

Three Rivers District Council
Internal Audit Recommendations Log for 3 December 2019 Audit Committee

Appendix 3

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</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</p>	Head of Property	31 December 2017	*	<p>31 March 2018</p> <p>31 December 2018</p> <p>30 April 2019</p> <p>31 January 2020</p> <p>30 June 2020</p>

Contract Management 2016/17

Final report issued March 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>specifications to enable formal signed contracts to be put in place.</p> <p>It is recommended that this is done in conjunction with Legal, the Procurement Manager and the relevant contract owner / manager.</p>		<p>that a signed contract with the new supplier will be maintained.</p> <p>Position (June 2017) Property Services aim to review working arrangements for all Contractors 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> <p>Position (November 2018) New Head of Property has been appointed and will progress this issue. The property Team is working with Watford BC to create a robust framework agreement to address the issues. The PPM contract will be going</p>				

Contract Management 2016/17

Final report issued March 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>through the procurement process before March 2019.</p> <p>Position (March 2019) In progress</p> <p>Position (July 2019) We are currently in the process of procuring a condition survey of all our assets. There is no logic to Procure a PPM contract without this information. The reactive works are often as a result of a backlog of maintenance so we will have a better picture of our requirements once the survey has been carried out.</p> <p>Position (September 2019) No update received.</p> <p>Position (November 2019) We are still awaiting the procurement of the condition survey, and this will form the basis of any new contracts as we will be in a better position to spec the tender for services required.</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 schedule of rates for the services procured by the authority from each of the suppliers.</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> <p>Position (November 2017) To be reviewed by December 2017. Please see comments at 01. This will be addressed</p>	Facilities Manager	31 December 2017	*	<p>31 March 2018</p> <p>30 April 2019</p> <p>31 January 2020</p> <p>30 June 2020</p>

Contract Management 2016/17

Final report issued March 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>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> <p>Position (November 2018) Please see comments at 01 above. Once a framework agreement is in place this will address all the recommendations.</p> <p>Position (March 2019) In progress</p> <p>Position (July 2019) We are currently in the process of procuring a condition survey of all our assets. There is no logic to Procure a PPM contract without this information. The reactive works are often as a result of a backlog of maintenance so we will have a better picture of our requirements once the survey has been carried out. We will continue to obtain 3 quotes as above.</p> <p>Position (September 2019) No update received.</p> <p>Position (November 2019) We are still awaiting the procurement of the condition survey, and this will form the basis of any new contract, We will be in a better position to spec the tender for</p>				

Contract Management 2016/17

Final report issued March 2017

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

Outstanding Recommendations from the 2018/19 Audit Plan

Cyber Security 2018/19 Final report issued January 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	<p>There should be a mechanism to restrict any non-complying devices to connect to the Council's IT network.</p> <p>Additionally, there should be continuous monitoring in place for all devices connected on the network to be fully antivirus protected.</p>	Medium	<p>Review current AV and VPN solution and viability to restrict devices with no up to date protection from connecting to the network fully.</p> <p>Ensure that daily reports for AV protection are monitored against asset register and this is reported to the ICT Section Head.</p> <p>Position (March 2019) Reporting mechanism from Infrastructure monitoring through to desktop services is in place. Mechanism to ensure that desktop services remediate the gaps sufficiently is currently underway.</p> <p>Replacement VPN, for all homeworking, is within scope for replacement Wide Area Network. New VPN solution will review ability to ensure that all connected devices have up to date AV.</p> <p>Position (July 2019) The following management update was received on 30 July:</p> <p>"Continuous AV monitoring in place. Daily reports reviewed to ensure all connected devices have the most recent signatures. Where the signature has not been applied this is flagged and remediated by an engineer.</p>	ICT Section Head	30 September 2019	<p style="text-align: center;">*</p> <p style="text-align: center;">Part resolved.</p> <p style="text-align: center;">Extension requested to deploy new remote working solution.</p>	<p>31 December 2019</p> <p>31 January 2020</p>

