Thurrock: A place of opportunity, enterprise and excellence, where individuals, communities and businesses flourish

Standards and Audit Committee

The meeting will be held at **7.00 pm** on **4 February 2015**

Committee Room 1, Civic Offices, New Road, Grays, Essex, RM17 6SL

Membership:

Councillors Simon Wootton (Chair), Yash Gupta (MBE) (Vice-Chair), Terence Hipsey, Cathy Kent and Brian Little

Rhona Long, Co-Opted Member
Stephen Rosser
Jason Oliver, Co-Opted Member

Substitutes:

Councillors Oliver Gerrish, Robert Gledhill and Tunde Ojetola

Agenda

Open to Public and Press

Queries regarding this Agenda or notification of apologies:

Please contact Kenna-Victoria Martin, Senior Democratic Services Officer by sending an email to Direct.Democracy@thurrock.gov.uk

Agenda published on: **27 January 2015**

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The council welcomes the filming, photography, recording and use of social media at council and committee meetings as a means of reporting on its proceedings because it helps to make the council more transparent and accountable to its local communities.

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Thurrock Council Wi-Fi

Wi-Fi is available throughout the Civic Offices. You can access Wi-Fi on your device by simply turning on the Wi-Fi on your laptop, Smartphone or tablet.

- You should connect to TBC-CIVIC

- Enter the password **Thurrock** to connect to/join the Wi-Fi network.

- A Terms & Conditions page should appear and you have to accept these before you can begin using Wi-Fi. Some devices require you to access your browser to bring up the Terms & Conditions page, which you must accept.

The ICT department can offer support for council owned devices only.

Evacuation Procedures

In the case of an emergency, you should evacuate the building using the nearest available exit and congregate at the assembly point at Kings Walk.

How to view this agenda on a tablet device

You can view the agenda on your iPad, Android Device or Blackberry Playbook with the free modern.gov app.

Members of the Council should ensure that their device is sufficiently charged, although a limited number of charging points will be available in Members Services.

To view any "exempt" information that may be included on the agenda for this meeting, Councillors should:

- Access the modern.gov app
- Enter your username and password

DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF

Breaching those parts identified as a pecuniary interest is potentially a criminal offence

Helpful Reminders for Members

- *Is your register of interests up to date?*
- *In particular have you declared to the Monitoring Officer all disclosable pecuniary interests?*
- *Have you checked the register to ensure that they have been recorded correctly?*

When should you declare an interest *at a meeting?*

- **What matters are being discussed at the meeting?** (including Council, Cabinet, Committees, Subs, Joint Committees and Joint Subs); or
- If you are a Cabinet Member making decisions other than in Cabinet **what matter is before you for single member decision?**

↓

Does the business to be transacted at the meeting
- **relate to; or**
- **likely to affect**

any of your registered interests and in particular any of your Disclosable Pecuniary Interests?

Disclosable Pecuniary Interests shall include your interests or those of:

- your spouse or civil partner's
- a person you are living with as husband/ wife
- a person you are living with as if you were civil partners

where you are aware that this other person has the interest.

A detailed description of a disclosable pecuniary interest is included in the Members Code of Conduct at Chapter 7 of the Constitution. **Please seek advice from the Monitoring Officer about disclosable pecuniary interests.**

What is a Non-Pecuniary interest? – this is an interest which is not pecuniary (as defined) but is nonetheless so significant that a member of the public with knowledge of the relevant facts, would reasonably regard to be so significant that it would materially impact upon your judgement of the public interest.

Pecuniary

If the interest is not already in the register you must (unless the interest has been agreed by the Monitoring Officer to be sensitive) disclose the existence and nature of the interest to the meeting

If the Interest is not entered in the register and is not the subject of a pending notification you must within 28 days notify the Monitoring Officer of the interest for inclusion in the register

Unless you have received dispensation upon previous application from the Monitoring Officer, you must:

- **Not participate or participate further in any discussion of the matter at a meeting;**
- **Not participate in any vote or further vote taken at the meeting; and**
- **leave the room while the item is being considered/voted upon**

If you are a Cabinet Member you may make arrangements for the matter to be dealt with by a third person but take no further steps

Non- pecuniary

Declare the nature and extent of your interest including enough detail to allow a member of the public to understand its nature

You may participate and vote in the usual way but you should seek advice on Predetermination and Bias from the Monitoring Officer.

