| Ref | Name of Audit | Year | Rec. | Recommendations | Priority | Person Responsible | Date due | Position/Progess to date | HoS Directorate |
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| CM0045 | E-payments | 2008/2009 | 7 | Procedures should be formulated to identify if transactions could be recreated in the event of the main server becoming unavailable and before the end of the day transactions are sent to the bank. | Medium | Corporate & Business Applications Manager | March 2009 - Revised March 2010 Revised September 2010. Revised November 2010. Revised March 2011. Revised July 2011. | Data on server is backed up every night and can be restored on receipt of a service desk ticket. System Provider (Northgate) can not provide a solution but there is an option to do this from the database. As part of the data centre move we are looking at database resilience which could deal with this audit requirement. This action is dependant on moving the Paris system to the new data centre. This work will be complete by the end of March 2011. Paris will be moved into the new data centre and transactions will be resilient and therefore this issue will never arise. Update April 2011 - Due to need to comply with PCIDSS standards, investigation current ongoing into the remote hosting of this system. | Business Systems Finance & Commerce |
| PR0016 | Commissioning of Works | 2008/2009 | 2 | A signed copy of the approved contract and financial submission for Architectural and Surveying (Property) contract should be supplied to the Head of Asset Management. A signed copy of the approved contract and financial submission for Civil Engineering (Highways) should be supplied to the Head of Street care. | High | Head of Legal Services | December 2009 - Revised April 2010. Revised September 2010. Revised November 2010. Revised February 2011. Revised July 2011. Revised December 2011. | Both contracts have now been executed on the Council's part and issued to Jacobs solicitors. | Asset Management Finance & Commerce |
| CM0043 | IT Security & Data Management | 2008/2009 | 2 | A corporate information identification, classification and assessment exercise should be conducted. A resource that details all the Council's information (including data owners, retention periods, sensitivity etc) should be developed as well as an information management policy document which could consider the adoption of the Local Government Classification Scheme. | High | Information Governance Group Chaired by Head of Legal Services | March 2010 - Revised June 2011. Revised September 2011. | The issues regarding information governance within this report have been evaluated and fed into a project looking at the Council's overall arrangements. This work is being led by Corproate Risk Manager & Head of Legal Services and involves relevant officers from across the Council, who have formed an operational group. Strategic direction is being provided by the officer Governance Group, chaired by the Group Director Finance & Commerce. | Legal & Democratic Services |
| CM0043 | IT Security & Data Management | 2008/2009 | 4 | Management should enhance the current controls over USB devices. This should ensure that the following elements are put in place:-Only Council issued devices are to be used for Council business - Device asset register maintained/or record of distribution - USB devices should have encryption enabled - Password access controls put in place for USB devices | High | Infrastructure Support Manager | October 2009 - Revised December 2009. Revised June 2010. Revised November 2010. Revised June 2011 Revised December 2011. | Being implemented as part of the GCSx CoCo work As we roll out encryption this will ensure control over USB devices. Non Council purchased devices will not work with Council equipment. Checkpoint encryption system in rollout phase. This will encrypt every laptop and USB device. Desktop USB ports to be disabled and then only enabled by exception, at which point encryption will be utilised. Rollout to be expediated with additional resources if necessary, as transforamtion work activities are utilising all in house resources. New build workstations being rolled out in line with COPS2 schedules, these will have USB ports controlled with limited access to deploy programs. Over 316 laptops are now encrypted. | Business Systems Finance & Commerce |
| CM0037 | Telecommunications | 2008/2009 | 1 | The Council should develop and test a Disaster Recovery and Business Continuity plan for telecommunications or alternatively consider these arrangements in consultation with the system supplier (Damovo) to ensure that telecommunications can be recovered and restored in a timely manner. This should be performed in line with service expectations of the recovery time objectives for telecommunications. | High | ICT Infrastructure Support Manager | March 2010 - Revised June 2010. Revised December 2010. Revised June 2011 Revised December 2011 | Work is continuing to fully evaluate the future telecommunications strategy in terms of voice and data network convergence, wan provision, DR and continuity in line with the forthcoming customer services strategy. In the interim, capital budget was allocated to enhance existing telephony switch power and environmental infrastructure resiliance. Several additions to telephony systems and database back up services have now been implemented. Work is to begin shortly on converting the existing SPOF that is the central core swithc into a shared and distributed server based topology, thus creating a resiliant system across the network. Infrastructure is being builtoffsite ready for testing. Deployment is scheduled for the second quarter of 2011 | Business Systems Finance & Commerce |

