

# Internal Audit Recommendation Tracker (Overdue)

# Appendix B

Last Updated: 26 October 2017

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
<b>Corporate Business Continuity Plan – Follow Up</b> (May 2015)	5	Each service needs to develop a timetable to test its BCP. This testing process needs to be managed centrally to ensure: <ul style="list-style-type: none"> <li>• Testing is carried out as planned</li> <li>• Outcomes of the testing is recorded</li> <li>• Action plans are developed to address any failures/weaknesses</li> <li>• BCPs (Service and Corporate) reviewed and updated as necessary post testing, and periodically thereafter</li> </ul>	Significant	A methodology for testing the BCPs will be determined by 31 March 2014 and a timetable developed to test each plan during April – June 2014.	Operations Manager/ Property and Facilities Manager/ Head of Place	31/03/14	<del>04/11/15</del> <del>30/04/16</del> <del>31/07/16</del> <del>31/03/17</del> <del>01/05/17</del> 31/03/18	<p><b>May15:</b> Some testing of Council systems has been carried out as part of Emergency Planning (e.g. emergency power supplies at the Civic Centre, comprehensive ICT testing at Latton Bush and mutual aid support with other Essex districts).</p> <p><b>Aug15/Jun16:</b> Whilst service level plans are being completed testing cannot take place, however, joint working with Chelmsford CC around ICT recovery may see some testing in this area in 2016.</p> <p><b>Aug/Nov16:</b> Joint working with Chelmsford CC around ICT recovery has stalled. The implementation date is revised to the end of the financial year so that Harlow Council can explore other arrangements. It is now anticipated that testing of other plans can take place before the Housing Services BCP is received.</p> <p><b>Feb 17:</b> Slow progress has been made with ICT due to HTS transition commitments and will be reviewed post February. In the meantime progress with bcp and testing is being monitored by the Corporate Governance Group.</p> <p><b>May 17:</b> As part of the ITDR review, BCP testing will be discussed, providing all BCP's are in place. A desk top exercise with Senior and Third Tier Managers will be undertaken after the ITDR and Corporate BCP has been completed.</p> <p><b>July 17:</b> As above. Once all service and Corporate BCP's are signed off, work can begin to discuss the testing of BCP's.</p> <p><b>Oct 17:</b> All BCP's are now completed. These will now feed into a review of the IT Disaster Recovery Plan and Corporate Business Continuity Plan. Timetabling of recommended testing will be reviewed in conjunction with the</p>	Overdue

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								Senior Management Team to enable the recommendations to be concluded.	
<p><b>Community Safety</b> (June 2015)</p>	2a	<p>The Safer Harlow Partnership needs to locate, review and update and overall governance document that sets out statutory roles, stakeholders, frequency of meeting, voting arrangements and other Partnership governance and administrative arrangements.</p>	Significant	Will review and update documentation.	Community Safety Team Manager/ Head of Community Wellbeing	30/09/15	<p><del>31/01/16</del> <del>30/06/16</del> <del>31/10/16</del> <del>31/03/17</del> <del>30/06/17</del> 31/01/18</p>	<p><b>Oct/Feb16:</b> A full SHP or RAG meeting is needed prior to final agreement.</p> <p><b>June/Nov16:</b> The SHP Coordinator post was made redundant in March 2016, due to a reduction in funding, and remaining staff resources have had to be prioritised on other activities. As agreed with Internal Audit, this document will now be in place by the end of the financial year.</p> <p><b>Feb 17:</b> Harlow Council is still attempting to obtain data from the police in order to undertake the Strategic Assessment that is required. This has been escalated by Harlow Council, and will be escalated to the next level at the police during w/c 30/1/17. Until this information is received it is not possible to progress.</p> <p><b>May 17:</b> Urgent Stakeholder meeting will be arranged to deal with matter. Will notify date of meeting.</p> <p><b>July 17:</b> Responsible Authorities Group meeting has been arranged for September 2017 where this matter will be reviewed and agreed.</p> <p><b>Oct 17:</b> A Responsible Authorities Group meeting has taken place and governance matters were discussed and reviewed. The next RAG meeting is scheduled for November where final approach is to be agreed and referred to a full SHP meeting scheduled for December 2017. Once agreed this action is complete.</p>	Overdue

