

This is a schedule of all recommendations where the target date for implementation has passed and either the recommendation has not been fully implemented, or the auditee has failed to provide information on whether it has been implemented.

Ref	Audit year	Department	Audit Name	Assurance	Recommendation	Priority (1/2/3)	Agreed Target date	Responsible Officer	Status/ Comments
1	2010/11	Children's Services	Pre Booked Travel and Accommodation	Substantial	The booking policies which are in draft form should be finalised and made available to staff responsible for requesting transport bookings. This may be achieved by publishing them on the Council's intranet.	2	30/09/2011	Travel Procurement Manager	
2	2010/11	Children's Services	Pre Booked Travel and Accommodation	Substantial	Staff responsible for requesting bookings should be instructed to include the budget holder in the booking e-mail distribution list to demonstrate that the budget holder is aware of and has authorised the journey.	2	30/08/2011	Travel Procurement Manager	<p>The form requests both the name of the officer requesting the journey and the manager authorising the journey. Not all are copied into the emails to date and an all service managers email is to be distributed with expectations and responsibilities.</p> <p>(2/8/11 update) The form requests both the name of the officer requesting the journey and the manager authorising the journey. CTPU are amending text to make it explicit that the line manager/budget holder must be cc'd into the email for authorisation or the booking will not be processed. Message of the Day (MOD) due to be circulated by end of month to all staff. (August 2011) The MOD was due to go out sooner, but due to a number of potential changes to process was delayed. This will now go out as a stand alone message.</p>

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3	2009/10	Community Services	Abacus IT Audit	Substantial	The Council should ensure that a formal reconciliation of data transferred to and from Abacus is carried out for each interface.	2	17/06/2011	Head Of Performance And Information Team, CSD & Finance Manager, CSD	<p>Extension of 3 months agreed by IAM (20/5/10) due to recent change to Abacus SLA that meant HFBP is now responsible for implementation of this recommendation.</p> <p>11/08/10 - KN - The Council have been given the tools to reconcile the data between Frameworki-Abacus-Cedar - they are now responsible for doing the reconciliation. No further action required from HFBP.</p> <p>Progress has been made, but further work is required on interface. LBHF & HFBP submitted development requirements to Corelogic – suppliers of FWI . WPR42346 Implementation date tba. (Report to CSD DMT Dated 20th October 2010) 18/03/11 - WPR scheduled implementation date revised by PM, new date 29/04/2011.</p>
4	2011/12	Environment	Licensing Income	Substantial	<p>Management should review all procedures and update them to reflect changes in working practices.</p> <p>Procedures should be reviewed on an annual basis and the date of review recorded – even where no changes are required.</p>	2	01/08/2011	Head of Commercial Operations	

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5	2011/12	Environment	Licensing Income	Substantial	Staff should be reminded that personal and premises licenses should be processed within five and 15 working days respectively. The timeliness of issuing licenses should be monitored and corrective action taken where necessary. Further, management should investigate whether the system has the functionality to remind relevant officers to complete the assessment of applications before the target deadline is missed.	2	01/08/2011	Head of Commercial Operations	
6	2010/11	Finance & Corporate Services (HFBP)	GCSx	N/A	The Council, through its IT partner HFBP, should ensure that all servers and all network equipment have audit logs produced; that they are retained for a minimum period of 6 months and that they are in a format that can easily assist in any investigation or incident.	2	01/09/2011	HFBP Technical Support Analyst on behalf of AD Procurement and IT Strategy	17/08/2011 - WO created and assigned to MS
7	2010/11	Finance & Corporate Services (HFBP)	GCSx	N/A	The Council, through its IT partner HFBP, should introduce a process whereby servers built are hardened and checked against the checklist. In addition, consideration should be given to utilising a tool such as MS Baseline Security Analyser to check for vulnerabilities on the servers.	2	01/09/2011	HFBP System Support Analyst on behalf of AD Procurement and IT Strategy	17/08/2011 - WO created and assigned to MS.

