

Quarter 2, 2012-13: Recommendations due

Code to ratings:

Shading	Rating	Explanation
	Implemented	The recommendation that had previously been raised as a priority one has been reviewed and was considered implemented.
	Partly Implemented	Aspects of the priority one recommendation had been implemented however not considered implemented in full.
	Not Implemented	There had been no progress made in implementing this priority one recommendation.

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<p>Recommendation 1: Data Protection (Environment, Planning and Regeneration) Management should undertake the following action to ensure compliance with the ICO and LBB & Metropolitan Police CCTV Codes of Practice:</p> <p>a) The CCTV system should be audited to confirm, it is operating in line with the objectives of the system This review should also enable management to justify continuous use of CCTV, which forms part of the Council's Data Protection notification to the Information Commissioner</p> <p>b) A systems procedures manual</p>	Environment, Planning and Regeneration	<p>The audit of the CCTV system has been completed and a section 29 form has been produced. The systems procedures manual and has not been written and issued to staff.</p> <p>Further Action: A systems procedures manual should be written and issued to all staff.</p> <p>Implementation date: June 2012</p>	<p>Implemented The three aspects of the recommendation have been implemented.</p>

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<p>should be written and issued to all staff. c) A Section 29 Form, should be provided by the police before disclosure is granted.</p>			
<p>Recommendation 2: Business Continuity – Corporate Support business continuity Plans IT Provision and accommodation The Head of Insurance should co-ordinate the preparation and finalisation of Corporate Support IT and Accommodation business continuity Plans.</p>	Corporate Governance	<p>The Head of Insurance has continued co-ordinating the finalisation of the IT and Accommodation Business Continuity Plans through engagement with the officers responsible for the development of those plans.</p> <p>Development of the IT Disaster Recovery plan and a viable Accommodation business continuity plan was <u>in progress</u> but had not been completed.</p> <p>For instance, the need was identified for further action involving the collection and analysis of updated data on remote access availability and the numbers of officers required for critical services to ensure the development of a fit for purpose Accommodation Business Continuity Plan.</p>	<p>Partly implemented</p> <p>The Corporate Support IT and Accommodation Business Continuity Plans had not been finalised.</p> <p>An approach, involving engagement with Services Business Continuity Leads, for identifying Service accommodation and IT needs for critical tasks, had been agreed at Senior Management level. A Project Board with lead officers responsible for accommodation, information systems and business continuity had been set-up and had met during July to co-ordinate delivery.</p> <p>Further Action:</p> <p>Obtain required information from Services for the finalisation of Corporate Support Accommodation and IT business continuity plans.</p>
<p>Recommendation 3: Strategic Procurement, Policies and Procedures Management should clarify if/where devolved procurement is needed.</p>	Corporate Procurement Team (Commercial Services)	Management are in the process of establishing three aspects that will build the basis for an appropriate balance of devolved and centralised procurement. These are	<p>Partly Implemented</p> <p>Clarification has been sought and a decision has been made on the devolved nature of procurement.</p>

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<p>Where devolved procurement teams are established, roles and responsibilities should be formally allocated and assigned, and the role of Corporate Procurement team (CPT) clearly defined.</p> <p>In addition, there should be a process in place to measure, monitor and report progress of devolved teams towards meeting the Council's procurement objectives.</p>		<p>the interaction between:</p> <ul style="list-style-type: none"> • Tools • Process • People <p>The tools aspect, such as the use of the SAP system, will be completed by June however people and processes will take longer and it is planned to have them completed by September.</p> <p>Processes with corresponding templates to build on good procurement practices for the devolved areas are being designed and implemented presently. Eg. Contract Management, where all devolved contract managers are taking the e-Training Contract Management module which is linked to a set of standard templates and processes.</p> <p>To establish clear roles and responsibilities, a number of meetings and workshops have been held between Service Areas and CPT to understand what areas of procurement will stay devolved and which are best centralised.</p>	<p>Reporting occurs from the Assistant Director of Commercial Assurance to senior officers on a monthly basis.</p> <p>Protocols have been developed and communicated in relation to roles of devolved teams and that of Corporate Procurement Team. However from interviewing some of the contract managers within the services there is still a lack of awareness of contract management requirements within the devolved teams.</p> <p>Further action</p> <p>The Supplier Relationship Management (SRM) roles need to be made clear within Corporate Procurement Team (CPT) and their interaction with the services, such as ensuring services are complying with protocols.</p>

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<p>Recommendation 4: Contract Management, Contract management arrangements (EPR) Processes should be implemented and responsibilities clarified across the Service for the ongoing scrutiny and challenge of contract management arrangements to ensure that they are undertaken for each contract in line with agreed and minimum contract management standards. Contract management minimum standards should be developed for contracts in line with the thresholds in the Contract Procedure Rules (CPRs), consultation should take place with Corporate Procurement to ensure practice is consistent.</p>	<p>Environment, Planning and Regeneration</p>	<p>Contract monitoring models will be decided based on best practice, current effective practice in EPR and contract term values. The models will be applied to contracts with values equal to and above CPR limits for term and annual contracts. Identified contract managers will receive the appropriate contract management training to enable them to manage contracts effectively Contract managers will be monitored through standard management processes (e.g. one to one supervision and team meetings) to ensure that they are undertaking contract management in line with the agreed model.</p>	<p>Partly implemented</p> <p>Of the 27 officers reflected on Contracts Register as current employees, 25 had been trained on the e-learning package by 30 June 2012. A further 4 officers who were employees at 30 June 2012 who did not appear on the EPR Contracts register but who were required to attend the e-learning training had not been trained at 30 June 2012.</p> <p>Further, it was agreed that EPR would undertake desktop training to further embed processes, which had not occurred.</p> <p>Since June contract management expectations in line with contract register contract values and models as stipulated in the training, could not be evidenced</p> <p><u>Further action</u></p> <p>New contract managers should be identified and updated in the Contracts Register. Management should ensure that planned training is completed for all contract managers.</p> <p>Management should review contract monitoring arrangements with contract owners per the contracts register and ensure that contract monitoring models as referred to in the e-learning package</p>