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| SC0038 | Integrated Youth Services | 2009/2010 | 6 | Re-evaluate the provision of supervisions: D Consider devolving supervision responsibilities to area managers. D Decide upon and implement a minimum criteria for supervision frequency. | Medium | Workforce Development Worker | April 2010 - Revised December 2010. Revised April 2011. Revised January 2012 | That personal supervision be develoved to full time staff with senior part time staff undertkaing unit staff team meetings. Frequency to be extended to 8 weeks (currently 6). Action will need change to senior part time workers job profile. Rec to senior management team for approval end August 2010. meeting held with Janice Horslan. Issues regarding frequency and quality of supervision and monitoring will need to be in place. supervision training for the managers will be addressed. supervision will be in four parts with group supervision for part-time staff. Frequency of supervision remains at 6 weekly intervals with team supervision for part time staff, undertaken twice per term. new agreement tot be included in staff development and training guidelines.Update April 2011- Post of Workforce Development and Area Managers at risk due to savings requirements, new process will be required.Will need to built into new restructure of service in Autumn for 2011 roll out. Interim arrangements will therefore be put in place detailed from HR1. | Children's Services Social Care & Learning |
| SC0038 | Integrated Youth Services | 2009/2010 | 8 | Review data and file storage procedures to ensure they meet Service needs. | Low | Deputy Service Manager | September 2010 and ongoing - Revised December 2010. Revised May 2011. Revised October 2011 | Process underway with Mark Scanlon (ISM) to link on line data storage and electronic filing with and for our admin team. Training in respect of electronic data management to take place during March 2011 with documents at the central office being back scanned by May 2011, at which time the system should become fully operational. Appropriate documents are now archived with Iron Mountain. Update April 2011- Training has been delayed and will take place late May/early June 2011. The system is due to become operational by the end of May 2011. | Children's Services Social Care & Learning |
| CO0033 | Climate Change | 2009/2010 | 1 | It is recommended that the service consider the establishment of a formal protocol for input by the Environmental Strategy Team into Asset Management and construction standards / projects. | Medium | Head of Asset Management/Energy Management Officer | April 2010 - Revised September 2010. Revised December 2010. Revised January 2011. Revised September 2011. | The recommendation was reviewed by the Climate Change Working Group on 20.9.10 in the light of Cabinet's proposed deferral of LDF planning requirements for higher standards in new development. Revised protocol to be drafted by Head of Asset Management in conjunction with Head of RP&P, omitting reference to standards, but ensuring timely input to construction projects. Report being prepared for Climate Change Working Group in Sept 2011. | Asset Management Finance & Commerce / Regeneration, Policy and Planning Culture & Community |
| CM0048 | Government Connect GCSx | 2009/2010 | 2 | Management should urgently implement the requirement for password complexity in compliance with GC requirements | High | Infrastructure Manager | July 2010 - Revised November 2010. Revised June 2011. Revised August 2011 | This forms part of the migration to MS AD, it has been delayed due to issues with the Identity Manager upgrade but should be supported once the upgrade has been completed in july. Delays in the roll out of AD & IM upgrades have meant that the implementation has been revised. Work now proceeding with revised implementation date. Complex passwords now ready to be deployed, however a furhter piece of work is being implemented to roll out a 'password safe' system in line with LBN processes. A revised date is therefore set for the second quarter of 2011. FU update MS Outlook instead of Groupwise has been implemented, however, Netware is still installed. A product called Password Safe is also being implemented at the same time and Active Directory by end of April 2011 but the Password Safe product will be rolled out first to assist users to manage complex passwords which will be enforced by Active Directory Update June 2011 This has now been subsumed into the Unified Communications Project which will replace our current telecommunications infrastructure. This will include DR, survivability contigencies and high availability for business continuity. | Business Systems Finance & Commerce |
