

Internal Audit Management Agreed Corrective Action - Timeline Missed Schedule

Recent follow-up on the Management Agreed Corrective Actions recommended by the Internal Audit - Progress Status as at March 2017)
(Agreed Timeline missed by 6 months or longer)

MT	Original Timeline	Unit		Agreed Corrective Actions	Significance of each action	Updated Timeline	Management Comments	Progress at March 2017 toward full implementation
	IT Disaster Recovery and Backups Review (Oasis1136787)							
	Dec 2014	City Corporate	3c	<p>Obtain Management Team confirmation on an acceptable Recovery Point Objective (RPO) for offsite storage</p> <p>Note: The recovery point objective (RPO) is the maximum acceptable level of data loss following an unplanned "event", like a disaster, crime, or any other business or technical disruption that causes data loss. The RPO represents the point in time, prior to such an event or incident, to which lost data can be recovered (given the most recent backup copy of the data).</p>	Management expectations may not be met	Dec 2016	Agree to action.	<p>A new backup solution was implemented in October. For critical servers there will be four backup snapshots of each server per day, for non-critical servers there will be two backup snapshots of each server per day. These backups will not impact users of the systems. The backups will be stored online allowing for quicker recovery than currently possible with the tape solution. In addition, critical data (e.g. Council website, Ozone) will also be held in the cloud using Microsoft Azure which adds another layer of data protection.</p> <p>The backup solution as detailed above has been implemented along with the recovery point objective (RPO) as outlined. This has been documented as part of the IM BCP plan that has been given to the management team for review and sign off.</p>
	Dec 2014	City Corporate	8a	Update Disaster Recovery Plan (DRP) documentation to be consistent with the Business Continuity Plan (BCP)	Management expectations may not be met	Feb 2016	Once BCP plans are developed/ finalised and brought together this will be possible. When last sighted by IT the plans varied significantly in completeness and validity so IT has undertaken a best guess at this stage.	<p>The Information Management (IM) DRP update has been completed.</p> <p>This comment applies to 8a to 8c.</p>
			8b	Validate the DR Plan with the business to ensure consistency			Agree once BCPs are meaningful.	
			8c	Include an escalation decision tree in the plan			Agree to action.	

MT	Original Timeline	Unit		Agreed Corrective Actions	Significance of each action	Updated Timeline	Management Comments	Progress at March 2017 toward full implementation
			8d	Obtain Management Team sign off for the priority restores order of applications.			There is a logical system order that servers have to come up in in order to work. However, MT should validate the business BCPs which will determine the order of priority for applications. This can be summarised for MT in a report once meaningful BCPs are completed.	The priority restore order is included in the IM BCP plan that has been given to the management team for review and sign off.
Non-Financial Performance Measures (Oasis 1166089)								
	June 2015	City Future Libraries City Future	1a)	Develop written business rules for all Key Performance Indicators (KPIs) in the LTP to remove ambiguity in the determination of met or not met.	It may be unclear how to measure KPIs, what data to collect and whether the KPI is met or not.	June 2017	Agree with need to document business rules and will implement, but the key is to have measures that can actually be assessed. Agree with the need to write business rules for KPIs. This can be done before June 2015 for the 2015/25 Long Term Plan KPIs.	Business rules are in place for all except two KPIs. One of these two KPIs is for Economic Development because a Council Controlled Organisation called Central Economic Development Agency (CEDA) started operating in September 2016. KPIs have been set, and business rules written. (This will be the last time it appears on this schedule) "The second is for the Community Centres. Preliminary work for the review of the Community Centres has commenced and will be considered by councillors in a workshop on 15 May 2017. The KPI's for the Community Centres and related business rules will be prepared following the workshop, for consideration through the upcoming 10 Year Plan process." Refer to above comments.
	Feb 2015	City Networks	5a)	Provide more staff training on the requirement to enter the actual response timings from the job sheets not the data entry time.	Data may not be accurately captured and reported	July 2017	This is in hand and we should have some data by January 2015 to enable any necessary tweaks to be made before formal reporting is required.	The hardware to implement a mobile solution to be more accurately capturing the response time and the actual problems (for Stormwater/ Wastewater/ Water) has arrived and customisation of software has now been completed for roll out to various City Enterprises staff over the 2016/17 and 2017/18 financial years.
			b)	Provide a system to verify the recorded response times.		Feb 2017	Provision of handhelds for field staff would assist enormously in ensuring that accurate time data is recorded. Discussions with	Training for scheduled maintenance has been completed. The test environment has been developed for responding to and resolving of Request For Services but requires piloting prior