Vision: Thurrock: A place of **opportunity**, **enterprise** and **excellence**, where **individuals**, **communities** and **businesses** flourish.

To achieve our vision, we have identified five strategic priorities:

1. Create a great place for learning and opportunity

- Ensure that every place of learning is rated "Good" or better
- Raise levels of aspiration and attainment so that residents can take advantage of local job opportunities
- Support families to give children the best possible start in life

2. Encourage and promote job creation and economic prosperity

- Promote Thurrock and encourage inward investment to enable and sustain growth
- Support business and develop the local skilled workforce they require
- Work with partners to secure improved infrastructure and built environment

3. Build pride, responsibility and respect

- Create welcoming, safe, and resilient communities which value fairness
- Work in partnership with communities to help them take responsibility for shaping their quality of life
- Empower residents through choice and independence to improve their health and well-being

4. Improve health and well-being

- Ensure people stay healthy longer, adding years to life and life to years
- Reduce inequalities in health and well-being and safeguard the most vulnerable people with timely intervention and care accessed closer to home
- Enhance quality of life through improved housing, employment and opportunity

5. Promote and protect our clean and green environment

- Enhance access to Thurrock's river frontage, cultural assets and leisure opportunities
- Promote Thurrock's natural environment and biodiversity
- Inspire high quality design and standards in our buildings and public space

Minutes of the Meeting of the Standards and Audit Committee held on 9 December 2014 at 7.00 pm

Present:	Councillors Simon Wootton (Chair), Yash Gupta (MBE), Cathy Kent and Brian Little
	Jason Oliver, (Co-Opted Member)
Apologies:	Councillors Terry Hipsey
	Rhona Long – Co-Opted Member
In attendance:	Sean Clark, Head of Corporate Finance
	Christine Connolly, Ernst and Young
	Gary Clifford, Client Manager for Audit Services
	Chris Harris, Head of Internal Audit
	Lee Henley, Information Manager
	Andy Owen, Corporate Risk Officer
	Kenna-Victoria Martin, Senior Democratic Services Officer

Before the start of the Meeting, all present were advised that the meeting may be filmed and was being recorded, with the audio recording to be made available on the Council's website.

20. **Minutes**

The Minutes of Standards and Audit Committee, held on 16 September 2014, were approved as a correct record.

21. **Items of Urgent Business**

There were no items of urgent business.

22. **Declaration of Interests**

There were no declarations of interest

23. **Regulation of Investigatory Powers Act (RIPA) 2000 – Quarterly Activity Report**

The Information Manager introduced the report to the Committee, notifying that during the period of July 2014 to September 2014 the Council had processed 3 RIPA authorisations, 2 were fraud related and the other relating to Trading Standards.

It was explained to the Committee that there had been requests made to the National Anti-Fraud Network (NAFN) for Communication Data requests. These requests were broken into two types, Service Data, information held by

a telecom or postal service provider including itemised telephone bills and/or outgoing call data and Subscriber Data, this included any other information or account details that a telecom provider holds for example billing information. Members were informed that there were 2 Subscriber Data requests received between the reported time.

The Information Manager informed Members that at the previous meeting of the Committee it was reported that there had only been 3 fraud related RIPA authorisations for 2013/2014. Following the meeting it had been identified that during 2013/2014 the Council authorised 2 additional requests for Trading Standards. Members were updated via email as soon as the correct figures were identified.

Members were notified that Trading Standards followed the correct process and sent the requests to Legal Services. The requests were dated 7 November 2013 and 16 January 2014, both requests were authorised by an Authorising Officer in line with process and Legal Services ensured that the requests were authorised by the Court in line with process.

