works. Position (May 2015) DR audit completed, DR test plan and DR plan drafted. Dependencies to complete this fully relate to ModIT and remediation and therefore the timeframe needs to be confirmed. 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.**				
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 (January 2013) A DR test is being planned before the service is transferred to Capita are expected to continue this into the future. (Category 1) Position (May 2013) Due to extensive workload in the run-up to service commencement, a "dry run" of the existing Disaster Recovery plan has not been carried out. However, existing arrangements with both of our continuity providers have	ICT Client Manager	March 2013	✗ (part met)	May 2014 June 2014 Dec 2014 Feb 2015 TBC **N/A**

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			been amended and re-signed for a period of one year. Before the expiry of these agreements, Capita will have their own DR plan in place (post data centre move).				
			Position (August 2013) Data centre move design planning has commenced. It has been agreed that revised BC/DR plans will be created in parallel with the data centre move itself. As part of the Capita contract Councils can ask for ad-hoc restores of random files to verify effective backups. This quality check is the responsibility of ICT client managers and is an aspect of monthly service delivery meetings.				
			Position (October 2013) No change to the August update.				
			Position (February 2014) In progress. Engagement with existing DR vendors has taken place, as well as a review of service continuity plans. DR test will take place prior to the data centre move at the end of June 2014. Position (May 2014) In progress. DR test to be scheduled in line with data centre migration plans.				
			Position (August 2014) Data Centre Migration scope has expanded to include additional works to de-risk "Lift and shift" of W3R equipment. For example where				

| | IT Back up and Disaster Recovery 2011/12 | | | | | | | |
| | **Final report issued December 2012** | | | | | | | |
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			there is aged equipment e.g. file and print server for Watford, this data will be transferred to the new SAN (Storage Area Network) prior to the move itself. This has therefore contributed to the movement of the Data Centre migration deadlines. Position (October 2014) As above. DC move timeframe extended to migrate services/hardware from mid Dec 2014 to end of Jan 2015. Position (February 2015) DC Migration delayed indefinitely. DR planning moved to Account Recovery works. Position (May 2015) DR audit completed, DR test plan and DR plan drafted. Equipment lists for both Councils have been updated for both Phoenix and ADAM R contracts. Dependencies to complete this relate to ModIT and remediation and therefore the timeframe needs to be confirmed. Position (August 2015) See section 2.5.2 of the SIAS Update Report. **Position (November 2015)** **See comment in section 2.5.2 of the main SIAS Update Report.**				

Audit Plan 2012/13

Server Virtualisation (ICT) 2012/13							
Final report issued December 2012							
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	The Council is waiting for Capita to respond with their view on outstanding settings. They are planning to virtualise the remainder of servers and move them up to their own data centre within the first year of the contract, which should go live in May 2013.

Position (January 2013)
Capita will be moving all servers to their data Centre in Chippenham by December 2013 with new hardware and vmware installations. This recommendation will be incorporated into the design of this implementation. (Category 3)

Position (May 2013)
The above position has been endorsed and supported by the ICT Client Management Team.

Position (August 2013)
Data centre design has commenced. Within the design itself all 'vmware' environments will be reviewed and aligned with best practice standards.

Position (October 2013)
No change to the August update.

Position (February 2014) | ICT Client Manager | November 2013 | ✗ (part met) | Dec 2013

May 2014

Sept 2014

Nov 2014

Feb 2015

TBC

N/A |

Server Virtualisation (ICT) 2012/13

Final report issued December 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			VMWare design document completed and signed off. This doc includes a review of all current virtual servers. Awaiting implementation in line with data centre migration. Position (May 2014) Servers currently being re-configured in line with design documentation. This is a prerequisite for the data centre migration. E.g. single fibre paths being replaced with dual fibre paths, thereby increasing resilience. Position (August 2014) This is progressing as per the update above. Data Centre Migration scope has expanded to include additional works to de-risk "Lift and shift" of W3R equipment. Position (October 2014) As above. DC move timeframe extended to migrate services/hardware from mid Dec 2014 to end of Jan 2015. Position (February 2015) No progress Position (May 2015) No progress. IT is under review, revised timescales will be communicated at the next audit committee. Position (August 2015)				

