

Outstanding Audit Recommendations - Position as at 16th March 2021

Aud Ref	Audit	Audit Completion Date	Recommendation	Category of Risk	Action agreed at time of Audit	Responsible Officer	Original Target date for completion	Latest Comments
1.1 Recommendations for which the original agreed completion date has been revised. All these are now overdue.								
4.7	Parking Services	Jul-19	The council should investigate entering into a contract for the maintenance of body camera equipment. This contract will include a third party processing agreement to ensure GDPR compliance.	Significant	The current supplier provides a repair and replacement service. The Parking team will work with the Council's GDPR compliance officer to implement a fully compliant data handling system for video data. All data will be erased before units are repaired or replaced.	Parking Manager	31 Oct 19 Revised to 31 Jan 20	16/11/20 Outstanding. Due to pressures of Covid 19 this has not been addressed. 08/03/21 No further update received
7.3	Parking Services	Jul-19	Establishment of data retention policy on the DAM 360 body camera data is required. This should include retention and disposal procedures.	Significant	The Parking team will work with the Council's GDPR compliance officer to implement a fully compliant data handling system for video data.	Parking Manager	31 Oct 19 Revised to 31 Jan 20	16/11/20 Outstanding. As part of the Imperial 3sixty system review and the introduction of Geo Smarti, retention and purging of data will be established. 08/03/21 No further update received
8.2	Parking Services	Jul-19	Policies and procedures for purging Imperial 3sixty data must be established.	Significant	The Parking team will work with the Council's GDPR compliance officer to implement a fully compliant data retention scheme. This will include management controls for data cleansing permissions.	Parking Manager	31 Oct 19 Revised to 31 Jan 20	16/11/20 Outstanding. As part of the Imperial 3sixty system review and the introduction of Geo Smarti, retention and purging of data will be established. 08/03/21 No further update received
5.3	Parking Services	Jul-19	Procedures and controls need to be established for the CEO rotas to ensure all routes are covered within a 7 day period, appropriate to the enforcement requirements. Procedures should include holiday and absence cover.	Significant	The Parking Manager will undertake a more pro-active management role. The Regulatory Service Manager will submit a plan to consider changes to the Parking team to provide more supervisory capacity within the CEO team.	Parking Manager	30 Oct 19 Revised to 28 Feb 20	16/11/20 Ongoing. The Parking Manager is trialing new rota and route schedules. Once trials have been completed a formalised approach will be documented. 08/03/21 No further update received
5.4	Parking Services	Jul-19	A clear management policy on CEO overtime should be established. A management review of the policy to pay time and a half pay on a Sunday should be undertaken to establish why an exception is made for Sundays.	Significant	We will work with HR to review the existing terms and conditions. This may result in a change to the existing arrangements to bring in more modern working practices.	Parking Manager	30 Oct Revised to 28 Feb 20	16/11/20 Outstanding. Human Resources are reviewing CEO contracts as part of the Pay & Benefits review. 08/03/21 No further update received
1.2 Recommendations that are now overdue for completion as at 16th March 2021								

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2	Income Collection	Aug-19	The security contract for cash collection and processing, due for renewal in May 2020, should be procured in consultation with the self-service kiosk review project.	Significant	Agreed 06/01/21-Responsibility for this recommendation reassigned to the Regulatory Services Manager.	Regulatory Services Manager	30-Nov-19	<p>06/01/21 Procurement have provided information of a suitable framework agreement and are awaiting a response from Regulatory Services.</p> <p>07/01/21 Exchequer Manager advised this work has now passed to the Regulatory Services Manager.</p>
2.2	IT Change Management	Aug-19	The change request process is reviewed by Change Advisory Board to ensure it is adding value to the change management process.	Significant	<p>IT Manager-The change process has only been live for a few months and the process is evolving, I think it is a little early to be reviewing the process too soon-a year after process is in place would seem reasonable.</p> <p>IT Support Manager-We went through the process in the first couple of meetings. No significant changes were put forward at that time, or since.</p>	IT Manager	31-Jan-20	<p>12/01/21 IT Manager confirmed This continues to evolve as we have increased the group size. We recently decided that with the larger attendance, we now require a metric of 70% approval to move a change forward. We are currently in discussion on how changes are assessed to include risk which will direct the flow and categorisation of the change.</p> <p>08/03/21 No further update received</p>
3.1	IT Change Management	Aug-19	Use of the ManageEngine and Resource Planner software is developed in order to provide a better project management approach to IT projects and more detailed and timely reporting. Alternatively, software such as Microsoft Project should be considered.	Significant	<p>IT Manager-Agreed. Part of the Digital Programme is to implement ITIL into IT Services.</p> <p>IT Support Manager-This is slowly evolving on Manage Engine and a spreadsheet (for Digital). Trying to stay clear of MS Project as it has heavy license costs.</p>	IT Manager	31-Mar-20	<p>09/02/2021 IT Manager confirmed CPMO are looking at resources across Project and Business as Usual activity, I have just entered some info on Verto for the CPMO in respect of this. I am also going to revisit the ManageEngine side as there are some direct benefits for IT staff, but it is not a fully-fledged Project Management tool. Clearly there is ambition for Verto in the organisation, so I don't want to have to replicate updates in multiple places.</p> <p>08/03/21 No further update received</p>

