

Recommendations due as at 23rd April 2010 but not implemented

Audit	Recommendation	Priority	Lead Officer	Original Due Date	New Due Date	Management Response
CCTV (Closed Circuit Television)	Develop a mechanism to provide on-going assurance of compliance with Code of Practice.	Medium	CCTV Manager	31-Mar-09	30-Sep-10	See paragraph 4.7 of main report.
CCTV	Produce and make available a clear statement setting out CCTV's commitment to operate with respect for equality and diversity issues. [i.e. in Code of Practice, internet page]	Low	CCTV Manager	31-Mar-10	30-Sep-10	See paragraph 4.7 of main report.
CCTV	Introduce incident and fault logging databases that: standardise incident recording in line with performance / CDRP (Crime and Disorder Reduction Partnership) British Crime Survey indicators; records the outcomes of incidents i.e. arrests / convictions; standardise categorisation of faults; and allows accurate calculation and monitoring of speed of fault resolution.	Medium	CCTV Manager	31-Mar-08	30-Sep-10	See paragraph 4.7 of main report.
CCTV	Agree protocols for the police to provide feedback detailing the benefit and effectiveness of all CCTV footage provided upon investigations / prosecutions etc.	Medium	Group Manager - Regulatory Services	31-Dec-07	30-Sep-10	See paragraph 4.7 of main report.
CCTV	Develop a set of SMART (Specific, Measurable, Achievable, Relevant and Time-specific) performance indicators that allow on-going qualitative assessments of CCTV's contribution to corporate and CDRP aims and priorities.	High	CCTV Manager	29-Feb-08	30-Sep-10	See paragraph 4.7 of main report.

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CCTV	Ensure performance indicators cascade through to Personal Development Plans for staff.	Medium	CCTV Manager	31-Mar-08	30-Sep-10	See paragraph 4.7 of main report.
CCTV	Identify all risks to CCTV service delivery and ensure they are appropriately reflected in the relevant service's risk register and effective mitigating actions are taken.	Medium	CCTV Manager	01-Apr-10	30-Sep-10	See paragraph 4.7 of main report.
Safer Journeys to School	Develop and maintain an effective risk register and supporting actions that identifies and mitigates risks or exploits opportunities to the service.	Medium	Head of Planning and Transport	31-Mar-09	30-Jul-10	Audit Comment: This recommendation will be followed-up next period as the original action plan has been re-evaluated. Therefore this is considered Not Applicable for this period as opposed to non-implemented.
ETE - Financial Management	Assign budgets to individuals who have control over the provision of the service and the expenditure.	Medium	Head of Public Protection, Group Manager Waste & Street Scene and Head of Culture	01-Apr-09	30-Jul-10	The assignment of the budgets relating to winter gritting and parks and verges are under review by Heads of Service and will be followed up at the end of the next quarter.
Integrated Locality Working	Develop an Integrated Locality Working Strategy which includes: · universal functions that will be offered at a local level; · targeted services that may be offered at a local level; · risk management and governance arrangements; and use of an agreed performance data set to monitor impact.	High	Group Manager Integrated Locality Services	31-Mar-09	29-Jun-10	The following 5 audit recommendations are interrelated. An integrated locality practitioners toolkit has been drafted which includes our vision for integrated working in Southend. The toolkit includes: An overview of integrated working arrangements which reflects updated national requirements and local needs analysis A detailed description of universal, targeted, complex and acute stages of need along with the risk management arrangements A performance monitoring system which allows us to track and monitor cases and the delivery of the objectives for delivering Integrated Locality Working"
Integrated Locality Working	Produce and circulate a Performance Indicator Report for monitoring and action.	Medium	Group Manager Integrated Locality Services	30-Jun-09	30-Jun-10	See above - Recommendation 1 - Integrated Locality Working

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Integrated Locality Working	Update Integrated Locality Working Operational Guidance and include the following additions: · follow up, monitoring and tracking of cases; · data retention, i.e. case removal from the Common Assessment Framework (CAF) database; and CAF database maintenance.	Medium	Group Manager Integrated Locality Services	31-Mar-09	30-Jun-10	See above - Recommendation 1 - Integrated Locality Working
Integrated Locality Working	Review the guidance on a regular basis to ensure that it remains up to date and reflects current working practices.	Medium	Group Manager Integrated Locality Services	30-Sep-09	30-Jun-10	See above - Recommendation 1 - Integrated Locality Working
Integrated Locality Working	Develop risk registers at locality team level and review at least quarterly for actioning and updating.	Medium	Group Manager Integrated Locality Services	31-Mar-09	30-Jun-10	See above - Recommendation 1 - Integrated Locality Working
Network Infrastructure & Wireless	Review Domain Security Option Settings and where appropriate make more use of these settings (e.g. "Clear virtual memory page file when system shuts down" and "Do not display last user logon name in logon screen" are both disabled).	Low	Technical Infrastructure Manager	31-Mar-10	30-Sep-10	This recommendation is covering a number of issues which will be managed in different ways e.g. removing last login. There is a delay in carrying out this work to ensure that the password change is fully embedded.
Network Infrastructure & Wireless	Produce regular network performance and availability reports for senior management within the Council and those with responsibility for ICT (Information and Communication Technologies).	Low	Technical Infrastructure Manager	31-Mar-10	31-Aug-10	This will be addressed as part of the Management Reporting Project – where reports are sent to Technical Infrastructure Manager. Further reporting for the Line of Business (LOB) to be provided through the forthcoming Helpdesk system due in July 2010.