Server Virtualisation (ICT) 2012/13							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			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.**				

APPENDIX 7

Audit Plan 2013/14

Counter Fraud Arrangements in the Shared Service Benefit Fraud Team 2013/14							
Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	The Benefits Fraud Shared Service should produce an annual work plan outlining proactive work and resource allocation.	Merits Attention	Agree to the principle providing we maintain the ability to flex given fraud referrals/risks are not provided in advance indicating where exact resources should be made available. A review of current risk assessments would be required in order to allow the allocation of a plan of proactive work. Proposals and timetable to be agreed with Director of Finance. Target date set is to agree proposals. Position (May 2014) Not yet due	Fraud Manager	1 June 2014	✗	Dec 2014 Dec 2015

Counter Fraud Arrangements in the Shared Service Benefit Fraud Team 2013/14

Final report issued February 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (August 2014) The fraud service with Sfis scheduled for 2015 has lost 2 members of staff. It is currently exploring options. Until this position is agreed no changes are appropriate as it would take resources away from reactive referrals. Matter to be agreed by Jo Wagstaffe. **Position (October 2014)** Not yet due **Position (February 2015)** The position remains the same. Whilst we have a significant reduction in staff we cannot allocate resources to additional proactive work. This will change in Dec 2015 when some HB transfers to SFIS. **Position (May 2015)** The position remains the same as in February 2015. We have meetings scheduled in June to discuss post SFIS and the allocation of work will be discussed and agreed. **Position (August 2015)** The target date has not fallen due yet and the housing benefit ONLY investigations will transfer to SFIS in December. We will incorporate these recommendations into the business plan we will produce. **Position (November 2015)**				

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✔	Revised Deadline
			Same position as above, Housing benefit due to transfer Dec 15 and proposed changes will incorporate a work plan on proactive exercises. Awaiting confirmation of changes from MB and transfer of HB before workplan commences which will be for 16/17.				
02	Going forwards in 2014/15 the Benefits Fraud Shared Service should consider undertaking a proactive intervention exercise to identify and investigate relief claims and empty properties. This should be considered in the context of the financial incentive introduced by the business rates retention scheme.	Medium	Agreed. Target date is to agree proposals for training. This is an area not previously investigated and is highlighted as a major risk by the Audit Commission report 2013. Position (May 2014) Not yet due Position (August 2014) The fraud service with Sfis scheduled for 2015 will potentially lost 2 members of staff. It is currently exploring options including exercises appropriate to identify empty properties and NNDR avoidance. Until this position is agreed no changes are appropriate as it would take resources away from reactive referrals. Position (October 2014) Not yet due Position (February 2015) The position remains the same. Whilst we have a significant reduction in staff we cannot allocate resources to additional proactive work. This will change in Dec 2015 when	Fraud Manager	1 June 2014	✘	Dec 2014 Dec 2015