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1.4	Human Resources	Feb-20	A review and cleansing of individual H drives should take place to ensure compliance with GDPR and the councils' document retention policy. In particular it should be ensured that all information and correspondence relating to a member of staff is retained within their HR file in the EDRM system, Information at Work.	Significant	This is underway across HR with individuals reviewing their drives and transferring information as required. This requirement will be reiterated across the team as part of a team meeting scheduled in January 2020.	Head of HR & OD	31-Jul-20	04/03/21 HR Operations Manager confirmed 'This is underway across HR with individuals reviewing their drives and transferring information as required. This requirement is periodically reiterated across the team during team meetings. Completion will be in line with the corporate timetable for removal of HDrives, although it is unclear what that timetable is.'
2	Business Continuity	Mar-20	Governance arrangements concerning business continuity should be kick-started within the council, starting with the re-establishment of the Business Continuity Board that has overall leadership and sponsorship of the business continuity management framework.	Fundamental	This Board will be reconvened with a review of its terms of reference and membership to ensure that it is fit for purpose.	Head of HR & OD	30-Sep-20	04/03/21 HR Operations Manager confirmed 'The position is unchanged from the last update in September.'
1	Business Continuity	Mar-20	The council's Business Continuity Plan and Crisis Management Plan should be reviewed and updated accordingly. Consideration should be made of the new ISO Standard for Business Continuity, ISO 22301:2019.	Significant	This will be reviewed in line with the timescale, and following the convening of the Business Continuity Board.	Head of HR & OD	30-Sep-20	04/03/21 HR Operations Manager confirmed 'The position is unchanged from the last update in September.'
3	Business Continuity	Mar-20	Appropriate resource for business continuity management should be identified across Services to ensure that governance arrangements and the framework can be adequately supported.	Significant	This is for the Head of HR to discuss with Heads of Service colleagues in the first instance- a number of whom have yet to commence in post. This is a lower priority than ensuring all plans are up to date and tested.	Head of HR & OD	30-Sep-20	04/03/21 HR Operations Manager confirmed 'The position is unchanged from the last update in September.'
5	Business Continuity	Mar-20	Service Recovery Plans should be reviewed and updated appropriately, particularly ensuring roles and responsibilities are sufficiently assigned within Services. A corporate standard approach to maintaining Service Recovery Plans is required (similar to the approach adopted for the council's risk register).	Significant	This will be actioned in conjunction with service areas and following the convening of the Business Continuity Board.	Head of HR & OD	30-Sep-20	04/03/21 HR Operations Manager confirmed 'The position is unchanged from the last update in September.'
6	Business Continuity	Mar-20	Testing of Service Recovery Plans should be undertaken more frequently with a more corporate standard approach being adopted to ensure lessons learnt and best practices are shared.	Significant	There will need to be a piece of work to understand what "more frequently" means in terms of what is appropriate for testing and then service areas supported to review their plans in line with this.	Head of HR & OD	30-Sep-20	04/03/21 HR Operations Manager confirmed 'The position is unchanged from the last update in September.'

