Details on those recommendations outstanding
Status – all Amber (Ongoing with deadline missed)

<u>**Improvement and Corporate Services**</u>

IT Disaster Recovery (including back up and restore arrangements)

Recommendation R1: (Carried forward from previous audits) A disaster recovery plan should be developed and approved. As a minimum, this should include: • the identification and prioritisation of key IT systems • the roles and responsibilities of relevant officers and third party suppliers • a set of IT procedures which should be executed initially to react to crises/disaster • escalation procedures • salvage procedures that deal with retrieval of items from affected • the recovery and reconfiguration of all IT and communications systems • details of additional accounts where monies may be sourced to aid recovery efforts • a schedule in respect of the testing of the plan
Rationale for Recommendation: As has been previously reported to the Committee, a thorough review of the existing data centre provisioning at CBC is in progress. It is anticipated that there will be significant changes made in the technologies in use and how they are supported. ICT is undertaking to deliver a refreshed and renewed DR plan.
Target Dates: September 2015 (Original) April 2016 (Revised, tender decision made) March 2017 (Revised plan pursuant to the tender outcome.) May 2017
Current Position and Explanation for Slippage: A detailed report providing an update on the ICT Disaster Recovery (DR) Plan was presented to the April Committee. The DR Statement Plan has been updated based upon comments provided and where it was noted in the minutes. Internal Audit has commenced a follow-up review.

Recommendation R2: A review of resources alongside disaster recovery processes should be undertaken to confirm if the Council could cope without third party support and expertise. Arrangements should be clearly documented in the DR Plan.
Rationale for Recommendation: The Council no longer has a contractual agreement with an external party for the recovery of services.
Target Dates: September 2015 (Original) April 2016 (Revised) March 2017 May 2017
Current Position and Explanation for Slippage: As above.

Social Care, Health and Housing

Housing Tenancy Management

Recommendation R3: The Director of Social Care, Health and Housing and the Director of Regeneration and Business should clarify how housing responsibilities are allocated across their directorates. This should include the responsibility for and ownership of the Tenancy Strategy.
Rationale for Recommendation: The Housing Tenancy Strategy was drafted by the Assistant Director - Housing Services with an Executive Foreword jointly signed by the Executive member with responsibility for Social Care, Health and Housing and the Director of Social Care Health and Housing (SCHH). It was approved by the Executive in March 2013 however during the course of this review it became apparent that responsibility for and ownership of the strategy is unclear. Discussions between the Director of Social Care, Health and Housing and the Director of Regeneration and Business confirmed that housing responsibilities lie across 2 Directorates, SCHH and Regeneration and Business, and that both Directors will clarify how this will be addressed.
Target Dates: November 2015 March 2016 (revised) August 2016 October 2017
Current Position and Explanation for Slippage: The Regeneration and Business restructure is currently out to consultation. The recommendation will be addressed once this is finalised.

Recommendation R4: A Monitoring Group should be established, with clear terms of reference, to monitor and review the effectiveness of the Tenancy Strategy.
Rationale for Recommendation: Each Provider is responsible for its own individual tenancy policies, as well as arrangements for review and appeals. However, the Tenancy Strategy proposed that the Council establish a monitoring group consisting of representatives of registered providers and other key stakeholders. This group is meant to support the Council in its role of monitoring and reviewing the effectiveness of this Strategy but the group is yet to be set up.
Target Dates: November 2015 March 2016 (revised) August 2016 October 2017
Current Position and Explanation for Slippage: This will be addressed as part of the action plan being developed in response to the earlier recommendation.

Housing Repairs Commissioning

Recommendation R5: Housing Repairs expenditure in QL and SAP should be regularly reconciled.

Rationale for Recommendation:
There is no reconciliation between Housing Repairs expenditure in QL and SAP. Actions to resolve this are defined within an invoice review process. Three specific objectives are to be achieved:
   1) A robust interface between the SAP system and the QL system, so that these systems effectively function as one system within the Invoice Process.
   2) A business process that includes pre-payment on account (subject to reconciliation) related to invoicing where work supplied is goods receipted and approved for payment, concurrent with the contractors process to provide an invoice for payment.
   3) Updated procedures which define management accountability, including delegation of task related authority, to ensure that a robust reconciliation of Repairs works to invoices takes place.

Target Dates: End September 2014 End March 2015 (revised) End June 2015 (revised) October 2015 (revised, self billing) January 2016. June 2016 July 2016 Nov 2016 June 2017 (see below)
Current Position and Explanation for Slippage: **Progress since last update**: Since the last update, stakeholders remain the same and continue to work together (including Corporate IT and the software supplier). However business requirements have changed and contractual agreements continue to develop. The largest change is a Re-focusing on the audit recommendation and shift towards procedures rather then Interfaces ensuring QL and SAP reconcile. Work then is more focused in business processes being followed rather then a reliance on complicated IT interfaces. **Action 1 –** Housing are still running the original QL to SAP interface, with enhancements to ensure Electronic billing is included. After a successful testing and trial period, work on Phase 2 has been parked. This hold on development is partly due to over complication, and changes in streamlining housing processes. Work completed so far has been packaged up for future use if needed, and far outweighed by contractual efficiencies being made. **Action 2 -**The trial of the process with a major contractor is now complete, working well and includes pre-payment on account. Business assurances and SLA's between housing and finance now need exploring to ensure process is accepted as BAU. This will deliver significant time efficiencies. The process has demonstrated that there are no late payment issues occurring. **Action 3 -** Operational processes, delegation authorities and accountability have all been documented, signed-off and regularly audited as a result of the original project. **New Action 1** – Business processes & Structure Business processes have been developed and Housing structure tweaked to ensure all invoices pass through one central point and are checked in QL before being sent to SAP for payment. Both changes are essential in making sure SAP only receives information that has been processed through QL without exception. Further work is also underway to develop housing's management reporting and budgeting processes in focusing on reconciliation between systems.