Counter Fraud Arrangements in the Shared Service Benefit Fraud Team 2013/14

Final report issued February 2014

	Counter Fraud Arrangements in the Shared Service Benefit Fraud Team 2013/14							
	Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			some HB transfers to SFIS. Some reactive enquiries are ongoing however.				
			Position (May 2015) The position remains the same as in February 2015. We have meetings scheduled in June to discuss post SFIS and the allocation of work will be discussed and agreed. Some reactive work however has been completed in this area.				
			Position (August 2015) The target date has not fallen due yet and the housing benefit ONLY investigations will transfer to SFIS in December. We will incorporate these recommendations into the business plan we will produce.				
			Position (November 2015) Same position as above, Housing benefit due to transfer Dec 15 and proposed changes will incorporate a work plan on proactive exercises. Awaiting confirmation of changes from MB and transfer of HB before workplan commences which will be for 16/17.				
03	The Benefits Fraud Shared Service should consider undertaking a proactive intervention exercise to investigate Single Person Discount cases.	Merits Attention	Agreed. Target date is to agree proposals as above. Previously only facilitated data matching. Managing whole process may provide resources to be able to accurately determine discounts allocated.	Fraud Manager	1 June 2014	✖	Dec 2014 Apr 2015 Dec 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (May 2014) Not yet due Position (August 2014) We have data from NFI to explore with Revs and Bens – this is proactive in addition to matching that takes place with County. It is yet to be assessed? Position (October 2014) Not yet due Position (February 2015) SPD data should be received back from exercise in March 2015. Position (May 2015) The position remains the same as in February 2015. We have meetings scheduled in June to discuss post SFIS and the allocation of work will be discussed and agreed. NFI outcome are being referred now for enquiries. Position (August 2015) The target date has not fallen due yet and the housing benefit ONLY investigations will transfer to SFIS in December. We will incorporate these recommendations into the business plan we will produce.				

Counter Fraud Arrangements in the Shared Service Benefit Fraud Team 2013/14

Final report issued February 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (November 2015) **Same position as above, Housing benefit due to transfer Dec 15 and proposed changes will incorporate a work plan on proactive exercises. Awaiting confirmation of changes from MB and transfer of HB before workplan commences which will be for 16/17.**				

Main Accounting 2013/14

Final report issued April 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	Access rights of general users to e-Financials / general ledger, as well as those with enhanced administrator rights, should be reviewed on a regular basis, e.g. annually. This control procedure should be evidenced, either through an electronic audit trail on e-Fin, or confirmed by a senior officer for review purposes.	Medium	Not considered a significant risk. Only Finance staff are able to make changes to data / records. No new Finance staff set-up since the last reviews. A review of access rights will be undertaken. Position (May 2014) Not yet due Position (August 2014) Not yet done will be completed by End of December 2014 together with a review approval levels. Position (October 2014) Not yet due	Tracy Langley – Senior Finance Officer	30 September 2014	✓	31 December 2014 30 June 2015 30 Sept 2015 **30 November 2015**

Main Accounting 2013/14

Final report issued April 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (February 2015) Not yet done – Due to year end revised deadline June 2015. Position (May 2015) Commenced but not completed. Position (August 2015) In progress. **Position (November 2015)** **Sufficient controls are now in place**				

Cyber Risk 2013/14

Final report issued June 2014

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: a) Consider all possible media for data loss and risk assess the various options.	High	a) Encrypted media devices are in the process of being deployed, however the aged desktop estate restricts a technical ability to "use" to Council devices only. This requirement to restrict will be included within the "IT Improvement Roadmap". Position (August 2014) a) Not yet due	Emma Tiernan – ICT Section Head	30 June 2015	✗	TBC **N/A**

Cyber Risk 2013/14							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			Position (October 2014) Part A - Not yet due. This is within scope of ModerniseIT. Position (February 2015) a) Still in progress – encrypted usb keys currently being deployed. Position (May 2015) IT is under review, revised timescales will be communicated at the next audit committee. There is a key dependency here related to the deployment of Windows 7 desktops which is within the ModIT programme. 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.**				
09	There should be formal, scheduled review and testing of the Disaster Recovery Plan on a periodic basis.	Medium	In progress. Agreed as an outcome and deliverable of the data centre migration. Position – August 2014 Not yet due Position (October 2014) Deadline revised in line with DC move.	Emma Tiernan – ICT Section Head	31 December 2014	✖	Feb 2015 Jun 2015 TBC **N/A**

