WAVERLEY BOROUGH COUNCIL

AUDIT COMMITTEE – 21 MARCH 2017

Title:

PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS

[Wards Affected: All]

Summary and purpose:

To inform the Audit Committee of Senior Management's progress in implementing the recommendations raised by Internal Audit following a review in their service areas. This report will enable the Committee to consider what action is required in respect of those that are overdue or appear likely to be implemented later than the target date.

How this report relates to the Council's Corporate Priorities:

Internal Audit work contributes to the safeguarding of assets against loss and waste and for identifying other value or money issues.

Financial Implications:

Internal audit work helps management in achieving good value for money and, individual recommendations may have value for money implications.

Legal Implications:

There are no direct legal implications, although good governance is strengthened by attention to the matters raised in audit recommendations.

Introduction

1.   This report provides the Audit Committee with the latest position regarding the implementation of Internal Audit recommendations.

2.   Annexe 1 provides the current position on recommendations due for completion at the end of the month of the Audit Committee date.

3.   Annexe 2 details the Head of Service request for change of implementation due dates.

Conclusion

4.   Recommendations relate to the control environment and hence the overall governance and risk management of the Council, and it is important that agreed actions are completed within timeframes agreed with the relevant Head of Service.

Recommendation

It is recommended that the Committee:

1.   considers the information contained in Annexe 1 and identifies any action it wishes to be taken; and

2.   agrees appropriate implementation dates for the recommendations listed in Annexe 2 with the appropriate Head of Service justification.

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

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Audit Recommendations overdue or due within next month

ANNEXE 1

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Action Status	
❌	Cancelled
🛑	Overdue; Neglected
⚠️	Unassigned; Check Progress
▶️	Not Started; In Progress; Assigned
✅	Completed

Head of Service Taylor, Robin

Action Code & Description	IA16/22.001 Policies	The Council's Information Management Policy, Record Disposal and Retention Schedule and the Acceptable Use of IT policy were last updated over a year ago. The policies do not cover off the process to be followed in regard to the retention, sharing and disposal of manual or electronic data. The policies also do not cover the procedure to be followed if manual or electronic data is lost or subject to misappropriation.	**Exit Meeting Date**	02-Jun-2016
			Due Date	30-Dec-2016

Audit Report Code and Description	IA16/22 Information Security Governance

Agreed Action	The Council will update the Record Disposal and Retention Schedule to ensure it includes the preferred disposal method for all types of data. The Council will ensure that the Information Management policy is updated to include the procedure to be followed if manual data is lost or subject to misappropriation. It should also include Council procedure in regard to manual security measures or physical security re the sharing of all types of information. Both the Acceptable Use of IT policy and the Information Management policy will also be updated to include how data loss/misappropriation is reported to Senior Management. All policy and procedural documentation relating to Information Security Governance will be reviewed and updated where necessary on an annual basis going forward.

Status	🛑	Overdue	**Progress**	50%	**Head of Service**	Robin Taylor
All Notes	**Revised Due Date Requested 1st July 2017- see Annexe 2.**					09-Mar-2017

Action Code & Description	IA16/22.002 Storage of Records re ISO5489	As per the most recent Information Management Policy (Section 10), all records should be stored in accordance with ISO15489. The policy does not go on to state what the requirements of ISO15489 are.	Exit Meeting Date	02-Jun-2016
			Due Date	30-Dec-2016
Audit Report Code and Description		IA16/22 Information Security Governance		
Agreed Action		The Council will detail the requirements of ISO15489 within the Information Management Policy that staff will need to comply with to ensure records are stored appropriately.		
Status	🛑 Overdue		Progress	50%	Head of Service	Robin Taylor
All Notes	Revised Due Date Requested 1st July 2017- see Annexe 2			09-Mar-2017

Action Code & Description	IA16/22.003 Job Description re SIRO	The job description of the Council's Borough Solicitor made available at the time of the audit did not state in detail what the role of the SIRO involves.	Exit Meeting Date	02-Jun-2016
			Due Date	30-Dec-2016
Audit Report Code and Description		IA16/22 Information Security Governance		
Agreed Action		The Council will produce a dedicated Senior Information Risk Officer job description, which will outline the role and responsibilities of the job. The current Borough Solicitors job description will be updated to include reference to the new SIRO description.		
Status	🛑 Overdue		Progress	50%	Head of Service	Robin Taylor
All Notes	Revised Due Date Requested 1st July 2017- see Annexe 2			

