

WAVERLEY BOROUGH COUNCIL

AUDIT COMMITTEE – 17/09/2014

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. The Audit Committee should note that the recommendations detailed in the June Audit Committee Report at Annexe 2 relating to Housing Responsive Repairs – Contract Management IA14/14.10 & IA14/14.012 have now been implemented as a result of the completion of Project Purple which went live on 21 July 2014, which included the areas raised in these recommendations.
2. Annexe 1 to this report provides the current position on recommendations due for completion by 31st October 2014.
3. Annexe 2 details the request to extend an implementation date due to the change in the System Software consultants visit, original intended for June 2014 but now postponed until later in the year. The Head of Service is requesting a change of implementation date to the end of December 2014.

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 Audit Committee

1. considers the information contained in Annexe 1 and identifies any action it wishes to be taken; and
2. approves the proposed change detailed in Annexe 2.

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

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Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

Head of Service Standing, Roger

Action Code & Description	IA14/01.001 Administrator Duties and Responsibilities	Management should ensure that SharePoint administrator management duties and responsibilities are documented and communicated to all appropriate staff. A review and update schedule should be defined.	Exit Meeting Date	02-Jun-2014
			Due Date	30-Sep-2014
Audit Report Code and Description		IA14/01 Sharepoint		
Agreed Action		Agreed		
Status	 In Progress	Progress	85%	Head of Service Roger Standing
All Notes	Duties and responsibilities being documented and will be communicated to relevant staff - on schedule for completion.			21-Aug-2014
Action Code & Description	IA14/01.004 Access Control Arrangements	Management should ensure that the access control arrangements for SharePoint are documented and communicated securely to all IT technical staff with SharePoint system/user administration responsibilities.	Exit Meeting Date	02-Jun-2014
			Due Date	30-Sep-2014
Audit Report Code and Description		IA14/01 Sharepoint		
Agreed Action		Team Requires Training		
Status	 In Progress	Progress	80%	Head of Service Roger Standing
All Notes	Underway and on schedule for completion by end September.			21-Aug-2014
Action Code & Description	IA14/01.006 Patch Management	Management should ensure that: § Patching procedures are designed, documented and made available to all technical staff with responsibility for the process. They should also be reviewed on a regular e.g. annual,	Exit Meeting Date	02-Jun-2014
			Due Date	30-Sep-2014

		basis and updated as required. A process should be documented and issued to technical staff with SharePoint administration responsibilities for reviewing the web services available on the system's web front end servers and disabling or removing those that present security vulnerabilities and are not essential to the running of the SharePoint service. Access to those which do present a security risk should be limited to essential technical staff only.		
Audit Report Code and Description		IA14/01 Sharepoint		
Agreed Action		Agreed		
Status		In Progress	Progress	80%
			Head of Service	Roger Standing
All Notes	On schedule for end September completion process being documented.			21-Aug-2014
Action Code & Description	IA14/05.003 Backup Policy	A backup policy and standard operating procedure should be documented by the Council; this should also inform the disaster recovery plan. It should include: · the Council's requirements for backing up and replicating data and servers; · define the retention policy for all types of backup; identify responsibilities for performing the backup e.g. tape changing/recycling and for confirming that the backup has been completed as scheduled and that tapes have been moved between sites as required	Exit Meeting Date	05-Mar-2014
			Due Date	30-Sep-2014
Audit Report Code and Description		IA14/05 San Environment		
Agreed Action		This will be completed and presented to the IT Strategy within 6 months		
Status		In Progress	Progress	75%
			Head of Service	Roger Standing
All Notes	Documentation of Backup Policy underway to be added to IT Disaster Recovery on target.			21-Aug-2014
Action Code & Description	IA14/05.005 Business Continuity Plan	The BC plan should be completed and assurance obtained that the facilities provided at Mole Valley will support Council critical services	Exit Meeting Date	05-Mar-2014
			Due Date	30-Sep-2014
Audit Report Code and Description		IA14/05 San Environment		
Agreed Action		Testing has been carried out in separate modules, target is 2 major system per year. However a complete shut down of the system to test Mole Valley resilience is unrealistic. Website has been tested and successfully completed. The IT disaster Recovery Plan will be updated.		
Status		In Progress	Progress	85%
			Head of Service	Roger Standing
All Notes	Progress made testing and regular 'mirroring' of data proves the arrangement with Mole Valley is working - IT Disaster Recovery Plan on schedule to be updated by end of September			21-Aug-2014

Head of Service Vickers, Peter

Action Code & Description	IA14/18.004 Attachments applied to Debtors Account	It should be investigated whether it is possible to attach e-mail correspondence directly to a debtor's account on the Agresso system.	Exit Meeting Date	18-Feb-2014	
			Due Date	30-Jun-2014	
Audit Report Code and Description		IA14/18 Sundry Debtors			
Agreed Action		Will explore when Agresso Representative comes in on June 2014.			
Status	 Overdue	Progress	0%	Head of Service	Peter Vickers
All Notes	Will be actioned in June 2014			29-May-2014	

ANNEXE 2

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

Report Ref/ Recommendation Ref No	Title	Recommendation	Justification/Reason for change in implementation date	Responsible Officer
IA14/18.004	Sundry Debtors	It should be investigated whether it is possible to attach email correspondence directly to a debtors account on the Agresso System	Request to extend an implementation date due to the change in the System Software consultants, original intended for June 2014 but now postponed until later in the year. Proposed revised date end of December 2014.	Head of Finance Peter Vickers