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<b>Human Resources - Recruitment</b>  (September 2015)	2	Recruitment training should be provided to recruiting managers and evidenced.	Requires Attention	Agreed. Online training programme to be created on Wisenet and sent out to new managers with recruiting responsibilities. Certificate will be issued at the end of the course and a copy will be placed in individual files.	HR Manager /Head of Governance	31/03/16	<del>31/12/16</del> <del>30/06/17</del> <del>30/09/17</del> 31/03/18	<p><b>Jun/Nov16:</b> Due to staff shortages meeting has been postponed until Sept 16 to discuss and prepare online training programme via Wisenet. Estimate completion date Dec 16. Existing Wisenet training course 'Preventing illegal Working' will also be reviewed. In the meantime, the HR Advisor meets, on an ongoing basis, with recruiting managers to give one to one advice and guidance on the recruitment process.</p> <p><b>Feb 17:</b> Trial of online training within HR complete, following which a few edits are to be completed. Thereafter identify small trial of few new managers to be undertaken in February 2017.</p> <p><b>May 17:</b> Trial has been completed. The recruitment module is ready. The staff member who completes e-learning also has other responsibilities, the main one being Payroll. Due to the additional Election this year and unanticipated changes to the e learning platform (systems upgrade which is due in June/July) this is not ready to launch.</p> <p><b>July 17:</b> Wisenet requires a systems upgrade as the existing module is no longer supported, therefore training cannot be provided at the moment. The upgrade will be undertaken by CLS (External Consultants), in liaison with ICT. Awaiting response from CLS.</p> <p><b>Oct 17:</b> Still awaiting response from CLS regarding timescales for the Wisenet systems upgrade. This is unlikely to be achieved until early 2018.</p>	Overdue
<b>Treasury Management</b>  (August 2016)	2	The Section 151 Officer should obtain further assurance that Cabinet	Requires Attention	Training is periodically provided and will continue as	Head of Finance	31/03/17	<del>30/9/17</del> 31/12/17	<p><b>Jan17:</b> An off site training event was planned for January 2017 but due to adverse weather forecasts there was little or no attendance from HDC Councillors. This will be kept under</p>	Overdue

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		Overview Working Group (COWG) members are adequately trained in treasury management issues so that they are able to provide proper scrutiny of treasury management strategy and performance.		appropriate. A record will be kept and material made available electronically to Members.  Consideration will be given to CIPFA Effective Scrutiny of Treasury Management self- assessment and if appropriate will be incorporated in to COWG meeting.				review and further events will be arranged. CIPFA Self-Assessment will be considered for the Autumn 2017 COWG. <b>May and July 17:</b> Arlingclose have been booked to carry out a training event in October 2017 to align with approval of the 2016/17 Treasury Management report. <b>Oct 17:</b> The training event by Arlingclose will take place on the 29 <sup>th</sup> November 2017.	
<b>External Data Transfers</b> December 2016	1a	The Senior ICT Manager should roll out Meta-Compliance training to all Council officers in respect of corporate ICT policies relating to data protection. Consideration should be given to issuing officers responsible for transferring data with an 'overview sheet of the main points, to be completed with Meta Compliance	Medium	ICT have started rolling out the program to all computers and will be running a pilot to ensure the system is working correctly. The ICT team will then fully roll out meta compliance and will test it using the ICT Information Security Policy and Conditions of Acceptable use as the first	Senior ICT Manager/ Head of Finance	31/03/17	31/12/17	<b>May 17:</b> Delays have occurred as a result of the high level of resourcing required to deliver the ICT infrastructure for the new HTS company. Now that the company is operational and immediate issues relating to the ICT environment have been dealt with, this issue will be progressed and rolled out across the Council as soon as possible. <b>July 17:</b> Progress has been made with successful testing within ICT and are looking to pilot MetaCompliance in a couple of smaller departments during August with a phased roll-out after that across the Council to complete by December. <b>Oct 17:</b> MetaCompliance has been installed in Regeneration, HR and Legal. Policies are due to go out to HR and Legal w/c 23/10/2017. A further installation roll-out into most other service areas in the Civic Centre is due to take	Overdue