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8	Debtors	Sep-20	The shared services agreement with licensing should be reviewed and amended to reflect the actual work Exchequer undertake and recover a more appropriate recharge which includes costs.	Significant	03/09/20-Exchequer Manager – Agreed 06/01/21-Responsibility for this recommendation reassigned to the Regulatory Services Manager.	Regulatory Services Manager	30-Sep-20	08/03/21 No update provided.
1	IT Software Licencing	Dec-19	A definitive software/system inventory is required to ensure all such software/systems are managed correctly.	Fundamental	This can be addressed as part of the digital programme. The need for this is recognised but will have a longer term implementation timescale. The resources to do this will need to be included in the resourcing requirements for the digital programme.	IT Manager	31-Dec-20	11/03/21-The IT Manager advised "An applications list has been compiled, additional fields are requested for future planning for replacement and budgeting, but those elements fall outside of the recommendation". A copy of this list was provided to Internal Audit.
2	IT Software Licencing	Dec-19	The management of software licencing and retention of licence documentation should be centralised so that it is controlled by a single Service. Logically this sits best within the IT Service under a separate subjective general ledger code and centralised budget.	Fundamental	This will be looked at as part of the current review of the procurement and contract process. Additional resources have been proposed as part of the budget proposals for 2020/21. As part of this review options will be considered for a fully centralised contract register which if implemented would include the IT software licencing. A further option, as recommended by this report would be for it to sit with the IT service. This will be considered as part of this review. Separately, all requests for software now has to be agreed by the digital programme board. Consideration will be given as part of rolling out of the digital programme whether the budget for ongoing requirements should be centralised. The timescale for this would be longer term but a review of current spend and budgets will be undertaken.	Procurement & Contracts Manager / IT Manager	31-Dec-20	12/01/21 IT Manager confirmed 'There are still corporate decisions that need to be made regarding this. I will catch up with teh Executive Director of Corporate Services on how we should proceed with discussion with service areas regarding this.' 13/03/21-IT Manager advised "There hasn't been any further action on this"
1	IT Critical Systems	Aug-20	The IT Service Recovery Plans are updated to include the Forti-Client VPN, Microsoft Teams and Zoom to reflect their importance to the provision of remote working. The risks of not having Service Level Agreements for Teams and Zoom are considered and appropriate mitigation applied as deemed most appropriate.	Significant	03/08/20 IH of T&I: Agreed 16/07/20 IT Manager: Agreed	Interim Head of Transformation & Improvement / IT Manager	31-Dec-20	08/03/21 No update provided.
2	IT Critical Systems	Aug-20	Contingency plans to cover for a full Virgin Media outage should be designed, including consideration of an alternative ISP as a back-up.	Significant	03/08/20 IH of T&I: Agreed 16/07/20 IT Manager: Agreed	Interim Head of Transformation & Improvement / IT Manager	31-Dec-20	08/03/21 No update provided.

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7	Commercial Maintenance	Nov-20	To improve the efficiency of processes, commercial maintenance works and relevant documentation, including quotes and compliance documents, are uploaded to the property management system PROMIS.	Significant	Uploads already underway for compliance, along with process review in recommendation 1. Quotes will be part of this review and process review as recommendation 1 It must be noted there is limited storage space on the MIS system so negotiations are in place with IT as to how best increase storage capacity to allow for increase document storage.	Head of Property & Assets	31-Jan-21	01/03/21 Asset Manager - Operational Portfolio confirmed that this has started and will continue for 21/22
8	Commercial Maintenance	Nov-20	Property should liaise with Contracts & Procurement to ensure that all of its reactive urgent works are procured in line with the council's Contract Standing Orders.	Significant	Will be also be part of recommendation 1 and 7	Head of Property & Assets	31-Jan-21	01/03/21 Asset Manager - Operational Portfolio confirmed 'We have spoken to Procurement about the best way forward and will be looking at more detail later in the year 21/22 once fully staffed
1	Parking Services	Nov-20	The Service Risk Register should be reviewed and updated to ensure key risks have been identified that may affect the delivery of the parking service. This review should also include risks highlighted during the Covid 19 lockdown.	Significant	This will be reviewed and updated accordingly	Regulatory Services Manager	28-Feb-21	07/01/21 SIA-At the time of the completion of the Risk Mangt Audit in Jan 21 IA were not aware of an updated Service Risk Register having been completed. 08/03/21 No update provided.
2	Parking Services	Nov-20	Procedures for post NTO enforcement need to be reviewed and updated in light of the Parking team taking over this responsibility.	Significant	This work is already underway	Parking Manager	28-Feb-21	08/03/21 No update provided.
3	Parking Services	Nov-20	A full and comprehensive review and data cleansing of the G Drive files should be undertaken to ensure compliance with GDPR legislation and data retention policies. The data cleansing should be recorded appropriately within the councils Disposals Log.	Significant	Agreed. The majority of the data held on the Parking G drive could and should be deleted.	Regulatory Services Manager	28-Feb-21	08/03/21 No update provided.
4	Parking Services	Nov-20	Information and imagery held on Imperial 360 should be subject to regular managerial review to ensure GDPR compliance. Furthermore, establishment of data retention policy on the DAM 360 body camera data is required. This should include data cleansing and disposal processes in line with the council's retention and disposals policy.	Significant	We will work with our supplier to ensure that data outside the council's retention period is deleted. The data management for the body worn video system must comply with the council's data retention policy. The new Parking Support Officer has this as a specific task.	Regulatory Services Manager	28-Feb-21	08/03/21 No update provided.

