

Three Rivers District Council
Internal Audit Recommendations Log for 27 September 2018 Audit Committee

Appendix 4

Outstanding Recommendations from the 2015/16 Audit Plan

Contract Management 2015/16							
Final report issued January 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>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.</p> <p>A review of risks should form part of contract monitoring activity.</p>	Medium	<p>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.</p> <p>Position (February 2016) Not yet due</p> <p>Position (June 2016) CMF Steering Group has agreed a training session (scheduled for 19 July) on managing contract risk. This will cover managing risk, the risk register, and will agree a risk register template to provide consistency.</p> <p>Position (July 2016) As above - training session on contract risk still scheduled for 19 July 2016.</p> <p>Position (September 2016) CMF training session on managing contract risk held on 19th July. It covered managing risk and the risk register and discussed a risk register template particularly for smaller</p>	Emergency Planning and Risk Management Manager	31 May 2016	*	<p>31 July 2016</p> <p>30 November 2016</p> <p>30 June 2017</p> <p>31 August 2017</p> <p>1 Sept 2018</p>

Contract Management 2015/16

Final report issued January 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>projects. A further session is planned towards the end of September 2016. The aim of that session is to set objectives and actions to provide a guidance note, process and recording format to identify and manage risk.</p> <p>Position (November 2016) We have made significant progress and thanks to Rona and Mira's dedication and the commitment of a core of CMF members we now have a draft guidance and risk log ready to put into the test and implementation stage. The update on this work including implementation plans will be discussed at the 3rd November Steering Group at which Rona will provide the draft documentation and details of the timetable – we will be asking Three Rivers colleagues to amend and tailor the documentation to reflect their corporate risk scoring approach which is different from Watford's. Mira's involvement with this project has meant that the documentation aligns with the Watford Project Management documentation and is therefore ensuring we are complimenting existing processes in Watford.</p> <p>Position (March 2017) The template and guidance documents will be reviewed at the meeting of the TRDC Risk Management Group on 4 April 2017 and subject to agreement, workshops for staff will be arranged over the next 2 months.</p> <p>Position (June 2017) Workshops with staff have been arranged with all departments in July and August 2017.</p> <p>Position (September 2017) No update received.</p>				

Contract Management 2015/16

Final report issued January 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position (November 2017) No update received.</p> <p>Position (February 2018) No update received.</p> <p>Position (July 2018) The Council's Officer Risk Management Group are reviewing the Council's Risk Management Strategy and templates/forms for documenting risks. It is envisaged that the revised RM Strategy will be completed in time for the September 2018 meeting of the Audit Committee.</p> <p>Position (September 2018) The revised Risk Management Strategy is included on the agenda for the Audit Committee on 27 September 2018 and assuming the new strategy is approved, this audit recommendation will be completed.</p>				

Outstanding Recommendations from the 2016/17 Audit Plan

Contract Management 2016/17 Final report issued March 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that, for each of the four contracts / suppliers selected for testing, there is an examination of the need (as applicable):</p> <p>a) For a formal contract or whether existing arrangements are sufficient for legal and contract management purposes,</p> <p>b) To locate relevant contract documentation where it may exist, and whether any resource expended on this is necessary, or</p> <p>c) To complete and sign any contract documents already in place or whether existing arrangements are sufficient for legal and contract management purposes.</p> <p>d) To re-procure the services to test the market, ensure proper process and provide full documentation with clear specifications to enable formal signed contracts to be put in place.</p> <p>It is recommended that this is done in</p>	Medium	<p><u>Capital Constructions, Right Maintenance and Orion Heating:</u></p> <p>At present for all non-reactive works over £5K, the service is obtaining 3 quotes before the work is commissioned.</p> <p>We agree that a framework or formal agreement should be in place for planned and reactive works and this will require a detailed specification. At present the team is hugely under resourced and this will be a complicated and time consuming specification to produce hence the long target date.</p> <p>The Property Services Team work in accordance with the specification for the PPM contract agreed for each site. Any Contract would be held with Legal.</p> <p><u>Canon:</u> The Contract Manager has checked with Legal service and they are happy for the contract to continue within the current arrangements. The contract is coming up for renewal in March 2018 and the Contract Manager will ensure that a signed contract with the new supplier will be maintained.</p> <p>Position (June 2017) Property Services aim to review working</p>	Head of Property	31 December 2017	*	<p>31 March 2018</p> <p>31 December 2018</p>

