Year	Name of Audit	Rec	Recommendations	Priority	Responsible Person	Dates Due	Position/Progress to date
2008/ 2009	Commissioning of Works	R2	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.	H	ACE Legal & Democratic Services	Original - Feb 2009. Revised - March 2013.	Draft documentation has been exchanged between solicitors acting for the Council and Jacobs and whilst close to conclusion there is still no signed contract. **August 2012 Update** - Still outstanding.
2008/ 2009	IT Security & Data Management	R2	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.	H	Information Governance Group Chaired by ACE - Legal & Democratic Services	Original - Mar 2010. Revised - Mar 2013.	The Information Governance Group has considered this recommendation along with other risk areas to the organisation. The recommendation is accepted and included in the improvement plan. Responsibility for implementing will require significant resources across the whole organisation and other actions are of higher priority currently. The Group meets quarterly and reports to the Corporate Governance Group on progress with the action plan.
2008/ 2009	Cemeteries and Crematorium	R8	It is recommended that: a) the maps currently held in the service managers office, should be placed in the fire proof safe; b) work should be undertaken to collate the maps located elsewhere within the Authority and ensure that maps are in place for all sections of the Cemeteries; and c) a separate project will need to be undertaken scan and preserve the maps to ensure that these are sufficiently safeguarded.	M	Cemeteries & Crematorium Manager	Original - Mar 2010. Revised - Apr 2013.	a & b completed. All cemetery maps and plans have been scanned by Asset Management and are currently stored with them. Awaiting consultation with technical specialists for solution/time and budget costings. Pilot plan of Rainham cemetery maps to be set up by 31 March 2013. This will be used to formulate the action plan for the other 3 cemeteries.
2009/ 2010	Climate Change	R1	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.	M	Head of Asset Management/ Energy Management Officer	Original - Apr 2010. Revised - Sept 2011. Revised - Sept 2012.	Draft protocol was presented to Climate Change Working Group - 24th July 2012. Some amendments were requested to be reported back to September meeting.

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2009/ 2010	Government Connect GCSx	R13	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.	M	Information Governance Group Chaired by ACE - Legal & Democratic Services	Original Sep 2010. Revised - Mar 2013.	The Information Governance Group has considered this recommendation along with other risk areas to the organisation. The recommendation is accepted and included in the improvement plan. Responsibility for implementing will require significant resources across the whole organisation and other actions are of higher priority currently. The Group meets quarterly and reports to the Corporate Governance Group on progress with the action plan.
2009/ 2010	Contract Completion Final Accounts	R1	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 certified; that projects are progressed in logical and methodical manner; and the status of all projects is readily discernable.	M	Facilities Group Manager	Original - Mar 2011. Revised - Dec 2011. Revised - Dec 2012.	Bimonthly Project Review Panel meetings have now been initiated for all capital projects and change control logs/requests are now applied to all larger schemes, overseen by a Project/Programme Board.
2009/ 2010	Contract Completion Final Accounts	R2	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	Original - Mar 2011. Revised - Dec 2011. Revised - Dec 2012.	See comments above relating to Project Review Panel.
2010/ 2011	Corporate Support Team	R1	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	L	Corporate Support Manager	Original - Apr 2011. Revised - Nov 2012.	Following a recent restructure, new staff are are about to join the service and the revised procedures manual is being prepared to support staff training.

Year	Name of Audit	Rec	Recommendations	Priority	Responsible Person	Dates Due	Position/Progress to date
2010/ 2011	Tranman Application	R1	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 Systems Administrator.	H	Passenger Transport Services Admin Manager	Original - Jan 2011. Revised - Nov 2012.	The software supplier has confirmed that the security module is standard to all users. It does not have the facility to check that new passwords are alphanumeric & 8 characters in length. It cannot check the number of login attempts. An enhancement is however being made so force passwords to be renewed after a predefined period . The user will have to enter a different password before being allowed into the system. The system will automatically expire the password again after 3 months.
2010/ 2011	Tranman Application	R2	The control total for the text file created from Time Plan 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	H	Passenger Transport Services Admin Manager	Original - Jan 2011. Revised - Oct 2012.	The number of records transferred into Tranman can now be reported upon and a report is generated from Time plan that can be checked against the Tranman figure.
2010/ 2011	Tranman Application	R7	Management should consider implementing the following data input controls on the Tranman application • Validation or check digit to be implemented for the Order Numbers field • Restrict the creation of duplicate order numbers on the system • Restrict amendments of the unit price for a stock items when creating the order; • Mandatory data fields to be reviewed to incorporate cost centre and progress status field for a job raised; and • Dependency checks to be implemented between supplier codes and creditor codes The process for the input of invoices onto the system should be reviewed to ensure that these are authorised or reviewed by senior management following data input to ensure the segregation of duties.	M	Fleet Engineer	Original - Jul 2011. Revised - Oct 2012.	We will investigate the possibility of including the cost centre field as this is something Tranman may be able to link to in existing data. Jobs do have a progress field available. We could produce a report of latest invoices raised to be presented to managers on a weekly basis. Will investigate further and produce examples by 30/09/12.