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5	Parking Services	Nov-20	Reassurance of the business continuity arrangements under the contract with Imperial 360 should be obtained to ensure service provision in the event of a disruption occurring.	Significant	Clarification will be sought and recorded.	Regulatory Services Manager	28-Feb-21	08/03/21 No update provided.
12	Parking Services	Nov-20	The council should look to review the third party arrangement for the printing of its' parking tickets. Further exploration of the opportunities to gain additional revenue from the ticket advertising should be carried out.	Significant	We will work the Procurement team to identify best practice.	Regulatory Services Manager	28-Feb-21	08/03/21 No update provided.
13	Parking Services	Nov-20	Processes should ensure that consistent reviews of training needs are undertaken as part of the 1.2.1 meetings and appraisal process to ensure all CEO's receive appropriate training to enable them to undertake their duties effectively and safely.	Significant	This work has commenced with the support to HR for the necessary staff training.	Regulatory Services Manager	28-Feb-21	08/03/21 No update provided.
14	Parking Services	Nov-20	A review of the lack of appropriate project management principles with regards to The Malls car parking machines should be carried out and lessons learnt, documented and noted.	Significant	The issues from this procurement have already been discussed and identified. These will be formally recorded.	Regulatory Services Manager	28-Feb-21	08/03/21 No update provided.
1.3 Recommendations that are not yet overdue as at 16th March 2021								
1	Commercial Maintenance	Nov-20	Relevant written procedures for the commercial maintenance programme should be developed.	Significant	All processes and procedures to be documented for the Asset Team, logged on share point with a document list of procedures and next review date	Head of Property & Assets	31-Mar-21	01/03/21 Asset Manager - Operational Portfolio confirmed that processes have started to be mapped out, work in this area is taking longer than anticipated.
4	Commercial Maintenance	Nov-20	Electronic and manual documentation should be reviewed to ensure compliance with the council's retention & disposal policy	Significant	Main issues with Info@Work System there is no disposal date for documentation to be automatically disposed of - this has been highlighted with IT team. Going forward we have already worked with Tech Forge to have this function on the MIS system.	Head of Property & Assets	31-Mar-21	01/03/21 Asset Manager - Operational Portfolio confirmed 'It looks as if the info @ work system is not being maintained going forward (when actual date will be do not know) the person who knew a lot about Info@Work has now left. We need to pick this up with IT again'.
1	IT Network Security	Jan-21	A thorough review of the resources and information accessible to non-authenticated actors via http://10.1.11.60 & http://10.1.11.61 should be undertaken to ensure only those actors with a business requirement for access to each document have it.	Significant	IT Support Manager: The room bookings was confirmed not needed and deleted. IT to review other applications and remove as confirmed.	IT Manager	31-Mar-21	

