

2010/11 AGS Action Plan
Updated August 2012

AGS Ref	Area of Assurance	Gap Identified	Agreed Action	Responsible Officer	Timescale	Update August 2012
1.3 New	Effective procedures to identify, evaluate, communicate, implement, comply with and monitor legislative change exist and are used	Quarterly legislation tracker no longer produced by legal	Legal & Governance Services to explore a cost effective way of ensuring legislative changes are identified	Director of Legal & Governance Services	Nov 2011	<p>Legal officers report legislative changes to CSB, and specific committees as legislative changes occur as well as provide training and updates to relevant officers/members.</p> <p>A monthly Policy Bulletin is produced by the Chief Executive's Office and issued to Members, CSB, CLG, Policy & Scrutiny Officers and Finance Business Partners containing updates on new legislation.</p> <p>The 2011/12 Management Assurance Exercise sort assurance from managers that relevant legislative changes are picked up. Lists of new legislation provided by managers as part of the exercise were reality checked by Legal services to ensure all key pieces identified. This was working well across all Directorates for 2011/12.</p> <p>GAP closed</p>

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1.7 c/f	Objectives are reflected in departmental plans and are clearly matched with associated budgets	No corporate requirement for services within Directorates to have Service Delivery Plans.	Assistant Chief Executive to produce paper for CSB consideration on how to close this gap. (as agreed by CGG 09/08/11)	Assistant Chief Executive	Nov 2011	Report to CSB 23/11/11 plus new service planning guidelines issued in January 2012. GAP closed
3.4 c/f	There is a counter fraud and corruption policy in place which has been formally approved, regularly reviewed and widely communicated to all relevant staff.	Policy accessible on internet site but only via search facility on intranet (CAFT have no specific pages). No awareness sessions etc. are run.	Intranet to be enhanced to enable policy to be more accessible to staff. Corporate fraud awareness e-learning tool to be developed in-house.	Corporate Anti-fraud Service Manager (with help from Information Management) Corporate Anti-fraud Service Manager	Nov 2011 March 2012	The CAFT pages have been updated on the hub so that there is now information surrounding fraud affecting the authority and how employees can report it. There is no direct link to the Corporate Anti-Fraud Policy as this is under review. The government has recently launched a new 'Fighting Fraud Locally' strategy and toolkit for implementation in local government and part of this toolkit is a free fraud awareness package endorsed by CIPFA that authorities can roll out within their organisation. The latest timescales for release are May 2012 so moves will be made after release to incorporate this within Harrow's learning pool so that all new starters complete the course and existing staff can dip in an out as and when. GAP partially closed, ongoing 2011/12

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3.7 New	Where a scheme of delegation has been drawn up, it has been formally approved and communicated to all relevant staff	Management Assurance Exercise identified directorate/service specific schemes of delegation covering HR / service specific responsibilities not consistently in place across the Council	Reminder on the requirement for a directorate/service specific scheme of delegation to be put in place to be sent to all Corporate Directors. Evidence of delegations in place to be provided to Internal Audit.	Assistant Chief Executive/Director of Finance Corporate Directors	September 2011 Dec 2011	Action implemented via CSB August 2012. 2011/12 Management Assurance Exercise shows a 2% corporate improvement to 58% working well. GAP c/f 2011/12
3.34 c/f	There are up-to-date data security policies and guidance in place covering: • key business areas	There is no consistent approach for validating information from third parties as it is the responsibility of the contract 'owner'	Paper to CSB to be produced to address the GAP	Divisional Director - Partnership Development & Performance	November 2011	Action not implemented. Directorates are aware however no mechanism in place to obtain assurance. Information Management Team now taking this on. The data Quality Policy will be reviewed and communicated to managements using the new policy compliance software. GAP c/f 2011/12

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3.37 New	The council manages information risk effectively. Arrangements meet the requirements expected in government including having a capable Senior Information Risk Owner (SIRO). The council complies with the requirements set out in any relevant codes of connection for services it has in place, for example the Government Secure Intranet / Government Connect.	<p>The Council has complied with the Governments Code of Connection and was formally certified on 1st Sept 09 and updated 29/07/11. However CAFT moved 01/08/11 to open plan office that does not, in the opinion of the CAFT Service Manager and the Information Management Service Manager comply with the relevant code of connection:</p> <p>All hosts and network equipment are to be located in secure accommodation</p>	Plan to be developed to address how to meet requirements.	Corporate Anti-fraud Service Manager/ Service Manager - Property	November 2011	<p>The latest compliance statement for GCSX submitted in July 2012 stated: All hosts and networking equipment are located in locked secure accomodation.</p> <p>In addition: GCSx users are restricted to defined areas at two physical locations (Civic1 and Civic 6 buildings) at Harrow Council. Their access to the GCSx system is controlled via firewall rules</p> <p>Therefore there remain the risk that the open plan nature of the accommodation will not be deemed suitably secure.</p> <p>GAP c/f 2011/12</p>