Action Code & Description	IA16/22.004 Procedure	As per comment from the Borough Solicitor at the time of the audit, a documented procedure is not in place detailing how the Council upholds Information Security Governance responsibilities if staff normally responsible are unavailable. The Council also does not have a published structure chart in place showing the members of staff involved with Information Security Governance and the responsibilities they hold.	Exit Meeting Date	02-Jun-2016
			Due Date	30-Dec-2016
Audit Report Code and Description		IA16/22 Information Security Governance		
Agreed Action		The Council will ensure that the Information Governance Strategy is put into place as soon as possible. It will include the procedure to be followed in relation to upholding Information Security Governance responsibilities if staff members who are normally involved are unavailable. It will also include a structure chart which will detail the staff that are involved with Information Security Governance and the responsibilities they hold. The chart will be disseminated to all staff.		
Status	🛑 Overdue		Progress	50%	Head of Service	Robin Taylor
All Notes	Revised Due Date Requested 1st July 2017- see Annexe 2.			09-Mar-2017

Action Code & Description	IA16/22.007 Information Security Group	The ISG at the Council have not met since July 2015 due to staff turnover. There is also no formal reporting process in place at the Council between the ISG, the CMT and other relevant staff.	Exit Meeting Date	02-Jun-2016
			Due Date	30-Dec-2016
Audit Report Code and Description		IA16/22 Information Security Governance		
Agreed Action		The Council will ensure that the Information Security Risk Group continue to meet every six weeks.

The Council will also ensure that all staff are provided with regular updates at least quarterly in relation to Information Security- this can include information on any | | |

		data breaches that have occurred, changes in legislation and the responsibilities individuals are expected to uphold. A definitive reporting structure will also be implemented between both the ISG and the CMT, and the ISG and all other relevant staff.			
Status	🔴	Overdue	**Progress**	50%	**Head of Service**	Robin Taylor
All Notes	**Revised Due Date Requested 1st July 2017- see Annexe 2.**					09-Mar-2017

Head of Service Vickers, Peter

Action Code & Description	IA16/17.003 Job Description	The Visiting Officer's (Enquiry Assistant) job description was prepared in May 2003, it is incomplete and there is no evidence of review or update having occurred since. Role competencies are to be tracked and evaluated during the annual appraisal process; however there are no specific competencies for the Visiting Officer. - enter action details here	**Exit Meeting Date**	17-Jul-2016
			Due Date	31-Mar-2017
Audit Report Code and Description		IA16/17 Revenues Premises Visits		
Agreed Action		The job description will be reviewed, completed and where required updated on a cyclical basis to ensure the role's name is correct, remains fit for purpose and accurately reflects the current role operating in practice. Specific role competencies will be created for the Visiting Officer role to enable a more effective target setting and progress monitoring appraisal process.		

Status	▶	In Progress	**Progress**	0%	**Head of Service**	Peter Vickers
All Notes	JD will be updated in line with appraisal timetable in March 2017 at which point SMART targets will be agreed.					23-Feb-2017

Head of Service Wagstaff, Hugh

Action Code & Description	IA17/11.008 DBS clearance	We noted that for two contracts selected adequate information relating to appropriate/or use of trained and DBS cleared staff was not available. By not receiving information relating to health and safety, staff clearance and training prior to the commencement of works, there is a risk that after any potential incident the Councils reputation would be at risk of damage.	**Exit Meeting Date**	06-Jan-2017
			Due Date	31-Jan-2017
Audit Report Code and Description		IA17/11 Management of Contractors		
Agreed Action		The Council will ensure that prior to works starting they receive, where required, relevant evidence regarding risk assessments, training and DBS clearance and appropriate health and safety documentation. Additionally during the contract, updates regarding staff utilised, their training where relevant and DBS clearance where relevant are received from all contractors. (HW)		

Status	🔴	Overdue	**Progress**	70%	**Head of Service**	Hugh Wagstaff
All Notes	**Revised Due Date Requested** 30th April 2017 Training Matrix including DBS maintained by Compliance Administrator for all relevant contractors. Staffing updates standing agenda Item on Contract Meeting Agendas to keep matrix updated/reconciled. All Mears/subcontractor staff lists and DBS etc. reviewed at Core Meetings as part of Service Providers Pack (DBS tab) Council's Contract Procedure Rules currently under review. Planned completion April 17. Property Services Manager has recommended to the revising Procurement group that additional contract requirements include for appropriate safeguarding provisions to Waverley requirements incl. DBS checks/risk assessments and the like.					23-Feb-2017