| CM0048 | Government Connect GCSx | 2009/2010 | 4 | In compliance with the GC return made by the Council, management should urgently address the requirement of ensuring that the IDS (Intrusion Detection Service) installed performs detection of the traffic through the network installation, blocks any unauthorised access attempts and a review is carried out of the logs generated by the IDS. | High | Information Governance Officer | March 2010 - Revised December 2010. Revised March 2011. Revised Sept 2011 | Update April 2011 - IDS is recommended within the GC CoCO.We are reassessing our need for IDS and considering the alternative provision of the PARIS application.FU Update Not Applicable - No Further Action | Business Systems Finance & Commerce |

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| CM0048 | Government Connect GCSx | 2009/2010 | 10 | Management should ensure that all users have positively signed an Acceptable Usage Policy or commitment statement as recommended by GC and that a record is retained of the signed document. | Medium | Interim Information Security Advisor | April 2010 - Revised December 2010. Revised March 2011. Revised July 2011 | Update April 2011 - This is in place for all users with a GCSX account. The technical solution to provide an automatic logging of agreement with AUP is dependant on the removal of Novell and deployment of MS Active Directory. FU Update Every GC user has to undertake the on line training and sign the Personal Commitment Statement (same as AUP). Those users who have not undertaken the training are being followed up. | Business Systems Finance & Commerce |
| CM0048 | Government Connect GCSx | 2009/2010 | 13 | Management should undertake a review of its data and undertake a process to classify data in accordance with the recommended national and Government classification scheme so that it can begin to protect its data and grant access on the classification assigned to the data. | Medium | Information Governance Group Chaired by Head of Legal Services | September 2010 Revised December 2010. Revised June 2011. Revised September 2011 | Update June 2011 - The on line training to be completed covers 'Protective Marking and is also mentioned in the Business Systems Policy. However, work is still being completed to classify all the data within the Council. | Legal Services Legal & Democratic Services |
| FC0047 | Comensura | 2009/2010 | 1 | It is recommended that when the Comensura contract is re-tendered in 2011, measurable performance indicators and targets should be formally agreed. | Medium | Interim Recruitment and Contracts Manager | April 2011 - Revised December 2011 | Update June 2011.the Comensura contract comes to an end August 2012. We will be possibly preparing to go out to tender Nov/Dec 2011 where we will put into the specification measurable performance indicators and targets to be reviewed and measured on a Qtr basis. | Head of Shared Services Finance & Commerce |
| CO0028 | Contract Completion Final Accounts | 2009/2010 | 1 | It is recommended that a system of management or peer reviews is implemented to ensure :-suitable safeguards are being applied to prevent service exposure / liability to unconfirmed or unbudgeted works from informal works orders, instructions and variations;only correctly specified and agreed works are being commissioned and only fully completed works certificated; that projects are progressed in logical and methodical manner; and the status of all projects is readily discernable. | Medium | Facilities Group Manager | March 2011. Revised December 2011. | The implementation of this recommendation has been delayed due to a restructure in the service.  Internal Audit will be working with the Service to ensure the system of internal control is efficient and effective and makes the best use of resources available. | Asset Management Finance & Commerce |
| CO0028 | Contract Completion Final Accounts | 2009/2010 | 2 | It is recommended that post completion reviews for projects, incorporating client feedback as to whether their expectations were met, are completed and results monitored. | Low | Facilities Group Manager | March 2011. Revised December 2011. | As above. | Asset Management Finance & Commerce |
| | Integrated Childrens Systems | 2009/2010 | 6 | Management should perform a review of the MS Word documents and manual notes that are used by the Social Care teams when monitoring the completion of work by social workers. The use of these documents should be standardised and consistent within the Department. | Medium | Project Manager ICS/e-CAF | June 2011. Revised October 2011 | As per discussion with Mark Scanlon and Neil Chittenden, it was determined that as part of the re-implementation project a process has been undertaken to identify team specific forms that are in use. Guidance has been provided on the use of standardised names for these forms when they are stored on the system [Ref: R6-01]. This guidance was provided at the ISIS working group meetings.  Additionally, work has begun to redesign the forms in use by the Duty and Assessment team. Some sample forms have been provided for review and approval by the team [Ref: R6-02].  It was further noted that in light of changes in legislation some of the standard forms have been re-designed on a national level.  