Contract Management 2016/17

Final report issued March 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	conjunction with Legal, the Procurement Manager and the relevant contract owner / manager.		<p>arrangements for all Contractor by the end of December. 3 quotes are still obtained for works under £500 to ensure a competitive price is achieved. Works over £5000 will go out to a competitive tender.</p> <p>Position (September 2017) December deadline still stands for the review.</p> <p>Position (November 2017) The team remains hugely under resourced and do not have the capacity to carry out the work to create the specification required. The Head of Property and Major projects has agreed to appoint an external company to write this for us. Revised date 31 March 2018.</p> <p>Position (February 2018) Update to be given by the Head of Property at the meeting on 20 March.</p> <p>Position (July 2018) A specification of construction works is being written and is due to be complete by the end of 2018.</p> <p>Position (September 2018) In progress.</p>				
03	<p>We recommend that:</p> <p>a) Market testing and price benchmarking should be undertaken to confirm that rates / prices being charged are reasonable,</p> <p>b) If appropriate and contracts are put in place, consideration should be given to inclusion of a</p>	Medium	<p>As per recommendation 1 response.</p> <p>Non-reactive works over £5k are awarded after receiving three quotes. However, this will be reviewed as part of the specification.</p> <p>Position (June 2017) To be reviewed by December 2017.</p> <p>Position (September 2017) To be reviewed by December 2017.</p>	Facilities Manager	31 December 2017	*	<p>31 March 2018</p> <p>30 April 2019</p>

Contract Management 2016/17

Final report issued March 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	schedule of rates for the services procured by the authority from each of the suppliers.		<p>Position (November 2017) To be reviewed by December 2017. Please see comments at 01. This will be addressed once the specification has been written and the new contract is in place.</p> <p>Position (February 2018) Update to be given by the Head of Property at the meeting on 20 March.</p> <p>Position (July 2018) When the specification as above is complete the works will go to procurement.</p> <p>Position (September 2018) In progress.</p>				

Outstanding Recommendations from the 2017/18 Audit Plan

Follow up of legacy IT audit recommendations & Extended DR scope 2017/18							
Final report issued August 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
04	<p>The status of the rollout of the MDM solution to mobile devices should be reported on to senior management.</p> <p>Issues encountered should be assessed and appropriate action taken to prevent the rollout from being delayed.</p>	Medium	<p>Agreed - The MDM roll out will be monitored.</p> <p>Position (September 2017) As above – final report only recently issued.</p> <p>Position (November 2017) On track. Testing for MDM solution (Mobile Iron), procured earlier this year. This will be deployed as part of the Active Directory migration project and installed on all corporate mobile devices e.g. corporate mobile phones and surface pro devices. Laptops will be encrypted as part of the same process. Testing is already underway.</p> <p>Position (February 2018) On track. Installation and configuration complete. Pilot user rollout for testing to commenced Feb 2018.</p> <p>Position (July 2018) Rollout commenced in line with the active directory and exchange migration. 105 users with Mobile device management solution installed. Active Directory and Exchange migration scheduled to completed end of August 2018.</p> <p>Position (September 2018) MDM deployment has been rolled out to devices as users have been migrated to the</p>	ICT Section Head	30 June 2018	✓	31 August 2018

Follow up of legacy IT audit recommendations & Extended DR scope 2017/18

Final report issued August 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			new W3R domain as part of the core infrastructure transformation. Over 130 licences have been deployed.				

Cyber Security 2017/18

Final report issued September 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	<p>All devices that are running unsupported operating systems should be upgraded to run operating systems that are supported by the developer.</p> <p>Where it is not possible to upgrade the operating system of a device, it must be isolated from the Councils' IT network and appropriate security controls implemented.</p>	High	<p>Agreed – This will be discussed with the relevant IT system owners in order to agree the best way forward to migrate off of legacy operating systems.</p> <p>TRDC XP machines – down to: 2</p> <p>WBC XP machines – down to: 0</p> <p>Decommissioning is part of the core infrastructure programme. Since Jan 2017 67 servers have been decommissioned.</p> <p>Position (September 2017) As above – final report only recently issued.</p> <p>Position (November 2017) Significant progress. 96 servers have now been decommissioned. There are 45 remaining with an unsupported operating system installed. All servers have been reviewed and there is an associated plan in place to upgrade and/or decommission. The majority of these services have associated services or impact line of business applications, and need to be upgraded in line</p>	ICT Section Head	30 June 2018	*	<p>31 August 2018</p> <p>31 December 2018</p>