Members enquired as to whether the Monitoring Officer signed off all RIPA authorisations and whether she kept a record of the amount of authorisations that were carried out. Officers explained that the Monitoring Officer did sign off RIPA authorisations as did other Authorising Officers of which the Head of Corporate Finance was one. With regard to recording the authorisations, Members were informed that the Information Manager kept a log for the Council.

It was sought by the Committee as to the outcomes of the 3 cases. Officers notified Members that one case was fraud related and was being dealt with by Legal Service, another was being handled by the police and the last no further action was taken.

RESOLVED:

1. **To note the statistical information relating to the use of RIPA from July 2014 to September 2014.**

2. **To report a revised figure for 2013/14 RIPA requests, and to summarise the reason for the change in these figures**

24. **Complaints Report – April to September 2014**

The Information Manager introduced the report to the Committee explaining that this was the first of the biannual reports being presented to Members. He then went on to explain to those present the difference between a concern and a compliant. The Committee were notified that all concerns and complaints were logged by the complaints team and that for 2014/2015 there had been a total of 1916 concerns and complaints logged with 99% of complaints being responded to within the timeframe.

Members were advised that Local Government Ombudsman (LGO) enquires were being responded to within 15days, this was well within the Councils deadline of 21 days and the LGOs deadline of 28 days. The Committee were further informed that that of 1487 Councillor enquires 99% were responded to within timeframes and of 296 MP enquires 95% were responded to within timeframes.

Members enquired the following from Officers:

- Who decided whether an issue was a concern or a complaint
- Since the process of complaints had changed to include concerns, it was queried as to whether officers has changed its timeframes;
- Were residents aware of the status of their enquiry and the difference between a complaint and a concern.

Officers responded to the Committees queries and explained:

- That it was the Information team who decided whether an issue was a concern or a complaint depending on the seriousness of the nature of the issue;
- There was still a 3 stage complaint system, stage 1 gave 14 days to issue the resident with a response, stages 2 and 3 gave 28days for a response to sent and concerns had 5 calendar days to be solved.;
- That the Information team attempted to contact residents as soon as possible to explain the status of their concern/ complaint.

RESOLVED:

1. **That the Standards and Audit Committee note the statistics for the reporting period April to September 2014.**

25. **Review of the Strategic - Corporate Risk and Opportunity Register, In Quarter 3 Report**

The Corporate Risk Officer introduced the report to the Committee explaining that under the Terms of Reference of the Constitution one of the functions of the Standards and Audit Committee is to provide independent assurance that the Authority's risk management arrangements are adequate and effective. To enable the Committee to consider the effectiveness of the Council's risk and opportunity management arrangements, Members are presented with this report on a bi annual basis which provides details of how the key risks and opportunities facing the Authority are identified and managed.

The Committee were informed that any risks or opportunities that were rated at 16 or 12 automatically became in focus and any that were rated 9 or 8 would be considered on a case by case basis for the in focus report. It was further explained that the Council compared its Strategic/Corporate Risk and Opportunity Register against Zurich Municipal's assessment of the key risk/challenges facing the local government sector. Members were notified that there had been a good match between the Council's register and the

Zurich Municipal's assessment, although it was identified that there was a gap against the fraud risk category the Committee were informed that at present this was had not been identified as a significant corporate risk facing the authority but is an area that is getting some focus with the review of the Fraud Strategy and Counter Fraud Team.

Members thanked the Corporate Risk Officer for his detailed report and for presenting the report in such a way that was straightforward to understand.

RESOLVED:

1.   **That Standards and Audit Committee note the items and details contained in the Dashboard (Appendix A).**

2.   **That Standards and Audit Committee note the 'In Focus' report (Appendix B), which includes the items identified by Corporate Risk Management, Performance Board and Directors Board that Standards and Audit Committee should focus on this quarter.**

3.   **That Standards and Audit Committee note the information outlined in Appendix C and section 3.6 of the report, which compares the Council's Strategic/Corporate Risk & Opportunity Register against Zurich Municipal's assessment of the key risks/challenges facing the local government sector.**

26.   **Internal Audit Progress Report 2014-2015**

The Internal Audit Manager introduced the report to Members informing them of the following:

- That to date, 17 reports had been issued as final, 9 reports at draft or debrief stage and 8 reviews that were work in progress;
- One report had been issued with a Red assurance opinion, had been discussed at Directors Board and was to be presented to the Committee at their next meeting;
- Reports on Treasury Management and Members Allowances received a Green assurance rating;
- An Electrical Testing report received an Amber/Green assurance rating;
- Internal Audit carried out an advisory review of the Troubled Families Programme, at the request of the client. It was explained to Members that an assurance opinion on advisory reports was not produced. Although there were 7 high and 2 medium recommendations which were reported to and agreed by management.

Members were notified that Internal Audit continued to support three internal investigations involving staff directly employed or contracted to the Council; however these were now being dealt with by Human Resources.

The Committee were informed that a further detailed report of the Troubled Families Programme advisory review was included within the appendix to the main report. It was explained that this was the first year for the new programme and unfortunately there was not enough information provided. Members were informed that all actions within the action plan were being followed up and a follow up report would be reported to the Committee at the next meeting.

It was sought by the Committee as to whether the claims stated within the Troubled Families Programme report be incorrect would the financial loss be to Thurrock Council or to the residents. Officers explained that as long as the information provided was correct and the process followed correctly there should not be an issue, however as the programme was grant funded any financial loss would be to Thurrock Council.

RESOLVED:

That the Standards & Audit Committee:
1.   Consider reports issued by Internal Audit in relation to the 2014/15 audit plan.
2.   Note progress against the Internal Audit Plan for 2014/15.

27.   **Thurrock Annual Audit Letter 2013-2014**

The Head of Corporate Finance introduced the report informing Members that the report offered a summary of the information that the Committee had seen at previous meetings. He continued to confirm to Members that the accounts had been signed off within the timeframe.

The external auditor notified Members of the Committee that the report was an account summary of the 2013/2014 accounts, she continued to inform Members that on 30 September 2014 an unqualified value for money conclusion. It was confirmed that on 3 October 2014 the external auditors issued their audit completion certificate.

The Committee praised the superb work and dedication of the finance department. It was asked that the Committee's appreciation be passed to the teams for their hard work.

RESOLVED:

That the Standards and Audit Committee consider the comments of our external auditors as set out in the attached report and note their findings.

28.   **Standards & Audit Committee 2014-2015 - Work Programme**

Members discussed the work programme for the municipal year and the following reports were agreed:

4 February 2015

- Internal Audit: Red Reports (x2)
- Fraud Report
- Audit of Grant Claims
- Disaster Recover

17 March 2015

- Review of ROM Policy
- Draft Internal Audit Plan
- Ernst and Young – Audit Plan 2014/2015
- Regulation of Investigatory Powers Act 2000

The meeting finished at 8.15 pm

Approved as a true and correct record

CHAIR

DATE

**Any queries regarding these Minutes, please contact
Democratic Services at Direct.Democracy@thurrock.gov.uk**

4 February 2015	ITEM: 5
Standards and Audit Committee	
Disaster Recovery Plans for IT	

Wards and communities affected:	Key Decision:
All	No

Report of: Kathryn Adedeji – Head of Housing - Investment and Development and Corporate Commercial Services.

Accountable Head of Service: Kathryn Adedeji, Head of Housing Investment and Development and Corporate Commercial Services

Accountable Director: Graham Farrant, Chief Executive

This report is Public

Executive Summary

The Standards and Audit Committee have requested a report outlining our Disaster Recovery plans for IT.

1.   **Recommendation(s)**

1.1   **That Standards and Audit Committee note the attached Serco ICT Disaster Recovery Plan;**

1.2   **That Standards and Audit Committee agree to a full and detailed review of both business continuity and ICT Disaster Recover arrangements be undertaken as outlined in section 3;**

1.3   **That Standards and Audit Committee receive at the earliest opportunity in the new Municipal Year this report, together with costed options to improve the Council's overall business continuity and ICT disaster recovery approach.**

2.   **Introduction and Background**

2.1   At the 09 December 2014 Standards and Audit Committee, members discussed the work programme for the municipal year and a number of reports were agreed, including a "Disaster Recovery" report for the 04 February 2015 meeting.