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Energy Management	Review, update and re-launch the Energy Policy and Strategy in light of the signing of the Nottingham Declaration.	High	Head of Public Protection	31-Mar-09	31-Aug-10	Following the Energy Savings Trust workshop in December 2009, and having regard to the forthcoming Carbon Reduction Commitment scheme that Southend Borough Council will be signing up to during 2010, it is proposed to widen the remit of the current Energy Management Policy to include sustainability, climate change issues and other energy matters including water usage. This new Policy will be drafted during June / July 2010.
Financial Assessments for Older Persons Needing Care	Start monitoring the time taken to complete financial assessments and regularly monitor the performance of the residential and non-residential teams.	Medium	Finance Team Manager (Assessments & Income)	01-Apr-09	30-Sep-10	<p>Whilst improved performance monitoring has taken place since the financial assessment audit and sample checking has been a useful tool in picking up consistency issues, the introduction of EDRMS (Electronic Documents and Record Management System) will introduce workflow systems. This will provide the opportunity to look at what indicators are now relevant with the changing work of the team with EDRMS giving us the reporting system.</p> <p>The system is introduced in mid July and I would propose that the audit recommendation is followed up again at the end of September. It will be helpful for audit to look at what performance measures we consider to be relevant for the future.</p>

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Main Accounting	Review the journal file on a quarterly basis and investigate any missing journals.	Medium	Group Manager - Financial Planning & Capital	28-Feb-09	31-Jul-10	In response to the audit recommendation to ensure that supporting paper documentation is kept for each Journal Transfer in Cedar and that the files are regularly checked for completeness we proposed to introduce an electronic file storage option called 'Paperclip'. This functionality allows Cedar to store electronic working papers 'attached' to the journal transfer and reduces the need for paper storage. The 'Paperclip' software has been successfully installed and tested however there is an outstanding issue. While we can attach documented in the system, there is currently no way to retrieve the information in report form to ensure that every journal transfer has a supporting working paper. The issue has been raised with the system suppliers helpdesk for resolution.
Care-first Application: Care Management Module	Generate and review security violation reports on a periodic basis.	Medium	Systems Administrator	30-Apr-09	30-Sep-10	This is a recommendation that is currently impossible to implement using Carefirst 5. The system does not produce security reports. Therefore this recommendation cannot be followed up until September 2010 when Carefirst 6 is introduced.
Care-first Application: Care Management Module	Generate and review user access reports on a periodic basis to identify redundant accounts.	Medium	Systems Administrator	30-Apr-09	30-Sep-10	This is a recommendation that is currently impossible to implement using Carefirst 5. The system does not produce security reports. Therefore this recommendation cannot be followed up until September 2010 when Carefirst 6 is introduced.
Procurement	Finalise the introduction of supplier questionnaires and utilise the results to improve performance.	Low	Head of Procurement	31-Dec-09	31-Jul-10	Supplier questionnaires have now been produced and sent to ICT to turn into an e-form for suppliers to complete electronically. We are currently awaiting for ICT to Complete this task.
Procurement	Re-launch the Procurement Toolkit to raise awareness of its existence and content.	Medium	Head of Procurement	31-Oct-08	31-Jul-10	Update to be given via training to designated Procurement Officers, this has yet to be arranged, The Head of Procurement is currently verifying who the designated procurement officers are with Heads of Service.