Cyber Risk 2013/14

Final report issued June 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (February 2015) No progress – moved into recovery. Position (May 2015) DR audit completed, DR test plan and DR plan drafted. Equipment lists for both Councils have been updated for both Phoenix and ADAM R contracts. Dependencies to complete this relate to ModIT and remediation and therefore the timeframe needs to be confirmed. 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.**				

Health & Safety 2013/14

Final report issued June 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline

Health & Safety 2013/14

Final report issued June 2014

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 started Position (October 2014) Not yet due Position (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.**	Tracey Field (Asset and Property Manager)	1 December 2014	✗	April 2015 (staff resource limits more timely completion) 30 June 2015 31 Dec 2015

Audit Plan 2014/15

Debtors 2014/15							
Final report issued December 2014							
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	Medium	Head of Service and Revenues Manager are currently looking at staffing structure to streamline processes. Position (February 2015) Ongoing Position (May 2015) Ongoing	Revenues Manager	31 March 2015	✗	31 May 2015 30 September 2015 31 January 2016

Debtors 2014/15

Final report issued December 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	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.		Position (August 2015) Restructure will now not take place until January, 20161 **Position (November 2015) Restructure will now not take place until early 2016 and with another member of staff due to return from maternity leave.**				**29 February 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) Ongoing Position (May 2015) Ongoing Position (August 2015) Ongoing **Position (November 2015) Restructure will now not take place until early 2016 and with another member of staff due to return from maternity.**	Revenues Manager	31 January 2015	✗	31 May 2015 30 September 2015 30 November 2015 **29 February 2016**

Debtors 2014/15

Final report issued December 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline

Tree Surveying 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	The Council should develop and introduce a Tree Management Strategy setting out the aims and objectives of the service together with the Council's responsibilities. The Strategy should cover how the tree stock is risk assessed thereby determining the frequency and intensity of inspections. Other councils should be consulted to obtain guidance and best practice models from existing strategies or policies. The Tree Management Strategy, once introduced, should be subject to periodic e.g. annual review and updating where necessary.	Medium	Agreed. Position (February 2015) Officer focus has been on implementing survey work using Eezytreev. Officers have visited the tree team at Dacorum to explore how they approach tree survey using Eezytreev. Position (May 2015) Not yet due Position (August 2015) Tree Management Strategy and covering report currently being drafted. Extensive delays due to incompatibility of Eezytreev systems with outdated TRDC IT systems. Report due to be reported to Leisure, Wellbeing and Health Committee on 16/09/15. **Position (November 2015)** **Draft Tree Management Strategy went to**	Principal Landscape Officer	End July 2015	✓	30 Sept 2015

Tree Surveying 2014/15							
Final report issued January 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
			Leisure, Wellbing and Health Committee on 16/09/15 and has been agreed.				
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.**	Landscape Officer (North) and Landscape Officer (South)	End March 2018*	✘	
03	The Council should define parameters for the categorisation of the tree stock into high, medium and low risk, taking into consideration location, type and condition of trees. A targeted programme of tree	Medium	Agreed. Position (February 2015) This is due to be completed in parallel to the drafting of the Tree Management Strategy. Position (May 2015)	Principal Landscape Officer	End July 2015	✓	30 Sept 2015

Tree Surveying 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	surveys should be initiated in accordance with the results of the risk assessment.		Not yet due Position (August 2015) Tree Management Strategy will define this. Being reported on 16/09/15. **Position (November 2015)** **Tree Management strategy has confirmed the basis and frequency on which tree survey will take place.**				

IT Change Management 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	(b) 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	Accepted Position (February 2015) Not due Position (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.	ICT Client Section Head & Capita Account Director	30 June 2015	✗ (part)	30 Sept 2015 **N/A**

IT Change Management 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			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.**				
02	(b) 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	Accepted Position (February 2015) Not due Position (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 SIAS Update Report. **Position (November 2015)** **See comment in section 2.5.2 of the main SIAS Update Report.**	ICT Client Section Head & Capita Account Director	30 June 2015	✗	30 Sep 2015 **N/A**
03	We recommend that the test plans and respective results are fully detailed and documented for each	Medium	Accepted Position (February 2015)	ICT Client Section Head & Capita	30 June 2015	✗	30 Sep 2015