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		training.		documents. ICT are considering the Communications process for the wider organisation and are also reviewing the timescales given the work commitments on other corporate projects at the current time and through until the early part of the new year.				place by December, if not earlier. Policies will start being pushed out incrementally after that.	
<b>External Data Transfers</b> December 2016	1b	The Records Retention/ Disposal Guidance policy should be reviewed and updated to ensure it meets the Council's requirements.	Medium	Agreed, this is in the process of being reviewed	Legal Services Manager/ Head of Governance	30/04/17	<del>30/09/17</del> 31/05/18	<b>May 17:</b> This is part of the process required to implement the GDPR and is currently being reviewed to ensure on going compliance by 25 May 2018 <b>July / Nov 17:</b> This is part of the project plan and is currently on track.	Overdue
<b>External Data Transfers</b> December 2016	2a	Housing (Asset Management and Business Management) - In respect of contracts for services (i.e. printing of bulk data for housing; and Locata) a contract which contains an	Medium	Agreed. An information sharing agreement will be put in place for Locata. We will liaise with Procurement to ensure that an agreement is in place for CDS/Fuller	Housing Asset and Business Systems Manager/ Head of Housing	31/03/17	<del>30/06/17</del> 31/12/17	<b>May 17:</b> Reviewing this recommendation with corporate procurement, they have advised it will need to be Housing's Services responsibility to set up an information sharing agreement with the printer, rather than CDS. I am in discussion with Amanda Julian to agree a data sharing agreement template as the Council doesn't currently have one. Once the template is agreed discussion will need to be had with the external provider Locata and the external printer provider and costs provided by them to determine how to proceed. Target for	Overdue

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		information sharing agreement should be put in place.		Davis.				completion is the end of May 2017 <b>July 17:</b> Locata and our external printing provider will be asked to sign a data sharing agreement once agreed with Legal Services. <b>Oct 17:</b> The signing of the sharing agreement is taking longer than expected. Target for completion is December 17.	
<b>External Data Transfers</b> December 2016	2b	Management should ensure that adequate data sharing protocols/ information sharing agreements are in place for Veolia and Kier Harlow. (HTS)	Medium	Agreed. Veolia – Environment and Licensing Manager/ Head of Place	Veolia – Environment and Licensing Manager/ Head of Place	31/12/16	31/12/17	<b>Feb 17:</b> No response <b>May 17:</b> The Environment & Licensing Manager has drafted a data sharing agreement between Veolia and Harlow Council, setting out the principles for data sharing in connection with the waste and recycling contract, to ensure compliance with the Data Protection Act. The draft agreement has been approved by the Assistant Solicitor and sent to Veolia. Awaiting response. <b>July 17:</b> No response has yet been received from Veolia. This may be because the Veolia management team are engaged in bidding for the replacement contract. Nonetheless the Environment & Licensing Manager has written to the General Manager for domestic contracts at Veolia requesting an update on the proposed data sharing agreement. Data Sharing protocols/agreements form part of the current waste service discharged by Veolia and are included in the new tender process to select a new waste management partner in early 2018 <b>Oct 17:</b> Veolia has responded with several queries and requests for additional information. Negotiations are in progress and the agreement should be completed by December.	Overdue

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<b>IT Disaster Recovery</b> June 2017	1	The ITDR plan should be reviewed and updated in light of the BC plan updates	Medium	Agreed. This will be actioned alongside the current review and update of service and corporate business continuity plans being facilitated by the Interim Operations Manager.	Senior ICT Manager/ Head of Finance	30/09/17	31/12/17	<b>Oct 17:</b> The service Business Continuity Plans have only just been completed causing a delay in being able to move this forward.	Overdue
<b>Sam's Place</b> August 2017	4	The Youth and Citizenship Manager should ensure that Contract Standing Orders are being followed in respect of taxis, including aggregate rules. This may require a Council wide review.	Medium	Noted, to be discussed with Head of Community Wellbeing and way forward agreed.	Youth and Citizenship Manager, (Head of Community Wellbeing)	01/10/17	31/03/18	<b>Oct 17:</b> The Head of Community Wellbeing will need to speak to other departments as a wider procurement exercise is required and a meeting with the Head of Governance will be arranged to discuss the way forward.	Overdue