2.2   Elements of Thurrock Council's ICT services are delivered by Serco under the Strategic Services Partnership Agreement signed in 2004. These elements include, voice and data communication services, data hosting and infrastructure services, end user support and support for some of the Council's service delivery applications.

2.3   ICT elements not supported by Serco include application support for some service delivery applications such as the Liquid Logic system in Adult Social Care and Childrens Services, the Saffron system used by Housing, the Agilisys EDRMS and Thurrock Online systems, and the hosting of the Oracle eBusiness Suite.

2.4   In addition to an effective ICT disaster recovery plan, service based business continuity plans are also required to ensure that the Council can continue to operate and deliver services to customers in the event of a major incident.

3.   Issues, Options and Analysis of Options

3.1   The Serco ICT Disaster Recovery Plan, enclosed, covers only the Serco scope of work and does not cover all ICT services and infrastructure. It does not include any information about service based business continuity plans.

3.2   The currently identified standby facility in the Serco ICT Disaster Recovery Plan for use if the Civic Centre is lost in a major incident is designated as Culver House. This location will soon be unavailable and provision of the standby facility is the Councils responsibility

3.3   In light of these issues it is recommended that a full and detailed review of all Council business continuity and disaster recovery arrangements be undertaken. This review should include:

- An evaluation of the current Council business continuity arrangements and the whole ICT service disaster recovery plans and arrangements;
- Engagement with all non-Serco managed ICT suppliers to ensure all business continuity and disaster recovery plans are comprehensive;
- A critical assessment of these plans, identifying their strengths and weaknesses;
- Clear identification of ownership and responsibility for each aspect of the business continuity strategic plan;
- An analysis of the relationship between these various plans and their interdependencies;
- Any immediate actions that the Council should take;
- Outline the options available to the Council to improve overall arrangements, including the costs of the options, any service delivery implications and their advantages and disadvantages; and
- A recommended course of action.

4.   Reasons for Recommendation

4.1   The Council's ability to effectively operate following a major incident or
         disaster is governed by the relationship between business continuity planning
         and the recovery plans of the whole ICT service. Therefore, further work is
         required to determine the current position on all of these issues, how they
         impact on each other, and to formulate robust, costed options to improve the
         Council's service delivery resilience in the event of a major incident affecting
         primary delivery sites such as the Civic Centre.

5.   Consultation (including Overview and Scrutiny, if applicable)

5.1   In producing this report consultation has been undertaken with the Serco ICT
         Delivery Team and Gavin Dennett, Head of Public Protection and
         Environment.

**6.   Impact on corporate policies, priorities, performance and community
         impact**

6.1   If the Council does not have robust, integrated and tested business continuity
         and ICT disaster recovery plans, it may be unable to deliver its statutory
         functions and customer facing services in the event of a major incident
         affecting the Civic Centre.

7.   Implications

7.1   **Financial**

         Implications verified by: **Mike Jones**

                                        Management Accountant

         If business continuity and disaster recovery plans are not robust and
         comprehensive then the Council will incur costs relating to lost working hours
         and days in the event of a major incident.

7.2   **Legal**

         Implications verified by: **Assaf Chaudry**

                                        Major Projects Lawyer

         This report outlines the Council's Disaster Recovery plans for IT and the need
         to review such plan in light of the deficiencies in having a plan that does not
         covered all applications in use by the Council . It is imperative that the Council
         carries out this review in light of the consequences of such a disaster not only
         will the Council be unable to carry out its statutory duties (Child Protection
         ,payment of Benefits , Safeguarding and prosecution duties).It will have an
         impact on any Contract that contains future or ongoing performance

obligations . In addition this will have an impact on the Council's role as an Employer and the consequences for occupiers liability and Health and Safety if operational disruption were to occur

7.3 **Diversity and Equality**

Implications verified by: **Rebecca Price**

Community Development Officer

Service delivery to Thurrock's most vulnerable residents will be adversely affected without robust and comprehensive business continuity and disaster recovery plans.