Year	Name of Audit	Rec	Recommendations	Priority	Responsible Person	Dates Due	Position/Progress to date
2010/ 2011	Payroll	R1	Guidance to be created for the document storage system Comino to clarify where individual forms are to be saved, and allow for ease of searching.	L	Payroll Manager/ Business Systems	Original - Apr 2012. Revised - Mar 2013.	There is a project to look at electronic document management and solutions reviewed to date have not met the Council's requirements. Further work is planned. Business Systems are leading this project. Audit work is planned in this area in 2012/13 and will pick up this risk area.
2010/ 2011	Pensions	R1	Guidance to be created for the document storage system Comino to clarify where individual forms are to be saved, and allow for ease of searching.	L	Pensions Manager/ Business Systems	Original - Apr 2012. Revised - Oct 2012.	As for Payroll recommendation.
2010/ 2011	IT Disaster Recovery	R2	Management should ensure that technical recovery plans are documented for all of the servers and infrastructure that are within the remit of the Business Systems service. These plans should provide sufficient detail to enable recovery in the absence of key staff. As with the Disaster Recovery Plan, these plans should be available at an off-site location and maintained to help ensure that they remain up-to-date. Specifically, the technical recovery plans should be updated in line with any changes that are made to the technical configurations. Furthermore, arrangements should be in place for the ongoing management and update of technical recovery plans for the servers hosted by ACS.	M	Julia Blow - Programme Manager	Original - July 2011 for current applications and 4 weeks post migration for the remainder. Expected completion date November 2012.	Applications are still being migrated to the ACS data centre and Disaster Recovery is a key part of the migration activity. Disaster Recovery plans are maturing with ACS (the third party data centre provider) and a Disaster Recovery test is planned. The Terms of reference for the Disaster Recovery test have been drafted and a meeting is scheduled with ACS to agree the Terms of Reference and set a date. The Disaster Recovery test will be carried out with in the next 3 months.
2010/ 2011	IT Security	R2	Password complexity should enabled on the network to ensure that user accounts have strong passwords enforced comprising alpha and numeric characters.	M	Information Security Officer	Original - Sept 2011. Revised - Dec 2012.	The Novell e-directory is being decommissioned which has impeded the ability to deploy complex passwords at the network level. Scheduled to complete in October with complex passwords being implemented in December 12. For core systems such as Oracle complex passwords have been implemented.

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2010/ 2011	IT Security	R5	The Council should undertake a data classification exercise to help ensure that all sensitive IT Data is identified and that appropriate access rights can be assigned for then data. Consideration when undertaking the exercise should be given to the following elements. assigning ownership of the data asset. Processes for allocating access to the data. the Required processes for the retention, storage and disposal arrangements for different classification levels. This process should be undertaken alongside a corporate approach to classify data according to its sensitivity.	M	ACE - Legal & Democratic Services	Original - Mar 2012. Revised - Mar 2013.	The Information Governance Group has considered this recommendation along with other risk areas to the organisation. The recommendation is accepted and included in the improvement plan. Responsibility for implementing will require significant resources across the whole organisation and other actions are of higher priority currently. The Group meets quarterly and reports to the Corporate Governance Group on progress with the action plan.
2010/ 2011	IT Security	R6	The Council should review the processes that it has in place for sharing data with third party organisations to ensure that appropriate safeguards are put in place so that data can be shared securely. This should form part of a wider information Security protocol that is agreed with the organisation that the Council shares its data with.	M	ACE - Legal & Democratic Services	Original - Mar 2012. Revised - Mar 2013.	As above.
2010/ 2011	IT Security	R8	We recommend that the data retention schedule is reviewed and updated as necessary with reference to legal requirements such as Data Protection Act 1998 and the Freedom of Information Act 2000. Procedures should also be in place to delete or depersonalise data after its retention can no longer be justified.	M	ACE - Legal & Democratic Services	Original - Mar 2012. Revised - Mar 2013.	As above.
2011/ 2012	Microsoft Exchange Server and Outlook Email	R1	ICT Management should implement effective mailbox ownership and email governance rules at the Council by establishing and applying an appropriate mailbox size capacity. e.g. If users are set a 200MB mailbox size limit, then they have to clear out unnecessary email records and store old emails to folders before the user can continue to send emails.	M	Network and Server Manager	Original - Apr 2012. Revised - Nov 2012.	This is not a technical issue. Awaiting a policy decision.