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3.38 New	The council incorporates good practice standards and specified public sector policies on data and information security into its own policies and procedures. For example, ISO27001 and relevant Codes of Connection for the NHS Network (N3) and Government Secure Intranet and Government Connect.	In order to improve on data security, the Council has commissioned a gap analysis exercise (Dec 09) to help identify gaps in data security practices to enable us to imbed an ISMS to ISO27001 standards. Capita and the Council are now working together to implement some of the gaps to imbed an ISMS to ISO standard.	Action identified and agreed in ISMS/ISO action plan therefore no action required here.	Tony Monachello	N/A	When Capita took over the ITO a full suite of policies was implemented by the Capita ICT Security Manager that meeting ISO Standards and Capita and the Council continue working together to implement the gaps to imbed an Information Security Management System (ISMS) to ISO standard. GAP partially closed, ongoing 2011/12
10.5 New	Develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	No protocol currently in place	Protocol to be developed and agreed	Director of Legal & Governance Services	November 2011	Effective working relationship between Chief executive and Leader and although a draft protocol was drawn up by Legal, all parties concerned consider that formalising this process would not add any value. Therefore not considered to be a gap in governance.
13.11 c/f	Joint workforce planning.	Although there is an integrated Children's Workforce Strategy and joint induction arrangements for those working with children across local partners this does not exist to any significant extent in other Directorates	This has been identified in the Strategy for People 2010-2012 as an action for 2011 therefore no further action is needed here.	Jon Turner	N/A	Workforce strategies and plans continue to be developed but are not yet in place in all Directorates. Where appropriate Directorate workforce strategies / plans include joint planning with partners GAP partially closed, ongoing 2011/12

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<p>13.19 New</p>	<p>Ensure that career structures are in place for members and officers to encourage participation and development</p>	<p>There is no career-planning programme in place at the officer level</p>	<p>This is reflected in the Strategy for People 2010-12 action plan therefore no further action needed here.</p>	<p>Jon Turner</p>	<p>N/A</p>	<p>To encourage officers' participation and development the Council's IPAD process now requires managers to consider employees' career development aspirations. Directorate performance in ensuring all staff receive an annual IPAD review is monitored through Improvement Boards and the overall performance at the end of 2012 was 85%.</p> <p>Performance differs between Directorates and each Directorate has taken action to improve performance in preparation for the Council being assessed against the liP standard in 2012.</p> <p>Where appropriate Directorate workforce strategies include developing career pathways and structures to enable effective workforce planning.</p> <p>The Member Development Programme includes skills development for members working to develop their political roles.</p> <p>GAP closed</p>
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GF7 c/f	Making sure that an effective risk management system is in operation	No Business Continuity/IT Disaster recovery plan	<p>Not in place for 2010/11. Will be complete by April 2012.</p> <p>There are already some arrangements in place to meet this requirement (including an annual DR test) and a comprehensive range of improvements have been developed to ensure resilience and recovery capabilities as part of the new Capita IT contract.</p> <p>One of the main projects to support this is the migration of the council's IT applications to the Capita West Malling site, which is due to commence in September on a phased programme which will be completed in April 2012.</p> <p>There is a continuing risk until this project is complete although the wider business continuity plan takes this into account and the risk is no greater than it has been historically over a number of years.</p>	Head of IT Client Team	April 2012	<p>The move to West Malling is being re-evaluated against an alternative option to retain the data centre at the civic centre. A plan is now being put together to test DR of the systems as they stand.</p> <p>SIGNIFICANT GAP c/f 2011/12</p>
OGF8 c/f	Making sure that an effective risk management system is in operation	<p>Health & Safety</p> <p>Management Assurance Exercise identified that Health & Safety not working well across all areas of the Council.</p>	<p>A comprehensive review of H&S has been carried out and a new restructure and a two year improvement plan is commencing.</p> <p>Progress against plan report to be provided to Internal Audit (at the request of Chief Executive)</p>	Divisional Director Risk, Audit & Fraud	Dec 2011	<p>Progress made i.e. audit tool rolled out, but will not be fully implemented until 2013 as it is a two year plan.</p> <p>GAP partially closed, ongoing 2011/12</p>

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3.42 c/f	The council engages with its staff and gains their commitment to, and ownership of, the council's approach to reducing its impact on the environment	<p>Although a well publicised Energy Saving Campaign was run in 2008/09 it is recognised that a more pro-active engagement with staff is needed.</p> <p>Reduced staffing levels and a freeze on recruitment during 2010/11 have meant that it has not been possible to devise a programme. We anticipate recruiting and initiating a programme in the Autumn</p>	To devise a pro-active engagement programme on the council's approach to reducing its impact on the environment.	Head of Climate Change	Nov 2011	<p>Not implemented due to lack of resources.</p> <p>GAP c/f 2011/12</p>