Action Code & Description	IA17/12.003 Performance Indicators	The Performance Indicators presented to the Corporate Management Team, was a manual process and the excel spreadsheet open to everyone, subject to manipulation.	Exit Meeting Date	21-Nov-2016
			Due Date	28-Feb-2017
Audit Report Code and Description		IA17/12 Accuracy of Tenant Information on Orchard		
Agreed Action		The reporting parameters of Civica will be explored further to identify if there is a more accurate way of reporting data to CMT, as this will also encourage Tenancy and Estate Officer to return completed forms in a timely manner.		
Status	🔴	Overdue	Progress	50%	Head of Service	Hugh Wagstaff
All Notes	We are still exploring the ability of Civica to provide the reports required.			02-Mar-2017

Action Code & Description	IA17/12.008 Work List	A defined process to document and follow up actions identified during the home visit has not been put into operation.	Exit Meeting Date	21-Nov-2016
			Due Date	28-Feb-2017
Audit Report Code and Description		IA17/12 Accuracy of Tenant Information on Orchard		
Agreed Action		The Council will investigate further the functionality of the 'Works List' within Orchard, to document, follow up and track actions raised to ensure that these are followed up in a timely manner.		
Status	🔴	Overdue	Progress	50%	Head of Service	Hugh Wagstaff
All Notes	The Council is still in discussion with the system provider to further the functionality of the work list.			02-Mar-2017

**Internal Audit Recommendations
presented to the Audit Committee
for status change of Due Date on Covalent**

Report ref/ recommen dation ref	Title	Recommendation	Head of Service written justification/ Reason for change in implementation date	Responsible officer
IA16/22.001 IA16/22.002 IA16/22.003 IA16/22.004 IA16/22.007	Information Security Governance	Recommendations as listed above in Annexe 1 as outstanding.	**This is an important area of work and good progress has been made in respect of all Information Security Governance audit actions. However, the due date was not met owing to resource constraints and competing urgent legal instructions but the Borough Solicitor has confirmed that all actions listed will be complete by the revised due date of 1 July 2017.** **Revised due date Requested - 1st July 2017**	**Head of Policy and Governance Robin Taylor -**

IA17/11.008	Management of Contractors - DBS clearance	The Council will ensure that prior to works starting they receive, where required, relevant evidence regarding risk assessments, training and DBS clearance and appropriate health and safety documentation. Additionally during the contract, updates regarding staff utilised, their training where relevant and DBS clearance where relevant are received from all contractors.	Training Matrix including DBS maintained by Compliance Administrator for all relevant contractors. Staffing updates standing agenda Item on Contract Meeting Agendas to keep matrix updated/reconciled. All Mears/subcontractor staff lists and DBS etc. reviewed at Core Meetings as part of Service Providers Pack (DBS tab) Council's Contract Procedure Rules currently under review. Planned completion April 17. Property Services Manager has recommended to the revising Procurement group that additional contract requirements include for appropriate safeguarding provisions to Waverley requirements incl. DBS checks/risk assessments and the like. **Therefore a revised Due Date is Requested for 30 April 2017**	**Head of Housing Operations – Hugh Wagstaff**
IA17/12.003	Accuracy of tenancy Information - Performance Indicators	The reporting parameters of Civica will be explored further to identify if there is a more accurate way of reporting data to CMT, as this will also encourage Tenancy and Estate Officer to return completed forms in a timely manner.	Challenges with the IT system to provide the information in the format required has not yet been achieved in-house and the co-operation system supplier is now necessary. **Therefore a Revised Due Date Requested for 30 April 2017**	**Head of Housing Operations – Hugh Wagstaff**

| IA17/12.008 | Accuracy of tenancy Information - Works List | The Council will investigate further the functionality of the 'Works List' within Orchard, to document, follow up and track actions raised to ensure that these are followed up in a timely manner. | Challenges with the IT system to provide the information in the format required has not yet been achieved in-house and the co-operation system supplier is now necessary.

Therefore a Revised Due Date Requested for 30 April 2017 | **Head of Housing Operations – Hugh Wagstaff** |