Further Action: The MS Word documents for each of the other teams within the service will be reviewed and updated as part of the re-implementation project. Update June 2011 a number of documents have had standard word forms created for them, however the implementation of Civica, an electronic document management system, has raised issues on where and how case documents should be stored. This is occurring in hand with the completion of a new policy document regarding the recording of case information. The DFE's response to the Munro Report will mean fundamental changes to the recording of assessments as they review the assessment policy based on trial authorities which will conclude in December 2011. Work to identify all current standardised forms will be | Children and Young People's Services Social Care & Learning |

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| | Integrated Childrens Systems | 2009 2010/10 | 10 | Management should ensure that appropriate arrangements are in place for the continuity and disaster recovery of the ISIS application. These arrangements should be tested on a periodic basis to ensure that they are operating as expected and in line with the service expectations and timeframes set out in the Business Continuity Plan. | Medium | Business Systems Support Manager | October 2010 Revised June 2011 Revised October 2011 | As per discussion with Mark Kelly and Dave Lucas, it was determined that a call has been logged indicating the need to improve the DR arrangements for the ISIS application [Ref: R10-01]. Further Action: It was noted that the two data centres have been established and work is beginning to move the Council's systems to these data centres. An indication of when the ISIS application will be migrated has not yet been provided. The ISIS application will be moved into the replicated data centre environment and included within the formal Corporate DR arrangements. Once installed a formal annual DR test will be performed. This is dependent on the broader data centre project that is underway. Update June 2011 This is still ongoing and relies on the migration of the ISIS (Sharecare) application to the new data centre at Telford. This is likely to be complete by the end of October 2011 | Children and Young People's Services Social Care & Learning |
| CM0059 | Service Desk | 2010/2011 | 2 | Consideration should be given to the introduction of Operational Level Agreements between the different functions within the Business Systems unit. | Medium | ICT Infrastructure & Support Manager | April 2011 Revised December 2011 | Update June 2011 - This is being investigated as part of the Business Systems restructure and will be formalised as part of that process. | Business Systems Finance & Commerce |
| CM0059 | Service Desk | 2010 2010/11 | 4 | Management should ensure that Capacity and Availability Management processes are developed and the roles of these are assigned, ensuring that the functions integrate with other areas of the ITIL framework where appropriate. | Medium | ICT Infrastructure & Support Manager | April 2011 Revised December 2011 | Update June 2011 - this is being investigated as part of the Business Systems restructure and will be formalised as part of that process. | Business Systems Finance & Commerce |
| CM0059 | Service Desk | 2010/2011 | 5 | Management should consider establishing IT Service Desk call overflow arrangements in cases where the volume of calls may require additional resources to meet call requirements. | Low | ICT Infrastructure & Support Manager | April 2011 Revised December 2011 | Update June 2011 - This is being developed as part of the roll out of the corporate contact centre system and is also being investigated as part of the discussions between ICT and ISS in sharing servicedesk functions. | Business Systems Finance & Commerce |
| FC0069 | Corporate Support Team | 2010/2011 | 1 | As a matter of good practice, the procedures manual should indicate when the last review was undertaken. In addition, any procedures no longer applicable to the team should be removed from the manual | Low | Corporate Support Manager | April 2011 Revised April 2012 | Update June 2011 Due to additional projects and department restructure this has not been started on yet. | Asset Management Finance & Commerce |
| FC0069 | Corporate Support Team | 2010/2011 | 3 | It should be mandatory for all new starters to sign to evidence that they have read and acknowledged the security guidelines before being issued their ID pass. | Medium | Corporate Support Manager | February 2011.Revised February 2012. | Update June 2011 Staff sign issue sheet to confirm but ID application is being updated for staff member to sign. | Asset Management Finance & Commerce |