7.4 **Other implications** (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

N/A

8. **Background papers used in preparing the report** (including their location on the Council's website or identification whether any are exempt or protected by copyright):

- N/A

9. **Appendices to the report**

- Appendix A: Serco ICT Disaster Recovery Plan, last revised January 2015.

Report Author:

Kathryn Adedeji

Head of Housing- Investment and Development and Corporate Commercial Services

ICT Service Disaster Recovery Plan for Serco Contract

Serco UK & Europe at Thurrock Council

ICT
3rd Floor Civic Offices II

**A copy of this Plan is to be retained by
all the ICT services team managers**

Author	**Andy Best**
Version	**3.1**
Sign off by	**Steve Abbott**
Date of sign off	**22/01/15**

'This plan has been reviewed by Phoenix in Conjunction with Serco and is based on the Thurrock Council standard template'

Appendices attached to this plan that contain personal information must be kept confidential to comply with the relevant provisions of the Data Protection Act 1998 or any subsequent Legislation that enacts similar provisions.

Document Control

Version History			
Version	**Date**	**Reason for release**	**Issued by**
2.1	02/01/14	Review to cover new services	A Best
3.0	02/12/14	Annual Review	A Best

Document Approval		
Role	**Name**	**Date approved**
Head of ICT	Steve Abbott	02/12/13

Document Distribution		
Role	**Name**	**Organisation**
Service Delivery Manager	Andy Best	ICT
Applications Manager	Gerry Waterfield	ICT
Business Services Manager	Clive Denham	ICT
Joe Gregory	SandI Team Leader	ICT
Gary Malley	CandI Team Leader	ICT
Aaron Page	Servicedesk Team Leader	ICT

Document Reference	
Document	**Location**
IT Service Disaster Recovery Plan	J:\ICT\08 BAU\Business Continuity

Last Review Date	
Review Date	**Reviewer**
14/11/2014	A Best

Table of Contents

Plan Revision History

It is important that this ICT Service Disaster Recovery Plan accurately reflects the current situation and business requirements at Thurrock Council. Updates must be provided to the DR process owner.

The following table describes the history of this document.

Version	Date Issued	Reason for Update
1.1		Initial Draft
1.3		Name and role changes
1.4	26/08/2011	Review following restructure of ICT department
1.5	03/08/2012	Review following department restructure and recent staff changes.
1.6	09/10/2013	Updates following department re-structure
1.7	14/11/2013	New format for front pages
2.0	02/01/2014	Annual review
2.1	14/11/2014	Review following new services being introduced
3.0	05/122014	Annual Review

This plan is reviewed annually or upon changes to staff/structure.

The next review is due 14 November 2015.

About This Disaster Recovery Plan

1.1. Purpose and Scope of This Plan

This plan has been designed and written to be used in the event of a disaster affecting Thurrock Council at Civic Offices, New Road, Grays, Essex, RM17 6SL.

This plan is structured around teams, with each team having a set of specific responsibilities.

The decision to initiate disaster recovery procedures will be taken by Thurrock Council's Disaster Management Team Leader or their deputy after assessing the situation following a disaster or crisis.

If the Council's Disaster Management Team invokes the disaster recovery procedures, then all members of the ICT Disaster Recovery Team will follow the procedures contained in this plan until recovery is complete.

This plan contains all the information necessary for Serco to restore an operational ICT service, for the elements they are responsible for as defined in the strategic services partnership, in the event of a serious disruption of computer services at Civic Offices.

1.2. Updating This Plan

This plan must be kept up to date.

It is the responsibility of the ICT Service Delivery manager to ensure that procedures are in place to keep this plan up to date. If, whilst using the plan, you find any information which is incorrect, missing or if you have a problem in understanding any part of this plan please inform the ICT Service Delivery manager so that it may be corrected. It is important that everyone understands their role as described in this plan.

Updated versions of the plan are distributed to the authorised recipients, listed in Section 1.3, Distribution List.