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2011/2012	Disabled Facilities Grants	R2	Local timescales should be implemented. These should be formally monitored through regular case load meetings between both departments.	M	Housing Partnership & Development Manager. Preventative Team Manager	Original - Jan 2012. Revised - Oct 2012.	A proposed methodology to implement this recommendation has been submitted for audit approval on 21 August 2012.
2011/2012	Remote Working	R5	Laptops should be configured to receive patch updates as soon as possible and any laptop returned to ICT should have patches updated as part of a standard process.	M	ICT Projects, Partnership & Policy Manager	Original - Feb 2012. Revised - Dec 2012.	SCCM has been deployed to laptops, this will enable patches to be deployed. ICT are reviewing the desktop and laptop patching policy at the moment with LB Newham.
2011/2012	Oracle Financials	R7	The Council should identify the available capability for Oracle systems auditing and monitoring to identify auditing at user activity and database row change level. This should look to identify which fields would be beneficial to establish auditing of user activity on the system.	M	Systems Accountant, Financial Systems Control Team	Original - Mar 2012. Revised - Aug 2013.	Part of the London Wide Oracle project.
2011/2012	Oracle Financials	R15	Data input screens across the Oracle on Demand system should be reviewed to establish:· Whether superfluous options/screens can be removed; and · Where, in some cases, failure to complete fields which are not mandatory can lead to later errors. e.g. Accounts Receivable where the profile field is not mandatory and where failure to populate this field leads to payment rejections. This should be completed with a view to making some system input fields mandatory for completion to enhance data quality.	M	Transactional Services Manager	Original - Mar 2012. Revised - Dec 2012.	Review process has focussed on key screens first. Update July 2012 System change for profile class is with Business Systems; it has been implemented in the test environment, but failed testing. The original developer has left Havering, but a new developer has taken over the call and is progressing the matter with the team lead for transactional team 2 in ISS.
2011/2012	Oracle Financials	R17	The Council should identify if address validation and postcode look up can be implemented within the system to improve the quality of address information that can be input into the Oracle on Demand system.	M	Transactional Services Manager Corporate & Business Applications Manager	Original - Mar 2012. Revised - Aug 2013.	This will be ongoing as part of the London Wide project