| CM0057 | Tranman Application | 2010/2011 | 1 | Password parameters on the application should be configured to enforce the following password controls, • Minimum password length of 8 characters is enforced • Passwords should be constructed of a combination of alphanumeric characters and/or symbols • Default passwords should be force changed upon first access to the system or following password reset • The minimum password age and password history parameters should be set so it prevents users from using their previous passwords within a predefined period; and • User accounts should be locked following three unsuccessful attempts at system access. Following user account lock out, system access should only be reinstated by the System Administrator. | HIgh | Passenger Transport Services Admin Manager | January 2011revised December 2011 | These functions are not currently available within the Tranman application. An order for changes has now been placed and we will soon be talking to Civica to confirm which, if not all, of the outstanding audit requirements they will be able to accommodate. | Asset Management Finance & Commerce |

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| CM0057 | Tranman Application | 2010/2011 | 2 | The control total for the text file created from TimePlan should be received and reconciled against the total number of records imported into Tranman when the Read FUEL Records" process is run to ensure all records have been imported successfully. If any records have been rejected, the program should be investigated and re-run to correct any errors identified | HIgh | Passenger Transport Services Admin Manager | January 2011 revised November 2011 | This is being investigated at the moment to see if anything can be done in house. If not we will speak to Timeplan about getting a control total added to the report. Update June 2011 - there has been an extensive delay in obtaining funding for the Tranman upgrade which has only just been agreed. An order for changes has now been placed and we will soon be talking to Civica to confirm which, if not all, of the outstanding audit requirements they will be able to accommodate. Given that there is quite a lead time involved in system amendments, I suggest that these items continue to be shown as outstanding with a follow up date of 3 months hence. | Asset Management Finance & Commerce |
| CM0057 | Tranman Application | 2010/2011 | 3 | Formal Disaster Recovery and Business Continuity Plans should be documented and implemented for the Tranman system. The Plans should include, though not be limited to the following areas:• Invocation and escalation procedures;• Alternative business continuity arrangements;• The anticipated time to recover the application (Recovery Time Objectives); and • Details of back-up tapes and their location. Once implemented, the BCP and DR plans should be subjected to annual review and testing. | HIgh | Fleet Engineer | December 2010 Revised November 2011 | Discussions to be initially carried out with ICT and the Emergency Planning Officer to confirm whether the disaster recovery arrangements for the Tranman application have been documentedand also with Civica with a view to them backing up our server. Update June 2011 - there has been an extensive delay in obtaining funding for the Tranman upgrade which has only just been agreed. An order for changes has now been placed and we will soon be talking to Civica to confirm which, if not all, the outstanding audit requirements they will be able to accommodate. Given there is quite a lead in time involved in system amendments I suggest that these items continue to be shown as outstanding with a follow up date of 3 months hence. | Asset Management Finance & Commerce |
| CM0057 | Tranman Application | 2010/2011 | 9 | Management should review the current settings within the Tranman application to help ensure that audit trails are maintained to report on the following changes • Failed logon activity and potential security violations • Users who have input data i.e. user ID logged against transactions • Details of the data field modified • Details of the data present before and after a modification; and • Log amendments to system options (master and standing data) | Medium | Fleet Engineer | January 2011 revised December 2011 | These are not currently available. We need to discuss with Civica and wait on a quote for these changes. Update June 2011 - There has been an extensive delay in obtaining funding for the Tranman upgrade which has only just been agreed. An order for changes has now been placed and we will soon be talking to Civica to confirm which, if not all, of the outstanding audit requirements they will be able to accommodate. Given that there is quite a lead time involved in system amendments I suggest that these items continue to be shown as outstanding with a follow up date of 3 months hence. | Asset Management Finance & Commerce |
| FC0066 | Section 106 Agreements | 2010/2011 | 2 | a) The Group Director Finance and Commerce should write to all Heads of Service to instruct them to provide quarterly updates regarding any S106 agreements within their service area. b) The quarterly updates should be co-ordinated and monitored by the Head of Development and Building Control and where not supplied this should be escalated to the Group Director Finance and Commerce. | Medium | a) Group Director Finance and Commerce b) Head of Development and Building Control | June 2011. Revised date September 2011 | Update June 2011 On back of the recommendation 1 memo, a framework for quarterly Section 106 updates to the Section 106 group, is being collated after which it will be communicated to Heads of Service | Developmemt & Building Control Finance & Commerce |