

Appendix A

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:

A detailed report providing an update on the ICT Disaster Recovery (DR) Plan has been prepared by the Chief Information Officer and is presented elsewhere on this agenda

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

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

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)
Nov 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 significant progress is being made on the QL/SAP interface. IT continues to manage the project structure including the deliverables and timeline. Some user testing in June 2016 demonstrated that further development was still required, so work continues with further user testing is scheduled for late September.

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, with an interim measure that has been agreed, while the IT solution is awaited. Advice and support is being supplied by audit. A methodology has been agreed between relevant staff, with the focus now on testing out the methodology on quarter 1 expenditure. Essentially any work orders within QL should also be in SAP, 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 is now concluding as the system is working well and includes pre-payment on account. A roll-out plan to progress this new process with more contractors will now be progressed to include the main day to day contractor. 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 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.

Further work is also underway to streamline systems and to eliminate any user errors in how the whole system is managed. The lessons learned from the process are informing a review of how invoicing for the whole service is managed in the future.