Cyber Security 2018/19

Final report issued January 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>New remote working solution has AV checker within Enterprise Management module.</p> <p>Request to extend the new remote working solution roll out to December 2019. The rollout will have commenced in August 2019, but needs to be deployed to all users across all sites, in line with the deployment of new personal IT kit and Unified Communications.”</p> <p>Position (September 2019) Testing of new remote working solution, ready for deployment through Q3.</p> <p>Position (November 2019) This is in progress, and a key issue/dependency resolved. Slight delay in roll out means that this is likely to be completed mid-end of January 2020.</p>				
03	<p>A training needs assessment should be performed for all members of staff that have responsibility for Cyber security so as to determine their training needs.</p> <p>Compliance should be monitored and action taken when members of staff are found to have not completed the IT Security and Data Protection training.</p>	Medium	<p>Review current skills against role to assess gap, recommending appropriate training as an outcome. Note funding will have to be approved.</p> <p>HR Manager Monitor and report against all staff who have not completed the annual requirement to refresh knowledge via the Security awareness programme.</p> <p>Position (March 2019) New Learning Management system will be ready approximately April 2019. This is led by the HR service. Once in place more accurate reporting mechanisms can be used to ensure staff are completing the required mandatory training.</p> <p>Position (July 2019)</p>	ICT Section Head	30 September 2019	✓	

Cyber Security 2018/19

Final report issued January 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>The following management update was received on 30 July:</p> <p>“Monitoring regarding mandatory training completed now in place via new Learning Management system.</p> <p>Skills gap assessment ongoing.”</p> <p>Position (September 2019) Skills gap assessment underway, being conducted by new permanent IT Infrastructure and Security Manager, who started with the Council early August. This will be completed by end of September.</p> <p>Position (November 2019) Completed. Training needs included within staff development plan.</p>				

Benefits 2018/19

Final report issued April 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that declaration of interest forms are completed by all staff annually.</p> <p>A process for new staff should be put in place to form part of the induction programme to complete a declaration of interests form.</p>	Medium	<p>Declarations of interests will be completed by all Revs and Bens staff for 19/20.</p> <p>A prompt for this form to be signed will be added to our corporate wide new starter form so that we pick up new starters as and when required.</p> <p>Position – July 2019 No management update received.</p>	Head of Revenues and Benefits	30 April 2019	*	<p>30 Sept 2019</p> <p>31 December 2019</p>

Benefits 2018/19

Final report issued April 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position – 21 August 2019 All officers with access to the Revenues and Benefits systems need to sign a declaration annually. This work is underway. We amended our internal Revs and Bens Information Security Policy in May of this year. We are now making some amendments to the declaration itself before it is sent out to all staff for signing. All signed declarations will be held on the Revs and Bens drive electronically for internal and external audit to view whenever necessary. We anticipate this work being completed by 31.08.19. The form will also form part of the new starter process being developed within Firmstep so that we capture new starts as and when.</p> <p>Position (September 2019) - (Based on conversation with the Head of Revenues & Benefits) Revised declaration of interest form to be reviewed by SIAS before issue to staff.</p> <p>Position (November 2019) There are some amendments that need to be made to the declarations of interest form and I anticipate having all of the forms signed by 31.12.19.</p>				
02	We recommend that testing of the module is carried out to reinstate the ability to delete obsolete data.	Medium	<p>The Retention and Destruction module is currently suspended from use as it has been destroying documents incorrectly that we are still relying on to support 'live' housing benefit claims.</p> <p>We have reported this to the system supplier (Northgate) and have requested their assistance with correcting the issue so that we can start using the module again and remain</p>	Benefits Manager	31 May 2019	*	31 October 2019

