

Outstanding Recommendations

At the previous meeting Members requested written explanations for all audit recommendations outstanding for more than one year plus responsible officers to attend for recommendations outstanding for more than two years.

Service Managers have provided explanations which are set out in the tables below.

Assistant Directors will be attending regarding those that are over two years old.

Recommendations over 2 years old

Ref	Dir	Assist Dir	Audit	Revised Due Date	Agreed Action & Priority	Status	Service Manager comments
1	DHR	AD-HIS	Fleet Management	28/02/2019	Update the Driver Code of Practice (Medium)	Agreed unions and management - but to extend Corporately	<p>The Telematics was approved by Committee in October 18, as the two documents are voted on and sit together, we are at the stage of collating the quotes for the telematics and once approved both documents will be introduced.</p> <p>This could be February 2018 to implement both Telematics and the Driver Code.</p> <p>Both documents will now apply to all authority owned vehicles, not just HRS.</p>
2	CX	CFO	Accountancy	31/03/2019	Update Budget Holder manual (Medium)	Downgraded to an Advisory point & won't be tracked any further.	<p>The refresh of the budget holder manual, together with a programme of training to budget holders, was planned for 2017 to tie in with the impending restructure of Financial Services. Unfortunately 2017 was to be an unprecedented year, with key staff leaving, together with long term sickness and therefore time was dedicated to key priority works only. With the restructure in progress the intention was to refresh the budget holder manual in advance of the new financial year. However, a similar situation has arisen again, with 2 key staff leaving.</p> <p>Financial procedure rules set out all of the requirements for budget holders. A budget holder manual summaries all of the key need to know bits. It's still a valid thing to produce and reflects best practice but it is low on priorities.</p> <p>(Chief Finance Officer / Financial Services Manager)</p>

4	DoH	AD-SD	ICT Mobile Devices	31/03/2019	Identify and locate IT assets (High)	In progress	<p>An asset register is held in IT. This exercise has been completed previously, but IT are now considering options to detect most devices in an automated manner. This is linked to a wider rollout of technology and will be updated once that has been completed.</p> <p>Finance are also to complete a full inventory - which will help for comparison purposes.</p> <p>It is very difficult to track every asset as some are mobile devices which move frequently and are not always connected to the network, so rely on visible checks over a period.</p>
5	CX	CFO	ICT Mobile Devices	31/03/2019	Complete the (Corporate) annual inventory check (Medium)	In progress	<p>Finance are in the process of facilitating an inventory check, with Directorates;</p> <p>This will help IT asset audit for comparison purposes.</p>
7	CX	AD-SD	ICT Malware	31/03/2019	IT security summary training (Medium)	In progress	<p>Delayed due to getting Netconsent operational and producing the material. NC is now operational and have bought materials but need to test to determine if there are any technical issues. This is being tested and trialled currently.</p> <p>New target date 31 March 2019</p>

Recommendations over 1 year old

Ref	Dir	Assist Dir	Audit	Revised Due Date	Agreed Action & Priority	Status	Service Manager comments
9	CX	CFO	Information Governance Revenues and Benefits	31/12/2018	Finalise NKDC + CoIC ICT SLA (High)	In progress.	An updated draft SLA between Revenues and Benefits and ICT is currently in circulation to interested parties – this will be completed by the target date of 31st December.
11	CX	CFO	Recovery	31/01/2019	Fair Collection & Debt Recovery Policy monitoring (Medium)	In progress.	The Fair Collection policy is currently being reviewed. It has been delayed due to the delay in agreeing the SLA with the Council's collection agents due to GDPR changes. The data used to monitor the Policy is still relevant. Revised target date for new Policy required (Revenues & Benefits Manager)
19	DCE	AD-CSS	Restoration of Boultham Park	31/03/2019	Partnership Agreement to be signed (Medium)	In progress. 6mth extension agreed.	We made good progress on agreeing the terms of the revised Partnership Agreement with Linkage. There are just a few details to finalise which neither party envisages causing any problems. The delay has been purely down to the lack of staff resource to deal with this within the service. The Boultham Park project has been without a dedicated Project Manager for almost a year now, and this task is one of many that are having to be covered by the Community Services Manager as Caretaker Project Manager, alongside 'business as usual'. We are aware of the need to sign off the revised agreement and doing our best to prioritise this by the end of the year, and certainly by the formal closedown date of the delivery phase of the Boultham Park Restoration project (late February). In the meantime, we have a Partnership Agreement which fulfils the needs for the project at the current stage. (Community Services Manager)