Cyber Security 2017/18

Final report issued September 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>with services.</p> <p>TRDC XP machine: 1. This is a system that provides telephone reports. The hardware and OS has been further secured, reducing the risk, by removing all Internet and Email access.</p> <p>Position (February 2018) On track. Further decommissioning / upgrades of servers completed.</p> <p>Position (July 2018) Through the life of the core infrastructure programme over 150 out of support servers have been decommissioned or upgraded.</p> <p>36 servers has been identified that will remain on an unsupported operating system for the next 6 months to a year, whilst the applications are replaced, upgraded.</p> <p>Plan to move 36 servers to a "walled garden" in place and specifics dependencies identified.</p> <p>PSN (Public Services Network) submission due end of August 2018.</p> <p>Position (September 2018) PSN public services submission completed on time. Awaiting outcome from Cabinet Office. Walled Garden migration underway. Delay to movement of servers has been down to legacy systems with little to no documentation. Internally we have therefore had to map all dependencies across these systems, which has taken additional time and resources.</p>				

Cyber Security 2017/18

Final report issued September 2017

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

Development Management 2017/18

Final report issued October 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that a comprehensive manual is produced that includes guidance on all four stages of the application process. The manual should be subject to review every two years, or in the event of significant changes.	Merits Attention	<p>We do have a number of existing manuals / practice notes covering different areas of the DM process. Due to the number of different types of applications we receive there are a number of different requirements so a comprehensive manual is a large document to bring together. In addition we need the support of our CSC as they are now responsible for many of the administrative / validation processes.</p> <p>I would suggest completion of a DM process manual that will cover the different parts of the DM process.</p> <p>Position (November 2017) No update for this committee as final report only recently issued.</p> <p>Position (February 2018) Added to DM E Planning projects list. Work has commenced on reviewing existing manuals in order to establish where amendments/updates required. Also beginning to establish where there are gaps in the process (i.e. where no manual currently exists to cover that part of the process).</p> <p>Position (July 2018) As above. In addition, imminent changes to groupshare folders and how we store documents will result</p>	Team Leader, Development Management	1 April 2018	*	4 October 2018 1 April 2019

Development Management 2017/18

Final report issued October 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>in further assessment and utilisation of existing DM manuals.</p> <p>Position (September 2018) Following appointment to two vacant planning officer posts and completion of work towards other priorities ie GDPR, Officers are now able to turn increased focus to the formulation of a procedure manual. Officers have been reviewing the existing manuals which are held by both CSC and DM and cover the varying aspects of the Development Management process from receipt to decision. A working party has been set up to progress this project further. The intention is that Officers will produce an overarching contents sheet to list all aspects of the process with reference to a corresponding manual. As part of the project Officers are also looking to review processes and move towards more electronic working and the procedure manuals will be updated to reflect this.</p>				

Creditors 2017/18

Final report issued April 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	We recommend that Finance ensure that where adjustments are made to the cost code, adequate explanation is included.	Medium	<p>Agreed. I will look into this to establish what the Finance system can do for us.</p> <p>Position (July 2018)</p>	Senior Finance Officer	1 May 2018	✓	1 Sept 2018

Creditors 2017/18

Final report issued April 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	We also recommend that consideration is given to running and checking duplicate payment reports to determine the scale of duplications and the number of credit notes raised and reasons.		We now have duplicate payments reports designed and run and will be looking at the data next week. We will be running for the last three years. I will incorporate into a quarterly process so that we are always checking.				

CIL 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	Whilst there was no evidence to suggest that the current system does not work, consideration should be given to using Exacom to set reminder dates. This will ensure a more automated system. Reports can also be run on this data, for example to assess resources required in the next few months.		Additional training for CIL Officer to be undertaken to ensure that the Exacom system automatically sets reminder dates. Position (July 2018) CIL Officer attending the CIL Masterclass Training 4 July 2018 Additional training to be organised by the end of the year. Position (September 2018) Additional training to be organised by the end of the year.	Head of Planning Policy & Projects	30 June 2018	Partially	31 December 2018

CSC (Planning) 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
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CSC (Planning) 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend the following improvements to quality checking systems over the processing of planning applications:</p> <p>(a) Management should carry out reviews to ensure that quality checks are undertaken and remind senior officers that these checks need to be carried out in a timely manner.</p> <p>(b) A section should be included in the CSC Procedure Manual concerning quality checking arrangements carried out by the CSC.</p> <p>(c) Performance targets should be set regarding the percentage of cases that should be quality checked.</p> <p>(d) Performance information should be reported to senior officers in the CSC and Development Management.</p> <p>(e) The timescale for processing planning applications should be detailed in the CSC Procedure Manual.</p>	Merits Attention	<p>(a) Senior Customer Service Representative (SCSR) will continue trialling quality checks over the coming months while also gaining agreement of the process from Development Management (DM).</p> <p>(b) Once (a) is agreed SCSR will include in the CSC Procedure Manual.</p> <p>(c) SCSR will agree quality targets with DM.</p> <p>(d) SCSR will agree the reporting processes with DM and CSM.</p> <p>(e) Once all procedures, targets and timescales are agreed with DM, SCSR will update the CSC Procedure Manuals.</p> <p>Position (July 2018) Actions in progress.</p> <p>Position (September 2018) All action complete.</p>	Senior Customer Service Representative	<p>31 July 2018</p> <p>31 August 2018</p> <p>31 August 2018</p> <p>31 August 2018</p> <p>31 August 2018</p>	✓	

