

RENFREWSHIRE VALUATION JOINT BOARD

To: Renfrewshire Valuation Joint Board

On: 22 November 2019

Report by: Chief Auditor

Heading: Summary of Outstanding Internal Audit Recommendations

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 This report provides the updated position of those critical recommendations that have been followed up during 2019/20 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 07983852046

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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	<p>The Disaster Recovery Solution has to be commensurate to RVJB's business requirement and through discussions with Renfrewshire Council's Procurement Department a tender document was agreed. The resultant tender was published on RVJB's behalf by Renfrewshire Council's Procurement department on the 11th September 2019 with the deadline for submissions being 25th September 2019. After the tenders have been evaluated and scored, RVJB hopes to be in a position to award the contract in the near future.</p> <p><u>Further Audit Comment</u> It has now been confirmed that the contract has been awarded at the end of October and work has commenced on progressing the disaster recovery solution.</p>	30/03/20

Engagement	Recommendation	Due By Date	Status	Management Response at Follow Up Exercise	Revised Date
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	Partially Complete	<p>Following on from discussions with RC and the barriers highlighted in combining RVJB's DR service with RC's provider, RVJB were advised to procure their own Disaster Recovery provider. The tender was published on the 11th September 2019 with the deadline for submissions being 25th September. Once the contract has been awarded the Business Continuity Plan and IT Disaster Recovery Plan will be completed and signed by the Management Team with reviews and testing of the procedures built in to the plans.</p> <p>With the Progress server forming part of RC's network, in the event of a Disaster and as part of testing, RVJB would connect to the backup Progress server via a VPN connection from our DR site.</p>	30/03/20