

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

Improvement and Corporate Services

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)

Current Position and Explanation for Slippage:

The tender for data centre provisioning at CBC was published in December 2015. It is anticipated that tenders will be evaluated and a decision made by February 2016. A disaster recovery plan based upon the revised infrastructure will then be developed.

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)

Current Position and Explanation for Slippage:

This is subject to the agreed action in the recommendation above.

Recommendation R3:

Clarification regarding IT insurance arrangements at non CBC sites should be sought and reviewed. Arrangements should be clearly documented in the DR Plan.

Rationale for Recommendation:

It is not clear if the Council has appropriate insurance cover in place for equipment held at data centres Hoddesdon and Luton.

Target Dates:

September 2015 (Original)

December 2015 (Revised)

April 2016

Current Position and Explanation for Slippage:

The Council's Insurance Team is currently addressing this issue, in consultation with IT.

Social Care, Health and Housing

Housing Tenancy Management

Recommendation R4:

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)

Current Position and Explanation for Slippage:

An action plan is being developed to ensure housing responsibilities across the directorates are agreed and implemented however this has been delayed due to other commitments. Discussions between the Director of Social Care, Health and Housing and the Director of Regeneration and Business are in progress and a revised target date of March 2016 has been agreed.

Recommendation R5:

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)

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 R6:

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 received 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. (see below)

Current Position and Explanation for Slippage:

A technical interface and related business processes were designed and implemented to move commercial information from QL to SAP. During testing and live operation it has been determined that the 'technical link – business process combination' that has been implemented does not provide a 100% accurate and reconcilable commercial environment. Although the rate of error is very small, there are occasions where information can be mishandled. As such, it has been deemed prudent to develop a more robust data exchange between our QL and SAP systems. This work is has been scoped within the **Housing Digitalisation Project** as a comprehensive change management programme where Repairs – the SAP / QL / Contractor systems environment – is the top priority for re-design and improvement. The roll out to all contractors will not commence until the data exchange between the two systems is robust and testing demonstrates that the reconciliation is 100% accurate. This is likely to be Quarter 4 2015/16 however revised dates for this programme will be reported to Audit Committee once the Board has approved the Project Initiation Document (PID).

In addition, work is continuing to identify a pragmatic resolution with the technical link that was implemented. Specifically, a Date field appears to be the problem between SAP and QL. The next test of data (as a reconciliation exercise) is scheduled for January 2016. In the event that an accurate test is completed in January, this will be reported to Committee. However 'partial success' does not obviate the requirement for comprehensive re-design and change to be implemented.

Updates to Audit Committee will continue during 2016 and possibly 2017 until the roll out to all contractors is successfully completed. No milestone date set.