25	CX	CFO	IT Disaster Recovery	31/12/2018	Seating allocation at Hamilton House (Medium)	In progress	Seating arrangements and draft accommodation designs now complete and presented to Service Managers – now needs incorporating into Alternative Accommodation Strategy and presenting to CMT
26	CX	AD-H	IT Disaster Recovery	31/12/2018	Accommodation for contractors. (Medium)	In progress	Verbal confirmation that Kier & Aaron would be asked to vacate HH, however we need this in writing and cross referenced to the contracts.
27	CX	AD-SD	IT Disaster Recovery	31/12/2018	LAN connections Hamilton House. (Medium)	In progress	As draft accommodation plans are in place, suppliers have been contacted to determine options for connectivity in the event on invocation.
28	CX	CFO	IT Disaster Recovery	31/12/2018	Property to review power, water, drainage (Medium)	In progress	Complete – alternative accommodation would be provided with generator and portable toilets so not additional facilities would be required.
29	CX	CFO	IT Disaster Recovery	31/12/2018	Limited Business Continuity Plans for all services (Medium)	In progress	Complete – Identified that Building Control need to produce a BCP. LCC attending service managers in December 18 to go through BIA's (business impact assessments) and identify any further critical services and to also highlight fact managers can still prepare at BCP (Business continuity plan) even if they aren't on the critical list.
30	CX	CFO	IT Disaster Recovery	31/12/2018	Address the lack of RPOs in BCPs. (Medium)	In progress	Will be addressed in refreshed BCP's for 2019.
31	CX	CFO	IT Disaster Recovery	31/12/2018	Next BCP desktop exercise to include the IT DR plan (Medium)	In progress	Has been delayed pending resolution of the accommodation strategy and completion of a number of the audit recommendations. However propose that this is undertaken Feb/Mar 19.

32	CX	AD-SD	IT Disaster Recovery	31/12/2018	Wider staff education and awareness (Medium)	In progress	Complete - A presentation has been made to service managers on the implication of the draft plans for accommodation etc with a further session scheduled for December 19 with Team Leaders to be invited as well. These will be considered as part of the refresh of Business Continuity plans.
33	CX	AD-SD	IT Disaster Recovery	30/06/2019	Produce a test plan. (Medium)	In progress	Testing already occurs for backup of data. Significant elements of the ICT infrastructure are due to be replaced, so any test plan will also change substantially. In addition any testing beyond a low level is likely to be extremely intrusive into the day-to-day running of the business for a sizeable amount of time, so is likely to be unfeasible.
34	CX	CFO	IT Disaster Recovery	31/03/2019	Review approach for assessing risks in BCPs (Medium)	In progress	A new scoring system will be in place to assess risks in 2019.
34.1	CX	CFO	IT Disaster Recovery	31/03/2019	Services to plan for loss up to 2 weeks (Medium)	In progress	Issue was highlighted to service managers at SMT session in November 18. This will then be included in the refresh of BCP's in 2019.
46	CX	AD-SD	IT Applications	31/12/2018	Obtain support and maintenance agreement Agresso (Medium)	In progress	Revised draft of SysOps (System administrator) guidance in progress. Will be circulated by end December.
47	CX	AD-SD	IT Applications	31/03/2019	Review current agreement arrangement My Info (Medium)	In progress	Revised agreement being reviewed. Need to ensure compliance with GDPR etc. Should be complete by end December

48	CX	AD-SD	IT Applications	31/12/2018	Obtain support and maintenance agreement Forms (Medium)	Complete	New solution is being implemented with a revised agreement being sought from suppliers. Agreed. Should be complete (signed) by end December
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