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8	2009/10	Finance & Corporate Services (HFBP)	Laptop and Mobile Asset Management and Security Audit	Substantial	A process should be established for periodically reporting and reviewing remote access logs to terminal servers. Items to be reviewed should include but not be limited to: <ul style="list-style-type: none"> • unsuccessful access attempts; and • access attempts to sensitive menu options. 	2	30/04/2011	HFBP Group Security Manager/ H & F Information Manager	
9	2009/10	Finance & Corporate Services	Corporate Information Management and Security	Substantial	Policies and procedures should be put in place to require that regular and timely information audits be undertaken to establish the relevance of current information and future requirements.	2	05/09/2011	Information Manager	Progress has been made on all of these actions but they have encountered a 6 month delay due to extenuating circumstances. They are all key deliverables of the Information Management Strategy Update August 2011 – To be discussed further with Chief Internal Auditor (5/9/11) and schedule audits targeting high-risk business areas first. We can then propose a revised target date.
10	2009/10	Finance & Corporate Services	Corporate Information Management and Security	Substantial	Clear Desk Policy audits should be updated to include a requirement for business unit managers to undertake periodic Clear Desk audits.	2	31/03/2011	Information Manager	Progress has been made on all of these actions but they have encountered a 6 month delay due to extenuating circumstances. They are all key deliverables of the Information Management Strategy (Information Manager - 7 June 2010).
11	2009/10	Finance & Corporate Services (HFBP)	Data Storage and Backup Recovery Audit	Substantial	A process should be established for carrying out periodic test restores for back up data across all Council systems.	2	25/03/2011	Server Infrastructure Manager	18/03/2011 - HFBP to discuss with H&F. Will need new infrastructure for these restores and confirm whether H&F would pay. End date to change to 25/03/2011. 16/12/2010 - Work order raised with HFBP Server Team to be scoped.

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12	2009/10	Finance & Corporate Services (HFBP)	Citrix and VMware	Substantial	Management should assess the virtual computing environment security settings against the best practice security arrangements to formally agree the appropriateness of the settings applied and apply change controls to the agreed documented device build configurations.	2	31/01/2011	Client Server Infrastructure Manager(HF BP)/Senior Finance and Contract Monitoring Officer	21/03/11 - WO created and assigned to HFBP Server Team
13	2010/11	Housing & Regeneration	Accessible Housing Register/ Housing Options - Project Management	N/A	<p>A detailed benefits plan should be developed, including but not limited to the following:</p> <ul style="list-style-type: none"> • Clearly documented aims and benefits (tangible and intangible) of the project; • Where appropriate, inclusion of when the benefits will be delivered and quantified volumes and targets to be achieved; • Details regarding the process and frequency of monitoring both during the project and after project completion; and • The process of reporting progress, particularly on dealing with delays to progress and issues arising, to the Project Board (or to senior management where the Board no longer meet). 	1	15/04/2011	Project Manager (Occupational Therapy Team Manager)	Updated following follow up visit on 24/2/2011
14	2010/11	Housing & Regeneration	Integration of HF Homes into the Council	Substantial	Briefing or training sessions should be organised for all HF Homes line managers to prepare them for any changes in their responsibilities arising from the integration, such as the need to lead on staff CRB checks and recruitment of temporary staff.	2	15/04/2011	Head of HR	

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15	2010/11	Housing & Regeneration	Integration of HF Homes into the Council	Substantial	<p>A formal action plan for integrating the HF Homes risk management framework within the Council's framework should be established.</p> <p>The plan should include but not be limited to:</p> <ul style="list-style-type: none"> • Adapting risk register templates; • Identification of risk owners within the Housing and Regeneration Department ; • Reporting procedure for risks and their mitigation; • Ensuring that risks are not lost or duplicated; and • Appointing a Risk Management representative for the department. <p>The Housing and Regeneration Department should also appoint a representative to the Corporate Performance Group.</p>	2	30/09/2011	AD Finance and Resources (Housing and Regeneration)	

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16	2008/09	Housing & Regeneration	Capital Budgeting and Accounting	Substantial	Documented procedures should be established for capital accounting and budgeting. Any procedures established should be reviewed on a regular basis.	2	31/05/2011	Housing and Regeneration Finance Manager	<p>Capital accounting procedures completed. CSRM will try to complete budgeting procedures by 31 December 2010. (Andy Lord, 14 May 2010)</p> <p>The capital accounting procedures have been completed but the budgeting procedures remain outstanding. With the pressures of MTFs and World Class Financial Management it is not currently possible to take someone off their regular duties for a week to write up the budget procedures. Implementation date change from 31/10/2009 to 31/12/2010 agreed by IAM 1/6/10)</p> <p>Housing & Regeneration Finance received this request on 7th April 2011. Due to resources within the team being devoted to closing the accounts, it is not anticipated that this task can be completed until the end of May 2011</p>