IT Change Management 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	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.		Not due Position (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.**	Account Director			**N/A**

NDR 2014/15

Final report issued January 2015

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.	Revenues Manager	31 July 2015	✗	30 September 2015 30 November 2015 **31 March 2016**

NDR 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (February 2015) Yet to start awaiting Tablet / Module – Meeting arranged with Capita on 240315 re implementation. Position (May 2015) Not yet due Position (August 2015) The migration to Server 2008 should have occurred on 25 July but did not happen as testing showed that the server and systems had not been properly configured by Capita. The next available date for the migration is the 22 August. This module cannot be implemented until we are on the new server and on the right version of Academy. Position (September 2015) Migration has still not taken place. **Position (November 2015)** **Due to ongoing IT upgrades this has slipped further down list given major configuration within Academy and yet to decide on either tablet / iPad.**				
06	Management should undertake periodic checks of a sample of debts on-hold to ensure decisions being made by officers are valid and appropriate.	Medium	Spreadsheet created for Senior Officers to cursory check 3 Reminder, Final Notice and Summons suppressions. Position (February 2015)	Revenues Manager	1 April 2015	✓	30 Sep 2015 31 October 2015

NDR 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			To start 01/04/15 Position (May 2015) Ongoing Position (August 2015) Started in August hence only 1 month in. **Position (November 2015)** **3 months now spot checked, i.e., Aug / Sept / Oct.**				
07	Management should undertake periodic checks of a sample of special payment arrangements to ensure decisions being made by officers are valid and proportionate.	Medium	Recovery Team Leader to review Arrangements monthly. Revenues Manager to look into Arrangement Manager module that is currently available within Academy. Position (February 2015) To start 30/04/15 Position (May 2015) Awaiting 2008 upgrade to Academy. Position (August 2015) Awaiting 2008 upgrade to Academy **Position (November 2015)** **Monthly arrears spread sheet now in use and targeted by NNDR Recovery Officer.**	Recovery Team Leader / Revenues Manager	30 April 2015	✓	31 Jul 2015 30 November 2015

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 due Position (May 2015) Not yet due Position (August 2015) Not anticipated to start until the end of the year at the earliest due to staff resources. Other day to day requirements currently taking priority. **Position (November 2015)**	Asset & Property Manager	31 March 2016	✗	

Asset Management 2014/15

Final report issued February 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			New surveyor will be undertaking this once in post from Nov 9th.				
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. | Asset & Property Manager | 30 September 2015 | ✗ | 30 April 2016 |

Enforcement 2014/15

Final report issued March 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	<u>Licensing and Environmental Services</u> 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	<u>Licensing</u> Licensing has recently been subject to several reviews, which identified the lack of documentation. Procedure notes were produced as a result of this and standard letter templates are due to be compiled. Position (May 2015) Not yet due Position (August 2015) Work is ongoing on standard letter templates. **Position (November 2015)** **Work is ongoing on standard letter templates.**	Team Leader – Projects & Compliance	31 March 2016	✗	

Enforcement 2014/15

Final report issued March 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			<u>Environmental Services</u> Agreed Position (May 2015) Not yet due Position (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.**	Environmental Enforcement Manager	30 June 2015	✗	31 December 2015
02	<u>Licensing</u> 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	<u>Licensing</u> 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	Team Leader – Projects & Compliance	31 March 2016	✗	

