

**Implementation of Internal Audit Recommendations: Summary of Progress**  
Report by Director of Change Management and Resources

<b>Summary:</b>	This report updates members on progress in implementing Internal Audit recommendations arising out of audits carried out since 2008/09.
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<b>Recommendation:</b>	That the report be noted.
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## **1 Introduction**

- 1.1 It has been agreed that this Committee will receive a regular update of progress made in implementing Internal Audit report recommendations, focusing on outstanding recommendations and including timescales for completion of any outstanding work.
- 1.2 This report summarises the current position regarding recommendations arising out of internal audit reports which have been produced since 2008/09. It sets out in the appendix details of:
  - recommendations not yet implemented;
  - recommendations not implemented at the time of the last meeting which have since been implemented: and
  - new recommendations since the last meeting.

## **2 Summary of Progress**

- 2.1 A number of recommendations have been implemented since the last meeting of the Committee, and members will be pleased to note that just three remain outstanding, of which two relate to Medium priority recommendations, and one to a Low priority recommendation. The two Medium priority recommendations are in progress. Where appropriate a revised target date has been set in consultation with the Responsible Officer.

## **3 Internal Audit Programme 2011/12**

- 3.1 No audits have been carried out since the last progress update to this Committee, in July 2012.

Background papers: None

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Date of report: 15 November 2012

Broads Plan Objectives: None

Appendices: APPENDIX 1 – Summary of Actions/ Responses to Internal  
Audit Recommendations 2008/09 – 2012/13

## Summary of Actions/Responses to Internal Audit Recommendations 2008/09 – 2012/13

## Toll Income: January 2009

Recommendations	Priority Rating	Responsible Officer(s)	BA Response/Action	Timetable
1. <b>Policies and Procedures</b> Management should compile written procedures for all aspects of toll income, e.g. identification, receipt, banking and the collection of unpaid tolls, including timescales for taking action.	M	Head of ICT and Collector of Tolls	Partially completed. A draft set of policies and procedures have been drawn up and a Tolls Handbook created. The draft policies will be finalised by the revised target date.	By 30/11/10  Revised Target Date: 31/12/12

## IT Governance and Strategy: October 2010

Recommendations	Priority Rating	Responsible Officer(s)	BA Response/Action	Timetable
2. <b>Job Descriptions require review</b> Management should ensure that the minor changes that certain job descriptions require are implemented as soon as possible.	L	Head of ICT and Collector of Tolls	Still outstanding. A more significant change to job roles is required as a result of the decision to make one post redundant on 30 April 2011.	By 31/3/11  Revised Target Date: 31/12/12

## Planning: October 2011

Recommendations	Priority Rating	Responsible Officer(s)	BA Response/Action	Timetable
<p>1. <b>Policies and Procedures</b> All planning policies and work instructions should be reviewed and updated to take account of current working practices, responsibilities and the functionality enabled by the CAPS planning system.</p> <p>Documents should be subject to periodic review.</p>	M	Head of Development Management	Partially completed. A review of all policies and working practices is underway, and will be documented.	<p>31 March 2012</p> <p>Revised Target Date: 31/3/13</p>

## Tolls Management System: December 2011

Recommendations	Priority Rating	Responsible Officer(s)	BA Response/Action	Timetable
<p>5. <b><u>Backups</u> Integrity/Housekeeping Database Jobs</b> Management should explore the Oracle database management and housekeeping functionality to better understand and implement database housekeeping jobs. These should be run on a periodic basis as part of a wider database management routine.</p>	M	Head of ICT and Collector of Tolls	Completed. The database has been reviewed and sufficient integrity and housekeeping tasks are in place. These processes are fully documented.	<p>31 December 2011</p> <p>Revised Target Date: 31/7/12</p>

Recommendations	Priority Rating	Responsible Officer(s)	BA Response/Action	Timetable
<p>7. <b>Business Continuity and Disaster Recovery</b>  Management should work with other departments to refresh the existing Corporate Business Continuity and Disaster Recovery Plans in line with changed Authority requirements. Both plans should undergo regular, formal testing.</p>	M	Head of ICT and Collector of Tolls	Completed. The Plans have been updated to reflect the current ICT infrastructure and Authority's premises.	31 July 2012  Revised Target Date: 31/12/12
<p>8. <b><u>Support System and Change Controls</u></b>  <b>Formal Support Agreement</b>  Management must ensure that the current support arrangements are formalised and signed off as soon as possible, and no later than the go live date.</p>	M	Head of ICT and Collector of Tolls	Completed. The contract has been agreed and signed by both parties.	31 December 2011  Revised Target Date: 31/7/12