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2011/ 2012	Oracle Financials	R24	A schedule of Disaster Recovery test exercises should be developed, as well as a backup restore schedule to confirm the integrity of backups taken and to prove that the system can be recovered on a periodic basis and in a timescale in line with the relevant ISS Business Continuity Plan.	M	Corporate & Business Applications Manager/Business Systems	Original - Mar 2012. Revised - June 2012.	A DR test should be carried out without further slippage to ensure that the data being backed up is complete and useable and to test the process works as expected. No revised deadline provided by the service.
2011/ 2012	Crematorium - Grave Allocations & Record Keeping	R6	A more robust process for recording permit inspections due and completed should be implemented including where inspections identify that no memorial is in place.	M	Bereavement Services Manager	Original - Apr 2012. Revised - Sept 2013.	This review will be carried out as part of the review of working practices for the introduction of the upgrade of the EPILOG system to Sequel which is expected to be implemented by September 2013 (pending further discussions). A temporary resolution to the original issues is currently being implemented.
2011/ 2012	Jacobs Contract Follow Up	R1	It was agreed that when the draft structure is out for consultation a workshop with Internal Audit should be convened to discuss the proposed working procedures and control environment.	M	Head of Asset Management	Original - Mar 2012 Revised Dec 2012.	Restructure is now complete, creating Business Support function which now administers the Jacobs contract
2011/ 2012	Educational Computer Centre	R7	Local performance indicators should be established and monitored on a regular basis to ensure poor performance does not go undetected. Performance should be monitored through regular one to ones.	M	Educational Computer Centre Manager	Original - Jun 2012. Revised - Sept 2012.	Performance Indicators are in development
2011/ 2012	Appointeeship & Deputyship	R8	All accounts held with AIB should be transferred to Nat West. The Client Finance Manager should supply assurance to the Head of Finance and Procurement that the process has taken place and provide details of the reconciliation to the Treasury Manager & Capital Accountant.	H	Client Finance Manager	Original - Mar 2012. Revised - September 2012.	Target date has been revised as although the process for arranging transfer is underway it has not yet been completed. Completion of this remains in control of RBS - Natwest Bank, but also dependent on provision of information and actions from other parties - e.g. Department of Work and Pensions and Insurance Companies. Latest estimate indicates that revised date may be viable. No identified risk to Clients or Council during this process.
2011/ 2012	Network Infrastructure	R1	The Council should review the current network with a view to removing or minimising all single points of failure in the Council's network infrastructure design to ensure that operations are not impacted by weaknesses in the infrastructure.	H	Technical Consultant	Original - Feb 2012. Revised - Dec 2102.	An active programme of work is in place to do this for all core connections.

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2011/ 2012	Network Infrastructure	R3	Management should urgently consider renewing or updating its corporate Firewalls.	H	Gary Griffin – Corporate Business Applications Manager	Original - Mar 2012. Revised - Nov 2012.	Waiting migration to new firewalls which is imminent.
2011/ 2012	Network Infrastructure	R7	Where SNMP is used, consideration should be given to the use of either SSH or TACACS+ to provide the strongest possible security controls and that that the following additional configuration is implemented: • the use of Radius or TACACS+; • either the 'enable password' type 7 is enhanced to type 5 or removed if not required; • TTL (Time to Live) setting is configured; • Router banner and enumeration counter measures are applied; and • Use of ACL is made.	M	Gary Griffin – Corporate Business Applications Manager	Original - Mar 2012.	**Update August 2012** - Awaiting a response as some more technical information is needed to update the status. *No further update or revised deadline received.*
2011/ 2012	Network Infrastructure	R8	A hardware replacement policy should be developed that ensures the hardware in use within the network infrastructure is supported, maintainable and that its use provides effective and efficient service, and that it provides enhanced security features and is capable of providing functionality in line with changes in technology.	M	Gary Griffin – Corporate Business Applications Manager	Original - Feb 2012.	**Update August 2012** - Awaiting a response as some more technical information is needed to update the status. *No further update or revised deadline received.*
2011/ 2012	Pensions	R1	Starters and leavers reports should be amended to allow easy identification of LGPS members.	M	Pensions Manager	Original - Jun 2012. Revised - Sept 2012.	Pensions reports being progressed to be delivered by 30th Sept. Business Systems are currently working on the reports with ISS. The reports produced are currently being reviewed and further work will be required to develop the reports to meet the specification requirements.

Year	Name of Audit	Rec	Recommendations	Priority	Responsible Person	Dates Due	Position/Progress to date
2011/ 2012	Main Accounting	R1	It is recommended that the requirements of ISS are clearly communicated and included in the Service Level Agreement (SLA). Compliance in this area must be monitored as for other areas of the SLA. All reconciliations: - have an agreed timetable that identifies appropriate intervals; - are identified against balance sheet codes, - are properly & fully documented, have a responsible owner, - are progressed to timetable in line with formal written procedures; - controls and monitoring are treated as part of their core business function; - balances confirmed and reported to management and Corporate Finance; and - issues must be reported to Corporate Finance.	M	Corporate Finance & Strategy Manager / Internal Shared Service	Original - Jun 2012. Revised - Aug 2012 Revised - Dec 2012.	Corporate Finance's requirements have been communicated routinely as part of the closedown process 2011/12 and have subsequently been summarised and notified to Shared Services. These will be reflected in the development of the 2012/13 closure programme but the key requirements relating to reconciliations are being actioned by ISS and will need to be monitored. In the long run the SLA to be developed by Shared Services will need to reflect these and other requirements through regular dialogue with Corporate finance.