Land Charges 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Create an overarching policy / procedure document for local land charges. This document should include collection, receipting and banking of fees, and the maintenance of the Local Land Charges Register.	Merits Attention	<p>Agreed</p> <p>Position (July 2018) Team given individual responsibility for procedures in their area of expertise as part of their PDR (June/July 2018)</p> <p>Position (September 2018) We are behind the target date of 1st October 2018 due to conflicting priorities; particularly affecting the Land and Property Gazetteer. Between now and 1st October 2018 I also have staff resource issues. However, I have asked my Team to allocate some time to this recommendation with a new target of completion of Local Land Charges procedures by the end of the financial year.</p>	Senior Land and Property Information Officer	1 October 2018	*	31 March 2019

Safeguarding 2017/18

Final report issued June 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Whilst it is acknowledged that staff have not had to complete a Mental Capacity Act Assessment, it should be ensured that this is also covered within the training. The form should be a full record of the decisions made when reaching the decision about	Merits Attention	<p>A target date for the completion of a peer review - cannot be set until we have a capacity assessment to complete.</p> <p>Position (July 2018) In progress</p>	Head of Community Partnerships	To be confirmed	*	

Safeguarding 2017/18

Final report issued June 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>whether the individual has capacity or not.</p> <p>Consideration should also be given to introducing a peer review of any assessments completed to ensure that complete evidence is obtained, due to the infrequency of staff having to undertake these types of assessments.</p>		<p>Position (September 2018) Herts Safeguarding Adults Board forms are in place for use and training is completed. No cases for mental capacity assessments have occurred. Herts Safeguarding Adults Board self-assessment completed and visit from Chair held. Awaiting outcome letter. Feedback during visit indicated TRDC was advanced on its work in relation to hoarding, mental health and domestic abuse.</p>				

Treasury Management 2017/18

Final report issued July 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that the bank mandate is located and retained securely.</p> <p>In the event that the bank mandate cannot be located arrangements should be made to obtain a copy.</p>	Medium	<p>Agreed</p> <p>Position (September 2018) Completed</p>	Head of Finance	31 July 2018	✓	
02	<p>We recommend that current users with access to the online banking system are reviewed to ensure that all leavers are deactivated.</p>	Medium	<p>Agreed</p> <p>Position (September 2018) Completed</p>	Head of Finance	31 July 2018	✓	

Outstanding Recommendations from the 2018/19 Audit Plan

GDPR Preparedness 2018/19							
Final report issued July 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	The role and associated responsibilities of the Data Protection Officer should be reviewed and updated (including the job description) in accordance with the guidance issued by the ICO and Article 29 of the Data Protection Working Party.	Low	Agreed – JD is being drafted. Position (September 2018) JD has been completed to include DP/GDPR responsibilities.	Data Protection Officer	31 August 2018	✓	
02	We recommend that the DPO should complete the assessment of the DPIA obligations in order to see what impact it has on the project rules.	Medium	Agreed – A revised template is being completed and will be held in the shared Information Management folder. There will also be links to it from the Project Management Framework. Position (September 2018) DPIA template has been updated and a copy is included in the Project Management Framework shared folder.	Data Protection Officer	31 August 2018	✓	
03	Consideration should be given to adding additional information to the data audit spreadsheets, including the location / system where the data	Low	Agreed – additional columns will be added when each spreadsheet is reviewed in the autumn.	Data Protection Officer	31 October 2018		

GDPR Preparedness 2018/19

Final report issued July 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	is held, with an indication of where data held cannot be removed due to system issues. In respect of data retention, an end date could also be provided to indicate when data can be removed as it is no longer relevant.		Position (September 2018) Spreadsheets are being updated during September and will be completed by the end of October 2018.				

Safeguarding (Easter and Summer Playschemes) 2018/19

Final report issued August 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the service should ensure that all pre-employment checks have been completed.	Low	This has been actioned as a priority and the missing reference has been requested from the second referee. Position (September 2018) This has been completed and the second reference has now been received, filed away and added to the Single Central Record.	Leisure Development Manager	14 September 2018	✓	