Enforcement 2014/15							
Final report issued March 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
			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.**				
03	<u>Licensing</u> Documents should be retained in accordance with local policies and statutory requirements.	Medium	<u>Licensing</u> Enforcement records will be kept on the new case management system, with paper records kept only where necessary. The procedure notes will include a timescale for the destruction of records in line with legal requirements. Position (May 2015) Not yet due Position (August 2015) Documents are now filed and retained in line with requirements. Documents will be stored on the case management system when it is implemented. **Position (November 2015)** **As above.**	Team Leader – Projects & Compliance	31 March 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.**	Benefits Manager	31 May 2015	✗	30 June 2015 31 October 2015 **30 November 2015**
05	In order to ensure accurate and robust recording of quality checks undertaken, consideration should be given to raising the priority level for the introduction of the QA module within the Academy system. Once set up, this will enable targeted checks to be undertaken and documented, with multiple sampling categories as well as allowing for the identification and monitoring of new	Merits Attention	The Academy QA system has been reloaded into a test system and we are currently working with IT and Capita CSS to get the module working. Whilst this is being worked on, we continue to carry out accuracy checks and complete a pro-forma with details of any error found and actions that need to be taken to correct the error and by whom etc. Whilst these are paper forms, they are held by the QA Team Leader and available for internal or external audit to view as well as Housing Benefit Team Leaders.	Benefits Manager	31 May 2015	✓	30 June 2015 31 October 2015

	or temporary staff who are more likely to make errors.		Position (May 2015) Date moved Position (August 2015) This was fixed on the 25/7 but failed again on the 27/7 and fixed again on 30/7. Until we have QA working for at least a month I would say it is not resolved. It is evident that the QA issue is linked to thin client problems. **Position (November 2015) The QA system is now working and samples of work to be checked are being selected each day with the results being fed back into the system. The system has been working for 2 weeks. We will be able to show auditors the process during the audit that is due to commence at the beginning of December 2015.**					
06	In order to ensure compliance with the Data Protection Act (DPA), the Council should ensure that as a matter of urgency, the historical data stored within Anite is cleared. Going forward, the Council should ensure that there are arrangements in place to clear old data on an annual basis to ensure ongoing compliance with the DPA.	Medium	Awaiting Anite upgrade. Position (May 2015) Not yet due Position (August 2015) The Anite upgrade that will allow archiving of old data was scheduled for 1/8. Although Northgate have completed their work, Capita have not linked Anite to Office of Outlook so we cannot go line on 1/8. This has been moved from 8/8 to 12/9. If this is successful, it will take a further 8-10 weeks to restructure the database and then archiving can happen.	Benefits Manager	30 June 2015	✗	31 December 2015

Benefits 2014/15

Final report issued April 2015

			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.**				

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	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.	Head of Major Projects	30 June 2015	✗	Ongoing and to be reviewed 31 March 2016

South Oxhey Initiative 2014/15							
Final report issued April 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	• 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.		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.**				
02	Officers should examine consultancy appointments related to the South Oxhey Initiative project and ensure that those in excess of the EU Thresholds or which are likely to exceed these during the course of the project, have been made in compliance with the relevant legislation. Further, confirmation should be sought that where appointments	Medium	Recommendation accepted. The management of the project has changed since the appointment of Clarke Willmott and processes & record keeping are substantially improved. The new and upcoming legal workstreams involving the implementation of a CPO and delivery of VP will be re-procured. Position (May 2015) Not yet due	Head of Major Projects	31 December 2015	✓	

South Oxhey Initiative 2014/15

Final report issued April 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	have been extended in scope or value, that this has been carried out in accordance with the Council's own Contract Procedure Rules. If the appointments are found not to be compliant, senior management should consider the implications of this and the potential for re-procuring services at a suitable stage in the project. Contracts of appointment should be drawn up for all consultancy appointments of £25,000 or greater, as required by the Council's Contract Procedure Rules.		Position (August 2015) Both the legal services and property advice work streams, in respect of the CPO, have been re-procured in accordance with the Council's rules. **Position (November 2015)** **Consultants appointed in accordance with procedures. Matter resolved, no further action required.**				