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Appendix 4

Audit	Recommendation	Priority	Lead Officer	Original Due Date	New Due Date	Management Response
Corporate Training and Development	Produce a quality assurance procedure to analyse courses and providers included within the Corporate Training Programme to ensure that training needs are being met and that suitable trainers are being retained.	Medium	Group Manager People & Organisational Development	01-Feb-09	31-Oct-11	The process is being mapped as part of the implementation of Agresso project
Corporate Training and Development	Review the process for obtaining feedback to evaluate courses provided as part of the Corporate Training Programme in order to obtain maximum feedback.	Low	Group Manager People & Organisational Development	30-Apr-09	31-Oct-11	Identified requirement for systematic post event evaluation i.e. an automated ICT system to capture consistent feedback. This is being considered within the Agresso Project.
Covalent Application	Investigate with the supplier the ability to enforce a password history function to prevent passwords being continually recycled. Implement if possible.	Medium	Strategy & Performance Advisor	31-Mar-10	31-Jul-10	This recommendation has been raised with the supplier and will be available in the next release of Covalent. As the application is web-based, the upgrade to this version will take place automatically in July 2010.
Covalent Application	Investigate with the supplier the ability to enforce a system user account lockout following three consecutive failed login attempts. Implement if possible.	Medium	Strategy & Performance Advisor	31-Mar-10	31-Jul-10	This recommendation has been raised with the supplier and will be available in the next release of Covalent. As the application is web-based, the upgrade to this version will take place automatically in July 2010.
Covalent Application	Investigate with the supplier the ability to enforce users to supply their old password before a new password can be logged with the application. Implement if possible.	Medium	Strategy & Performance Advisor	31-Mar-10	31-Jul-10	This recommendation has been raised with the supplier. It is a priority 1 enhancement, however will not be available in the next release of Covalent. The enhancement is work in progress and dependent on the supplier. No implementation date could be gauged.
Covalent Application	Investigate with the supplier the ability to log and report unsuccessful login attempts to the application. Implement if possible.	Medium	Strategy & Performance Advisor	31-Mar-10	31-Jul-10	This recommendation has been raised with the supplier and will be available in the next release of Covalent. As the application is web-based, the upgrade to this version will take place automatically in July 2010.

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Covalent Application	Review application access logs monthly for any unusual or suspicious activity. Emphasis should be placed on remote user access. Investigate any anomalies and take appropriate action. The frequency should be increased to weekly if recommendation 2 cannot be implemented.	Medium	Strategy & Performance Advisor	31-Mar-10	31-Jul-10	This recommendation is dependent on the implementation of Recommendation 4 (above). Once logs and reporting are available, reviewing of these will be actioned.
Self Directed Support (SDS) & Direct Payments (DP) for Vulnerable Adults	Include the SDS and DP performance targets in appropriate staff performance targets.	Medium	Group Manager Social Care	31-Mar-10	30-Jun-10	This has been integrated into the 10/11 appraisal process for social care staff. Evidence will follow following the June 2010 appraisals
Self Directed support & Direct Payments for Vulnerable Adults	<p>Finalise documented financial procedures for SDS and DP.</p> <p>Include document retention procedures in-line with the CIPFA (Chartered Institute of Public Finance and Accountancy) guidance.</p> <p>Get them approved by the Head of Adult Commissioning.</p> <p>Make them available to all relevant staff.</p>	Medium	Adult and Community Services Business Support Group Manager	01-Apr-10	31-Jul-10	<p>a) Completed</p> <p>b) Document retention is in line with corporate requirements</p> <p>c) Draft documentation completed and awaiting head of service sign off . Draft documentation sent to internal audit.</p> <p>d) As c), awaiting head of service sign-off before circulated to relevant staff</p>

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Self Directed support & Direct Payments for Vulnerable Adults	<p>Include in the financial information forwarded to clients:-</p> <p>two copies of the Terms & Conditions and obtain the signature of the client on the second copy; and</p> <p>easy to read guidance to compliment the Terms & Conditions detailing:-</p> <p>what constitutes appropriate expenditure; and</p> <p>the review timetable and the documentation to be provided.</p>	Medium	Adult and Community Services Business Support Group Manager	01-Apr-10	30-Sep-10	<p>a) Will be completed as part of the Carefirst Version 6 implementation (September 2010)</p> <p>b) Since the audit there has been revised guidance from the Department of Health (Oct 09) & this is no longer required</p> <p>c) As (b)</p> <p>d) To be completed as part of (a) above</p>
Self Directed support & Direct Payments for Vulnerable Adults	<p>If possible, set up the upgraded CareFirst (Version 6) software to:</p> <p>calculate annual increases in payments due;</p> <p>identify those clients in receipt of DP & SDS who hold in excess of 8 weeks funding; and</p> <p>produce direct payments and self-directed support payments.</p>	Medium	Systems Support and Development Manager	31-Mar-10	31-Jul-10	<p>a) Completed</p> <p>b) We are currently in discussion with system supplier (OLM) as part of their development for local authorities</p> <p>c) Completed</p>
Letting Contracts (Low and Medium Value)	Set up framework agreements for construction services in line with the European Union procurement legislation.	Medium	Head of Corporate Procurement	15-Sep-09	31-Oct-10	Advertisements are shortly to be placed for these contracts. The specification has now been produced.

As per paragraph 4.6 in main report:

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PC End User Controls	Evaluate endpoint security tools and present a business case to the ICTSG (ICT Strategic Group). If approved, implement to prevent unauthorised removable devices from connecting to the Council's systems.	High	Technical Infrastructure Manager	28-Feb-10	31-Jul-10	Project to develop solution added to ICT Programme of Work. The Line Of Business (LOB) has decided this is not a high priority and may not be carried out in 2010-11.

Total Number of Recommendations	36
High Recommendations	4
Medium Recommendations	27
Low Recommendations	5