MT	Original Timeline	Unit		Agreed Corrective Actions	Significance of each action	Updated Timeline	Management Comments	Progress at March 2017 toward full implementation
							regard to roll out of handheld equipment for field staff have begun with Council's IT department.	to roll out to staff who will capture the data for the KPI purposes. Due to a major software update release by the provider due in mid-2017 and the staged rollout and concurrent KBase category improvements, the pilot is scheduled for August 2017.
Building Services Revenue Process (Oasis 801390)								
	Feb 2015	HR	2b)	Attend training in Procurement before staff carry out the activity.	Procurement process may not be followed leading to lack of transparency, poor value for money, ethical or probity issues or legal challenge.	Feb 2017 May 2017	Agree and will implement	A training provider is sourced. Two procurement training sessions are scheduled for 24-25 May 2017.
	Feb 2015	City Corporate	2c)	Flag the issue of the policy approach when employing former staff members for inclusion in the next review of the Purchasing Policy.	Managers maybe unclear when a procurement issue arises and how to manage it.	Feb 2017 May 2017	Agree and will implement.	This issue will be addressed in the review of the Purchasing Policy (MT70). A Draft revised Purchasing Policy is now expected to be presented to the Management Team in May 2017.
	June 2015	Customer Services	4a)	Finalise the plan to comply with the Revenue and Finance Policy (refer page 216, 10 Year Plan 2012 22) or change the Policy. This may involve: Reducing duplication and increase effectiveness of time recording and reporting systems.	Council Policy (Guideline) may not be met.	June 2017	Agree and will implement	Project underway with a deadline of June 2017 to implement the online system.
Reconciliations (Oasis 1079836)								
	May 2014	City Corporate	2f)	Implement desk files for other more complicated reconciliations e.g. Sundry Debtors (1120), Rates (1100), Payroll (2111-2118).	Business continuity may not be effective	March 2017 June 2017	Agree and will action	Some desk files for a more complicated reconciliations have not been completed though progress has been made on others.
Parking Collection Contract Management (Oasis 893010)								
	June 2015	City corporate	1 a)	Improve its guidance for its staff on contract management by explaining when a Contract Management Plan is expected to be prepared, how it will be authorised and what it should contain.	Staff may not have the appropriate tool to carry out their tasks	June 2017	Agreed that a standalone Guide for Service Contracts will be prepared.	A standalone Guide for Service Contracts will be prepared.

MT	Original Timeline	Unit		Agreed Corrective Actions	Significance of each action	Updated Timeline	Management Comments	Progress at March 2017 toward full implementation
Contract Management (Oasis 5482338)								
	March 2016	City Networks	2	<ul style="list-style-type: none"> a) Require contract managers to have an adequate approved plan up front for how they are going to monitor contractor performance of the contract. b) Review the guidance in the Contract Administration Manual – Administration of the Contract. c) Add a step to the Quality Plan to ensure this effective planning for contract management is completed. 	Contract planning and monitoring lack vigour		a) Agreed and will implement. We will include a monitoring requirement in the Contract Administration Manual embracing Recommendations 2 (a),(b) and (c) and brief staff on this requirement.	a) b) and c) are all partially completed. Arrangements are in place to have staff briefed in May 2017 on the changes made to the Contract Administrative Manual.
	Before end of December 2015	City Networks	5	<ul style="list-style-type: none"> a) Ensure that there is a formal performance review during the life of the contract e.g. annually, at extension time and at the end of each contract. b) Involve more than one staff in the process and evidence as such. c) Reference supporting evidence to the review. 	Contracts being extended to a non - performance Contractor	February 2017	Agreed and will implement. Process for Recommendations (a), (b) and (c) will be introduced for future contracts	Technical Services Manager will liaise with City Networks Divisional Managers to attend to this action by 31 May 2017.
	July 2015 Nov 2015 March 2016	City Corporate City Networks	6	<ul style="list-style-type: none"> a) Maintain an up to date Contracts Register for all Contracts. b) Set up appropriate sub folders where necessary. c) Select a sample of newly created documents each month and feedback to the creators if the Departmental naming convention has not been followed. d) <ul style="list-style-type: none"> i. Ensure that contract file documentation is complete by ensuring all tenders are electronic, ii. H&S contractor approved list documentation is supplied in electronic format and as resources permit iii. consider back scanning of current contracts. 	Risk Contract lapsed and not renewed and the consequences thereof		a), b), c) and d) Agreed and will implement.	<ul style="list-style-type: none"> a) Contract Register not yet fully implemented as it is awaiting the review of the Purchasing Policy (MT70) to ensure clarity on what constitutes a contract for registration. Once accepted there will be a backlog of contracts to be registered. b) Implemented c) Naming convention adds no value and therefore not pursue. Risk accepted. d)(This will be the last time d) is presented here) <ul style="list-style-type: none"> i. All contract files documentation are electronic, ii. An electronic document has been established (Re Oasis file 8648245 titled Approved Contractor List PNCC 2017. iii. Completed.

MT	Original Timeline	Unit		Agreed Corrective Actions	Significance of each action	Updated Timeline	Management Comments	Progress at March 2017 toward full implementation
	Before end of March 2016	City Networks	7	Prepare a policy to determine when contracts should be subject to a legal sign off. The options for consideration could be: i. All contracts ii. All contracts over \$1m. iii. Contracts with unique aspects. iv. Contracts for Services.	An inferiorly written contract may embarrass the Council	Feb 2017 May 2017	Agree and will implement. GM City Networks to engage with Legal Counsel and Senior Management to address Recommendation 7 (a).	To seek the in house Legal Counsel's input by 12 May 2017.
	March 2016	City Networks	11 a)	Review the Health and Safety (H&S) Manual on External Contractors under Section 12	Council may breach the H&S legislations	May 2017	Agreed and will implement. Review of Charter 12 of the H&S Manual will be undertaken.	Chapter 12 of the H&S Manual on External Contractors has been reviewed. It will be presented for adoption along with the full H&S Manual. A draft of the H&S Manual is expected to be completed by 30 June 2017 and then put through for an external Peer review.