Disaster Recovery 2014/15

Final report issued June 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	• The Councils should take priority to ensure the kit lists for both the Councils are updated and fit for purpose, this is to be shared with Capita who are responsible for handling the 3rd party contracts for Disaster Recovery.	High	Recommendation accepted. Position (August 2015) See section 2.5.2 of the main SIAS Update Report. **Position (November 2015)**	Capita Account Director	31 August 2015	✗	**N/A**

Disaster Recovery 2014/15							
Final report issued June 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
	See comment in section 2.5.2 of the main SIAS Update Report.						
	• 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.						
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	High	Recommendation accepted. Position (August 2015) See section 2.5.2 of the main SIAS Update Report.	Capita Account Director / ICT Section Head	31 August 2015	✖	**N/A**

Disaster Recovery 2014/15

Final report issued June 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	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.		**Position (November 2015)** **See comment in section 2.5.2 of the main SIAS Update Report.**				
03	• Talks surrounding the use of a data centre should be progressed.	Medium	Recommendation accepted.	Capita Account Director	31 August 2015	✗	**N/A**

Disaster Recovery 2014/15

Final report issued June 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved × or ✓	Revised Deadline
	• 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.		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.**				

IT Operations & Contract Management 2014/15

Final report issued June 2015

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	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.**	Capita Account Director	30 September 2015	×	**N/A**

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Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	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.						
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	High	Recommendation accepted. Position (August 2015) See section 2.5.2 of the main SIAS Update Report. **Position (November 2015)**	ICT Section Head	31 August 2015	✗	**N/A**

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Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	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.		**See comment in section 2.5.2 of the main SIAS Update Report.**				
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	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.**	Capita Account Director	31 December 2015	✗	**N/A**

IT Operations & Contract Management 2014/15							
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Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	any outstanding issues and progress made on historical incidents.						

Audit Plan 2015/16

Diesel Usage 2015/16							
Final report issued June 2015							
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 Committee Position (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.**	Chief Environmental Services Manager	31 October 2015 (to be considered at budget setting)	✗	31 March 2016

Freedom of Information 2015/16

Final report issued August 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that the Emergency Planning and Risk Manager reminds services to provide information on time to ensure that the Council can respond to the FOI requests within the 20 day time limit. We also recommend that performance against the 20 day statutory time limit for processing FOI requests is reported to Management Board.	Merits Attention	Agreed Position (August 2015) On target **Position (November 2015)** **Managers have been reminded that they have a duty to provide information within the 20 day statutory timescale. Performance monitoring has been added to the quarterly report to Management Board.**	Emergency Planning & Risk Manager	31 October 2015	✓	

ASB & Safeguarding 2015/16

Final report issued August 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that the Policy is reviewed and updated to ensure it reflects developments in ASB practise and is also consistent with all other ASB documents on the TRDC website. The Policy should carry an issue / revision date.	Merits Attention	Agreed Position (August 2015) On target **Position (November 2015)** **On target**	Community Safety Intervention Officer	31 March 2016	✗	

ASB & Safeguarding 2015/16

Final report issued August 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
02	We recommend that the organisation of the ASB documents on the TRDC website be reviewed to ensure that they are sufficiently well 'signposted' and linked.	Merits Attention	Agreed Position (August 2015) On target **Position (November 2015)** **On target**	Community Safety Intervention Officer	31 March 2016	✖	
03	We recommend that the safeguarding training record be regularly reviewed to ensure that it is complete, accurate and up to date, so as to assist management to determine current and future safeguarding training needs.	Merits Attention	Agreed Position (August 2015) On target **Position (November 2015)** **On target**	Head of Community Partnerships / Learning & Development Coordinator	31 March 2016	✖	

Data Protection 2015/16

Final report issued September 2015

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	Agreed **Position (November 2015)** **This has been scheduled for March each year, so that relevant information can be cascaded to staff via the PDR process.**	Emergency Planning & Risk Manager	31 March 2016	✖	