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17	2008/09	Housing & Regeneration	Housing Rents	Substantial	In addition to monitoring the monthly aged debt analysis report there should be an independent review of a selection of individual debtor accounts to ensure that the action plans are appropriate and in accordance to debt policies.	2	11/04/2011	Head of Neighbourhood Services	<p>This is an income management function which will be taken up with the Housing Services Managers.</p> <p>(Update - January 2010) <i>Partially Implemented</i> - A comprehensive review of the management of individual debtor accounts was carried out in June 2010 by the Audit Commission as part of their Inspection and reviews are carried out each month as part of each Senior Housing Officer's performance management work. The Rent Management Service Improvement Group is also introducing peer audits between offices, with the first audit of cases due to happen in March 2010.</p> <p>update - July 2010 - Senior Income Officers carry out monthly case monitoring to check the escalation policy has been applied in line with the procedure within their own teams. When the new Income Team structure is put in place in September 2010 random audits will be completed by the Team Manager.</p> <p>{Update - February 2011} - A full audit of the top 300 rent arrears cases was carried out to see what actions were taking place and what actions the system was triggering in response to aged debt/ The results were not to the standard expected. Some systems glitches were identified and moreover the way in which Rents officers were using the system to track cases of aged debt was not correct. A system rebuild is currently underway to introduce new escalation policies that will more adequately prompt actions for aged debt. Key to this is retraining of all rents officers in the use of arrangements - with arrangements automatically prompting the Officers to cases where historic debt has been static or where the case is not reducing in line with agreements made. Training for all officers and managers begins 14th March and new escalation go live is scheduled for 11th April</p>

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18	2010/11	Residents Services (HFBP)	Spydus Application Audit	Limited	The Council's partners for ICT managed services, Hammersmith & Fulham Bridge Partnership (HFBP) should perform a full evaluation of the systems and services provided to the Libraries, particularly in response to the Library Service having lost the Systems Librarian. Furthermore, to define and formally approve with the Library Service and implement a specific formal Service Level Agreement (SLA) with procedures established to monitor the service of in-house support and maintenance of the Spydus application and library services against the SLA.	2	30/09/2011	Deputy Head of Libraries (LBHF) and Head of Application Services (HFBP)	16/8/11 - AB - Request for extension for implementation, this is due to a new action owner being assigned and that initially an SLA was agreed for the Library but we are now assessing what impact the loss of the System Librarian will have on the service. A dialogue is currently in process with H&F for this assessment and a new implementation date will be requested once completed. Assessment to be completed by end of September and new implementation date will follow. 21/03/11 - Libraries SLA written but not signed off, needs to be updated to take into account change in circumstances regarding H&F deciding not to replace Systems Librarian.
19	2009/10	Residents Services	Trade Waste - Financial Management and Debt Recovery	Substantial	Roles and responsibilities for trade waste debt recovery at both a departmental and corporate level should be formally defined, documented and communicated to staff. These should include as a minimum: <ul style="list-style-type: none"> • The role of the corporate debt recovery function; • The role of departmental recovery officers, • The way in which the two should interact, and • The circumstances under which exceptional action (such as legal action and write offs) should be instigated and the processes involved. 	2	31/03/2011	AD for Finance And Resources	Corporate Income & Debt Management policy to be rewritten as part of World Class Financial Management Transformation Programme - this is a specific project stream of the main programme. Corporate Policy will then be translated to service policies as appropriate, one of which will be for Trade Waste. Work cannot commence on this until the WCFM project commences in January 2011, with a completion target of 31st March 2011.

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20	2008/09	Residents Services	Business Continuity	Limited	All BCP sections should be appropriately completed, regularly reviewed and consistently updated. The AD Resources should determine how quality control over BCPs is to be implemented within their departments, in particular, whose role it is to be and what time is to be allocated to it amongst other duties where the role is a part-time one.	1	31/07/2011	AD Resources	<p>All departments have been updating their continuity plans over the last few months. These have been sampled and a significant number of plans have been updated following the audit.</p> <p>A quality control process has been agreed, circulated to SRG members and published on the intranet. This process is within the newly published Service Continuity Toolkit.</p> <p>Full plan completion still an issue across departments. Update paper due to be presented to EMT July 2011 which will provide options for going forward.</p>