

## Audit and Risk Committee

### Quarter 2 11/12

#### Outstanding High Risk Recommendations where Target Date Changed Twice or More

Resources and Support Services					
Audit Area	Recommendation agreed with Managers	Last Target Date	No of Times the Target has Changed	Executive Director Proposal	Recommendations
Data Protection and Software Licencing  Notification System	3.3.5/6/7/8 – Steps should be taken to establish an internal notification system for 'systems' holding 'personal data'. Such a process should provide all information to enable compilation of the necessary notification documents. This system would also be used to review/renew the Authority's notifications with the Information Commissioners Officer (Resp: Head of Human Resources)	30.09.11	4	23.12.09 – Work on the establishment of an information 'asset register' is currently being undertaken by Bentley Jennison who have requested an extension to their project completion date. Target date amended to 31.05.10.  11.06.10 Head of HR advised: 23.12.09 Research undertaken to date has not identified a suitable statement for approval. Target date amended to 31.05.10.  11.06.10 Head of HR advised: Insufficient capacity to complete. Request target date extended to enable matter to be dealt with by Audit Technician/Information Assurance Officer when in post as agreed by Information Security Group on 04.05.10.	Target date be revised to 31.03.12

**Resources and Support Services**

Audit Area	Recommendation agreed with Managers	Last Target Date	No of Times the Target has Changed	Executive Director Proposal	Recommendations
				<p>Audit Manager advised: A draft information asset register has been received, currently awaiting final report from RSM Tenon, this will also be picked up as part of the role of Audit Technician/Information Assurance Officer.</p> <p>08.11.10 Audit Manager advised to revise target date to 31.03.11.</p> <p>06.04.11 Request target date is revised to 30.09.11.</p> <p>24.10.11 – Work is still continuing with regards to this area of work. This links to various programmes of work that are currently on going across the council, it is anticipated that a system will be in place by the end of the financial year.</p>	

### Resources and Support Services

Audit Area	Recommendation agreed with Managers	Last Target Date	No of Times the Target has Changed	Executive Director Proposal	Recommendations
Business Continuity	The ICT disaster recovery plan should be finalised as soon as possible.	31.08.11	4	<p>27.07.10 – Progress has been made with Disaster Recovery site up and running. Data duplication across link. Work to test plan has halted due to lack of resources. Plan to resume work during August.</p> <p>06.01.11 – No response to memo of 07.12.10. Target date changed to 31.01.11.</p> <p>14.01.11 will be reported to Audit and Risk Committee 31.01.11.</p> <p>14.01.11 – Head of ICT Services stated the ICT plan has been finalised but this is dependant upon the completion of the BIA's and the corporate BCP which are currently being progressed by Heads of Service and at EMT. EMT has approved the infrastructure for the disaster recovery telephony for Kidsgrove. Once this has been installed the testing will be undertaken. Request target date change to 31.07.11.</p> <p>10.08.11 – No response to email of 06.06.11 re: outstanding recommendations. Target date moved to 31.08.11.</p> <p>24/10/11 Network &amp; telephony links to Disaster Recover site complete and tested. Data Replication has been tested and is in place. Following on from collation of the BIA s from all service areas, business critical systems will need to be identified to ensure availability in the event of a disaster – awaiting</p>	Target date be revised to 31.01.12

				<p>decision before can progress..</p> <p>A major programme of work to ensure that the ICT Disaster Recovery Plan is fit for purpose is now being undertaken . Completion by end January 2012</p>	
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### Resources and Support Services

Audit Area	Recommendation agreed with Managers	Last Target Date	No of Times the Target has Changed	Executive Director Proposal	Recommendations
Business Continuity	Testing of proposed ICT arrangements should be completed as soon as possible.	31.08.11	4	<p>27.07.10 – Progress has been made with Disaster Recovery site up and running. Data duplication across link. Work to test plan has halted due to lack of resources. Plan to resume work during August.</p> <p>06.01.11 – No response to memo of 07.12.10. Target date changed to 31.01.11.</p> <p>14.01.11 – Will be reported to Audit and Risk Committee 31.01.11.</p> <p>14.01.11 – Head of ICT Services reported that a lack of resources has resulted in delays to this recommendation being progressed. This is also linked to the recommendation where there is a dependency on the installation of telephony before plans can be fully tested. Request target date change to 31.07.11.</p> <p>10.08.11 – No response to email of 06.06.11 re: outstanding recommendations. Target date moved to 31.08.11.</p> <p>24/10/11 Telephony installed, all links in place and tested. Awaiting decision on business critical systems to be replicated due to server capacity at the site, A major programme of work to ensure that the ICT Disaster Recovery Plan is fit for purpose is now being undertaken . Completion by end January 2012.</p>	Target date be revised to 31.01.12