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2	IT Network Security	Jan-21	The Room Bookings web application and AD lookup web page, both accessible via 10.1.11.61 should be updated so that all untrusted input is thoroughly sanitized prior to being utilised by the application.	Significant	IT Support Manager: The room bookings was confirmed not needed and deleted. AD lookup is likely to be redundant but this will be confirmed.	IT Manager	31-Mar-21	
3	IT Network Security	Jan-21	The default username and password currently utilised on the web service accessible via TCP port 80 on 10.1.2.141 should be updated to a secure alternative.	Significant	IT Support Manager: This is the admin interface for call recording and has been raised with the supplier.	IT Manager	31-Mar-21	
4	IT Network Security	Jan-21	The xSQL Software web application should be updated so that it is only accessible via an encrypted (e.g. HTTPS) connection. The ability of users to self-register should also be undertaken.	Significant	IT Support Manager: This will be raised with the BDBC Projects team to understand the requirements.	IT Manager	31-Mar-21	
5	IT Network Security	Jan-21	Restrict access to the Uni-Form Oracle Monitor accessible via http://10.1.11.61.	Significant	IT Support Manager: This will be raised with the BDBC Projects team to understand the requirements.	IT Manager	31-Mar-21	
6	IT Network Security	Jan-21	The web service accessible via 10.1.11.61:80 should be updated so that only generic error messages are displayed to visitors.	Significant	IT Support Manager: This will be raised with the BDBC Projects team to understand the requirements.	IT Manager	31-Mar-21	
10	IT Network Security	Jan-21	Disable cleartext authentication mechanisms in the AMQP configuration	Significant	IT Support Manager: This is for call recording and has been raised with the supplier.	IT Manager	31-Mar-21	
11	IT Network Security	Jan-21	Reconfigure the affected services so that RC4 cipher suites are not enabled	Significant	IT Support Manager: These need raising with our suppliers to complete, if it is possible to reconfigure.	IT Manager	31-Mar-21	
22	IT Network Security	Jan-21	Awareness of scam e-mails should be raised across the council, for both staff and councillors, including the process that should be followed if a suspicious e-mail is received.	Significant	IT Manager: The IT and Fraud teams will continue to communicate and educate staff with information regarding keeping safe online. We will review what and how communication if undertaken to ensure it is more effective.	IT Manager	31-Mar-21	
23	IT Network Security	Jan-21	Staff who have not yet completed the mandatory e-learning module on Fraud Awareness are requested to do so.	Significant	Chief Internal Auditor: Heads of Service are being contacted by the Fraud Investigator to advise relevant staff to complete the module.	IT Manager	31-Mar-21	
1	Information Governance	Feb-21	An action plan is required to assist with compliance to the ICO self-assessment framework on GDPR compliance.	Significant	A report will be presented to SLT on 17 February where the views of SLT will be sought on what the council should be seeking to achieve through the self-assessment. Following this the Information Governance Steering Group will review and agree to an action plan.	IG Steering Group	30-Apr-21	

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3	Information Governance	Feb-21	Staff are reminded of the mandatory requirement to complete information governance related e-learning modules. Senior Management action should be taken where they are not completed.	Significant	The IG Steering Group will receive extended reports on compliance and escalate to Executive Directors as appropriate. HR send reminders to e-learning module owners in respect of mandatory e-learning modules.	IG Steering Group/ SLT	30-Apr-21	09/03/21 Internal Audit noted from the Information Governance Steering Group' meeting of 9 Feb that the data protection e-learning completion rate was at 95%
4	Information Governance	Feb-21	Personal information collected as part of the Community Hub work should be removed in accordance with data protection principles.	Significant	DPO to speak to the Economy & Culture Manager regarding this.	Head of Legal Services/ Head of Borough Develpt.	30-Apr-21	
1	GIS	Mar-20	The GIS review project is established and resourced as a matter of priority to enable appropriate governance arrangements concerning GIS to be agreed and implemented. Priority considerations should be: Establishment and resourcing of a GIS governance board; Development of a GIS strategy; Improve the quality of GIS data and standardise data management processes and protocols; Establishment of a robust and future proof technical architecture; Address issues with communication concerning GIS across the council; Provide & implement the recommendations of the ESRI GIS and the NCC Group report via the Digital Programme.	Fundamental	Interim Head of Transformation & Improvement - Agreed. Whilst timescales for milestones are TBC at this point as the new Project Manager hasn't yet commenced employment with BDBC, I would expect this work to be ongoing for a period of 3-4 years in line with the Digital Programme with a phase 1* completed within a 1 year horizon. *implementation of governance arrangements & strategy & improvements to technical architecture & data quality.	Interim Head of Transformation & Improvement	TBC (part of phase 1 of the digital prog.)	08/03/21 No update received. However, GIS project established within the CPMO and the Verto Project Management system. A GIS Analyst post has been established within IT Services.