Benefits 2018/19

Final report issued April 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>GDPR compliant.</p> <p>During a meeting with Northgate on 21.03.19 we agreed we needed a Retention & Destruction refresher training day during which they would help us set up the system so that the system does not destroy documents we still need. We are now awaiting a date for the training to take place.</p> <p>Position (July 2019) No update provided by management.</p> <p>Position (21 August 2019) The system is designed to destroy all documents that are older than 6 years plus current. We discovered that the system was not working properly and has destroyed some documents that are still required to support live Benefit claims and therefore we need to retain. Clearly we could not allow that to continue so the system was been suspended. We have sought advice on how to fix this issue from the system provider and are awaiting their response. I have chased this today and have also now asked if it's possible to use the system in part so that we can carry on destroying old documents that we no longer require for Council Tax and Business Rates and unsuspend the Benefits part of the system once we have fixed the problem. I will escalate this issue in a week if I have not had a response.</p> <p>Position (September 2019) - Based on conversation with the Head of Revenues & Benefits Issue has now been escalated with Northgate.</p>				

Benefits 2018/19

Final report issued April 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position (November 2019) No update provided by management.</p>				

Communications 2018/19

Final report issued June 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	<p>We recommend that:</p> <p>a) The Communications Office review use of social media and mobile devices guidance and subsequently it should be reviewed annually.</p> <p>b) The guidance is formally approved.</p> <p>c) The guidance is extended to Officers to ensure personal use of social media does not bring the Council into disrepute.</p>	Low	<p>Agreed</p> <p>Position (July 2019) In progress</p> <p>Position (September 2019) This is scheduled to be completed in October 2019.</p> <p>Position (November 2019) Completed and signed off by Management Board.</p>	Communications Manager	31 October 2019	✓	
03	<p>We recommend that there is regular monitoring and reporting to Senior Management on the traditional methods of communications performance (i.e. press releases, noticeboards, website, intranet) and if shortfalls are identified corrective action is taken.</p>	Medium	<p>Agreed</p> <p>Position (July 2019) In progress</p> <p>Position (September 2019) This is scheduled to be completed in October 2019.</p> <p>Position (November 2019) Senior Communications Officer has weekly</p>	Communications Manager	31 October 2019	✓	

Communications 2018/19

Final report issued June 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			meetings with Chief Executive to update on performance.				

GDPR (PIR) 2018/19

Final report issued June 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Data audits should be reviewed and retention schedules established for all data categories in line with guidance from IRMS.	Low	Agreed Position (July 2019) In progress Position (September 2019) 90% complete – remainder will be completed by 30 September 2019. Position (November 2019) Completed	Data Protection Officer	30 September 2019	✓	
02	The Council should review its overall approach to removing historic data from systems in line with its retention schedule. Responsible individuals should be allocated on a service level. Periodic monitoring and auditing exercises should be undertaken to ensure compliance.	Medium	Agreed Position (July 2019) In progress Position (September 2019) On target for completion by 31 December 2019. Position (November 2019) On target for completion by 31 December 2019.	Data Protection Officer	31 December 2019	*	

IT Contract Management 2018/19

Final report issued July 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	A review of retention systems should be undertaken to ensure IT contracts are held in a central location.	Low	Action will be undertaken to ensure that soft copies of all current contracts are stored in the appropriate folders on the service drives. Position (September 2019) In progress. Position (November 2019) In progress	Head of ICT	31 March 2020	*	

Outstanding Recommendations from the 2019/20 Audit Plan

Development Management (Enforcement) 2019/20							
Final report issued September 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the Council review the Enforcement Plan at the earliest opportunity.	Low	Agreed. Position (November 2019) In progress	Team Leader (Projects and Compliance)	31 May 2020 (formal adoption of new plan following on-going review)	*	

Property (Rent and Lease Administration) 2019/20							
Final report issued October 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the Council review the systems used to maintain records of Council owned properties.	Medium	Agreed Position (November 2019) In progress	Principal Property and Asset Manager	30 April 2021	*	
02	We recommend that the Council explore what reports are available from the systems in place to better inform property activity.	Medium	Agreed Position (November 2019) In progress	Principal Property and Asset Manager	30 April 2021	*	
03	We recommend that the Council draw up a brief procedural guidance, with templates if necessary, to ensure the completeness of the property records	Low	Agreed Position (November 2019) In progress	Principal Property and Asset Manager	30 April 2021	*	

Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

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