### Resources and Support Services

Audit Area	Recommendation agreed with Managers	Last Target Date	No of Times the Target has Changed	Executive Director Proposal	Recommendations
<p>HouseKeeping/Data Management</p> <p>Policies should be documented</p>	<p>Housekeeping and Data Management policies/procedures should be documented. Policies should be presented to Senior Management for approval. These should cover the following areas:</p> <ul style="list-style-type: none"> <li>• Housekeeping (Backups, Restores and Restart/Shutdown)</li> <li>• Archiving</li> <li>• Capacity and Performance</li> <li>• Data Management including Storage</li> <li>• Data Retention/Disposal</li> <li>• Data Classification</li> <li>• Data Limits</li> </ul> <p>Policies should be subject to periodic reviews which should be evidenced.</p>	<p>31.08.11</p>	<p>3</p>	<p>Housekeeping will rectified within 3 months.</p> <p>Due to resourcing issues and current workload the rest will take longer to achieve.</p> <p>06.01.11 – No response to memo of 07.12.10. Target date changed to 31.01.11.</p> <p>14.01.11 – Work still in progress due to workload and resource issues request to extend target date to June 2011.</p> <p>10.08.11 – No response to e-mail of 06.06.11 re outstanding recommendations. Target date moved to 31.08.11.</p> <p>24/10/11 Policies that have corporate implications now follow strict process: submitted to H of C&amp;ICT Services, checks made, submission to Information Security Group.. Some specific polices, such as Retention &amp; Disposal, are being developed as part of transformation projects.</p> <p>Internal ICT polices are submitted for approval to the H of C&amp;ICT Services</p>	<p>Recommendation can be closed</p>

### Resources and Support Services

Audit Area	Recommendation agreed with Managers	Last Target Date	No of Times the Target has Changed	Executive Director Proposal	Recommendations
HouseKeeping/Data Management	Management should be implemented password protection/encryption for backup media.	31.08.11	4	<p>Will investigate options and costs.</p> <p>06.01.11 – No response to memo of 07.12.10. Target date changed to 31.01.11.</p> <p>14.01.11 – Head of ICT requested target date change to September 2011 – research is still ongoing in relation to this – target date changed to 30.06.11 as per agreement at Audit and Risk Committee.</p> <p>10.08.11 – No response to email of 06.06.11 re outstanding recommendations. Target date moved to 31.08.11.</p> <p>24/10/11 Backup Media - this will form part of the Backup Hardware Replacement paper to be submitted to Capital Review Group in Nov 11 for approval.</p>	Target date be revised to 31.12.11

## Regeneration and Development

Audit Area	Recommendation agreed with Managers	Last Target Date	No of Times the Target has Changed	Executive Director Proposal	Recommendations
<p>Public Buildings Maintenance</p> <p>Window Cleaning Contract to be set up</p>	<p>The three subcontractor files for lift maintenance, window cleaning and boiler maintenance should be provided to Internal Audit for review. A new window cleaning contract should be entered into.</p>	<p>30.09.11</p>	<p>2</p>	<p>Files have been provided. The contract for window cleaning has expired. Agreed that a new contract will be entered into.</p> <p>06.01.11 – No response to memo of 07.12.10, therefore target date changed to 31.01.11</p> <p>26.01.11 – Request target change to 30.09.11 – EMT have agreed a restructuring of the department and when the Facilities Manager is in post this will be carried out.</p> <p>16.02.11 – Some progress has recently been made with the window cleaning contract/arrangements:</p> <p>A schedule of properties has been compiled detailed addresses and the frequencies of cleans. A competitive</p> <p>Contract notice will be issued by 25<sup>th</sup> February, 2011. Interested companies will be invited to submit applications by 25<sup>th</sup> March, 2011. Order placed for work to commence 9<sup>th</sup> May, 2011.</p> <p>Estimated value of works £10,000 per annum.</p> <p>26/10/11 – The Head of Assets reported that a new Facilities Manager will commence work Monday the 31st of October.</p> <p>The revision of the contract will be one of the priorities given to him along with other matters; consequently I anticipate it will be placed early in 2012.</p>	<p>That the target date be revised to 29.02.12</p>



<p>Depot – Establishment Audit</p> <p>Security Contract</p>	<p>An agreement should be put in place with Security Services Ltd. In respect of services provided at the Depot including prices, service levels, start/end dates, default terms etc. A tender exercise should be undertaken to secure a contract which incorporates the security arrangements across all Council sections.</p>	<p>30.09.11</p>	<p>2</p>	<p>A tender exercise will be undertaken in respect of securing a security contract across all sections of the Council.</p> <p>06.01.11 – No response to memo of 07.12.10, therefore target date changed to 31.01.11</p> <p>26.01.11 – Head of Assets, Engineering Manager, Acting Facility Manager and Head of Operations are to meet in early February to discuss review/renewal of security/fire and CCTV contracts. To enable a full procurement exercise to be undertaken it is requested that the target date be extended until 30.09.11.</p> <p>26/10/11 – The Head of Assets reported that a new Facilities Manager will commence work Monday the 31st of October. The revision of the contract will be one of the priorities given to him along with other matters; consequently I anticipate it will be placed early in 2012.</p>	<p>That the target date be revised to 29.02.12</p>
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