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			training are agreed and implemented. Evidence of contract monitoring in line with model should be retained for review.
<p>Recommendation 5: Parking Service, Records Retention & Disposal That all records be stored manually or electronically in a logically searchable fashion, in line with the Records Retention & Disposal Guidelines, specifically section 3.9.23.</p>	Chief Executive's Service (CSO)	The CSO team intends to start scanning all new parking permit application documentation from the end of April 2012, as well as back-scanning all documentation which has been retained. Documentation will be stored electronically and retained in line with Records Retention & Disposal Guidelines.	<p>Implemented All records are now scanned and retained electronically.</p>
<p>Recommendation 6: Value for Money – Facilities Management, Leaseholder Relationship Management should liaise with the leaseholder to authorise and sign the lease for Building 2 Lower Ground Floor. Management should review all leases to identify any unbilled amounts, and liaise with the leaseholder to calculate a final amount payable. In addition, management should accrue for the full amount of payments not made since January 2008.</p>	Commercial Services	All necessary authorities are now in place for Officers to complete the outstanding lease. Day to day meetings exist through LBB Operations Manager and Landlord's representative, also forward planned meetings are now in place addressing all lease and operational issues. Adequate provision is being set aside for the properties.	<p>Partly implemented The lease for Building 2 Lower Ground Floor has not been signed. However management has accrued the full amount of payments for the end of year accounts position.</p>

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<p>Recommendation 7 New Homes - Strategic Development for Maximisation of Outcomes</p> <p>The strategy should be completed and approved for integrating New Homes Bonus scheme operation with delivery of housing provision (for example, empty homes, new homes).</p> <p>The strategy should identify opportunities, approaches and requirements and benefits for maximising the new Homes Bonus grant allocations, where possible, in line with wider operational requirements and objectives.</p> <p>The strategy should be developed in consultation with and communicated to operational officers to ensure that underlying operation is co-ordinated towards maximising Scheme allocations, where appropriate. For example, with other aspects of Council's services for improving activities which ensure the prompt inclusion of properties on the Council Tax Base Valuation records.</p>	<p>Environment, Planning and Regeneration</p>	<p>A policy paper setting out the policy changes associated with and balancing new/empty homes delivery in line with maximising the economic and social benefits of New Homes Bonus will be drafted by EPR officers for review by the Lead Member and Corporate Directors Group (CDG).</p> <p>The policy requirements will be communicated for incorporation, as agreed, into the contract specifications for New Support and Customer Services Organisation (NSCSO) and Development and Regulatory Services (DRS) contracts to ensure continuity of approach/principal for maximising NHB outcomes following One Barnet transformation.</p>	<p>Partly Implemented</p> <p>The policy for raising awareness amongst relevant officers of New Homes Bonus and its integration with housing delivery for new and empty homes had not been drafted.</p> <p>The need for consideration of New homes Bonus in relation to housing delivery and maximising New Homes Bonus had been communicated for inclusion in the One Barnet NSCSO Revenues and Benefits and DRS output specification.</p> <p><u>Further action</u></p> <p>Draft and communicate policy to raise awareness of need for integrating New Homes Bonus with housing delivery to all officers/Services involved in housing delivery, including Council Tax.</p>
<p>Recommendation 8 Libraries - Implementation of Strategy – Delay in implementation</p> <p>Management should ensure that the strategy is appropriately resourced and managed to limit any further delays to implementation.</p>	<p>Chief Executive's Service</p>	<p>Agreed. There are project streams to develop operational work plans. Work is underway to deliver aspects of the Arts Depot and the Self Service work streams as a priority.</p>	<p>Implemented</p> <p>Management has determined the level of resource required to implement the Libraries Strategy. All workstreams have been defined into an operational workplan, including budgets. A Board meets regularly to discuss implementation of the strategy</p>

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<p>Management should now begin to translate the capital aspects of the Strategy into an operational work plan, including roles and responsibilities and budgets. Management can extend the existing overview for delivery of objectives to include this operational information.</p> <p>Management should perform an exercise to identify what level of dedicated staffing is required and how this can be achieved effectively to meet "Business as usual" and the strategic delivery.</p>			<p>and key risks to implementation of the strategy.</p> <p>Staffing requirements have been determined and a realignment currently in the process.</p>
<p>Recommendation 9 - Penetration and Security Testing - Assessment of previous penetration tests</p> <p>Assess the remaining open vulnerabilities for both Internal and External testing, and formally prioritise the resolution of these. In addition, ensure Risk management procedures are invoked, to inform management of the open vulnerabilities within the IT environment, and to investigate additional actions to mitigate the current risks.</p>	Commercial Services	<p>Out of 35 internal vulnerabilities, 32 have been completed. 3 are in progress and have firm dates for completion. Out of 17 external vulnerabilities, 11 are marked as completed as they are either fully completed or of information or low value and being monitored through an established information security group. We will include these items for discussion during competitive dialogue. The remaining 6 are in progress and either have a firm date for completion of will be addressed as part of on-going security maintenance.</p>	<p>Implemented</p> <p>The vulnerabilities identified by internal and external penetration testing have been prioritised for resolution. Management has assessed the risks in relation to each vulnerability. Open vulnerabilities are subject to management review and escalation to senior managers where appropriate.</p>