

## RENFREWSHIRE VALUATION JOINT BOARD

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**To: Renfrewshire Valuation Joint Board**

**On: 31 May 2019**

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**Report by: Chief Auditor**

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**Heading: Summary of Outstanding Internal Audit Recommendations**

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### **1. Summary**

- 1.1 The PSIAS places the responsibility for monitoring progress with the Chief Auditor to ensure that management actions have been effectively implemented, or, if not, that senior management have accepted the risk of not taking action.
  - 1.2 In June 2018, the Chief Auditor presented a report to the Board stating that it was her opinion that there was an opportunity to enhance the escalation procedures for cases where agreed actions have not been effectively implemented by the date agreed. One of the recommendations was that details of outstanding critical recommendations will be provided to the Board.
  - 1.3 This report therefore provides the updated position of those critical recommendations that have been followed up during 2018/19 and have not yet been fully implemented by service management.
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### **2. Recommendations**

- 2.1 Members are invited to note the position with regard to these outstanding recommendations.

### **3. Background**

- 3.1 Internal Audit undertake an annual exercise to ensure that recommendations arising from internal audit engagements have been implemented by management. The results of this exercise have been reported to the Assessor and Electoral Registration Officer on conclusion of the exercise and the overall summary also to this Board as part of the Chief Auditor's Annual Report. All critical

recommendations which have been made and have reached their due date for implementation by the date of commencement of this exercise are included in this follow up exercise. Management are asked to provide evidence to demonstrate that each of these recommendations have been implemented.

- 3.3 Those which have not yet been implemented or are in the process of being implemented are detailed in Appendix 1, along with the latest response received from management.

**For further information please contact Andrea McMahon on 0141-618-7017**

**Or via e-mail at [andrea.mcmahon@renfrewshire.gov.uk](mailto:andrea.mcmahon@renfrewshire.gov.uk)**

## Appendix 1

### Renfrewshire Valuation Joint Board

#### Internal Audit Service

#### Progress of Critical Recommendations not implemented by their due date.

Engagement	Recommendation	Due By Date	Status	Management Response at Follow Up Exercise	Revised Date
RVJB - ICT Security Arrangements ICT002/2014/004	As a matter of priority, Senior Management should ensure that steps are taken to produce an appropriate IT Disaster Recovery Plan that includes all necessary information to assist in the event of an emergency situation. The plan should be fully formalised, agreed and signed off by senior management. Regular periodic reviews should follow thereafter at least on an annual basis or when important changes occur to ensure the document remains up to date and fit for purpose.	30/04/17	Partially Complete	RVJB are currently in discussions with third party cloud backup and DR suppliers to provide total coverage for the RVJB server estate. The solution being looked at will allow key RVJB services to be available within 10 minutes of a disaster occurring and offer a 'connect from anywhere' option to the provider's off-site facilities. This service would be fully hosted, managed and supported by a third party supplier and would be inclusive of hardware/software refresh, configuration, networking and high availability. RVJB's email is currently cloud based through Office 365 and allows a much more robust, high available service compared to that of an on premise solution.  Formalised documentation will	01/09/19

Engagement	Recommendation	Due By Date	Status	Management Response at Follow Up Exercise	Revised Date
				be developed and added to as and when the cloud DR service is adopted. This disaster recovery plan will be tested and reviewed at regular intervals as part of best practice.	
RVJB - ICT Security Arrangements ICT002/2014/004	On completion of an appropriate IT Disaster Recovery Plan, Senior Management should ensure responsibility that sufficient test procedures are developed. These test procedures should be realistic, and tested at least once a year as best practice guidance advises.	30/04/17	Not Yet Implemented	A meeting is to take place to discuss the recovery of the Progress server in the event of a disaster. At present, the primary Progress server being used has a shadow server to which all its databases are replicated to. RVJB are seeking clarification on timescales regarding a switch over to the backup server as part of DR as well full service migration timescales. This backup server is housed within Renfrewshire Council's property and will be included within their ongoing migration project to cloud backup and IAAS.	01/09/19