

**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)

March 2017 (Revised plan pursuant to the tender outcome.)

Current Position and Explanation for Slippage:

An OJEU tender to replace the existing data centre capacity with professionally managed capacity returned offers that were deemed to be too expensive. An internal process is now underway to move to CBC managed cloud capacity and will commence when the annual PSN compliance work is finished in July 2016. The full move of capacity is hoped to be completed by the end of March 2017. Target date for security updates has been adjusted to match the strategy.

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.

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

Current Position and Explanation for Slippage:

Housing responsibilities across the directorates have now been considered. In light of this, a review of the Constitution is being undertaken to ensure it accurately reflects the responsibilities identified.

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

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.(revised)
June 2016 (see below)
July 2016 (see below)

Current Position and Explanation for Slippage:

Progress since last update:

Since the last update, the stakeholders remain the same and continue to work together (including Corporate IT and the software supplier) and some progress is being made on the QL/SAP interface. IT continues to manage the project structure including the deliverables and timeline. Preparations are underway for some user acceptance testing in mid June 2016, once our IT providers complete their development work.

Action 1 - From the Business Requirements Document (BRD) produced in January 2016 the reconciliation of repairs works invoices is being tested. In the interim however, testing of accurate reconciliation between operational and finance teams is underway aiming for clarity by the end of June 2016. This is an interim measure that has been agreed, while the IT solution is awaited. Advice and support is being supplied by Audit.

The suppliers remain engaged in updating the SAP/QL interface, to enable an automatic reconciliation of the 2 systems.

Action 2 -The trial of the process with a major contractor continues including pre-payment on account. A roll-out plan to progress the trial with more contractors is in place. The issue of user error is being addressed ongoing within the service. A further reconciliation test is being carried out in June 2016 to confirm orders transfer.

Action 3 - Operational processes, delegation authorities and accountability have all been documented and signed-off as a result of the original project and audit requirements. Regular audits of user authorisation levels and delegation (separation of duties) are also carried out to ensure we meet audit recommendations.