1.3. Distribution List

The ICT Service Delivery Manager is responsible for the distribution of this plan. Each plan holder, listed in the table below, receives a copy of this plan. The plan, and associated documents, will be replicated to the laptops of the ICT Disaster Recovery Team, with a further copy stored offsite on the Culver Centre DC server.

The Service Delivery Manager will periodically check that the software distribution of the plan is occurring

Name	Name	Deputy

21/04/2015

Account Partnership Director	Ian Cousins	Jacqui Harding
ICT Head of Service	Steve Abbott	Clive Denham
Service Delivery Manager	Andy Best	Gerry Waterfield
Support Services Manager	Gerry Waterfield	Andy Best
CandI Team leader	Gary Malley	Gerry Waterfield
SandI Team Leader	Joe Gregory	Gerry Waterfield
Offsite Copy 1	Serco Our World Portal	
Offsite Copy 2	DR team Laptops	

2.Plan Objectives

A disaster is defined as an incident which results in the loss of computer services at the Thurrock Council sites at Civic Offices or Tasmania House, to the extent that relocation to a Standby Facility is required. A disaster can result from a number of accidental, malicious or environmental events such as fire, flood, terrorist attack, human error and software or hardware failures.

The primary objective of this ICT Service Disaster Recovery Plan is to ensure the continued operation of identified business critical systems in the event of a disaster.

Specific goals of the plan are:

- To restore services in priority order and for high priority services to be operational at a standby facility made available by Thurrock Council within 3 working days of it being available and subject to replacement equipment being sourced from suppliers.
- To operate at the standby facility for as long as required
- To reinstate Thurrock Council ICT services in the Thurrock Council Civic Offices premises or an alternative designated facility To minimize the disruption to Thurrock Council's business

3.Recovery Teams and Responsibilities

This section defines the functional responsibilities of the ICT Recovery Team.

3.1. ICT Disaster Management Team (DMT)

The ICT Disaster Management Team is responsible for providing overall direction of the data centre recovery operations. It ascertains the extent of the damage, activates the ICT Disaster Recovery Team, and notifies the team members. Its prime role is to monitor and direct the recovery effort.

The Council Disaster Management Team is responsible for deciding whether or not the situation warrants the introduction of disaster recovery procedures. If they decide that it does, then the ICT Disaster Management Team defined in this section comes into force and, for the duration of the disaster, supersedes any current management structures.

The ICT DMT should nominate a DR Team Leader. The DMT operates from the Command Centre or via conference calls.

3.1.1. ICT Disaster Management Team Responsibilities

The ICT Disaster Management Team is responsible for the following:

- Making decisions about restoring the computer processing environment in order to provide the identified level of operational service to users.
- Managing all the ICT recovery teams and liaising with Thurrock Council's management, Serco public sector regional management, Serco Global Technology Division (GTD), blue light services and users, as appropriate.
- Maintaining audit and security control during the recovery from disaster.
- Identifying, controlling and recording emergency costs and expenditure.
- Evaluating the extent of the problem and potential ICT consequences.
- Notifying Council Stakeholders of the recovery progress and problems.
- Initiating ICT disaster recovery procedures.
- Liaising with 3rd party suppliers to co-ordinate service restoration
- Coordinating recovery operations.
- Monitoring recovery operations and ensuring that the schedule is met.
- Documenting recovery operations.
- Liaising with business management.
- Monitoring computer security standards.
- Ensuring that appropriate arrangements are made to restore the site and return to the status quo within the time limits allowed for emergency mode processing.
- Ensuring change management processes are followed
- Provide updates to the wider Serco service Disaster recovery operations
- Declaring that the ICT Service Disaster Recovery Plan is no longer in effect when computer processing is restored at the primary site.
- Provide ICT staff with information on where they need to report to.

3.2. Service Delivery Team

The Service Delivery Team is responsible for the computer environment (not the "fabric" - which includes the building, power provision, HVAC, security, fire detection/suppression, etc in the computer room and other Comms rooms) and for performing tasks within those environments. The Service Delivery Team consists of members of the SandI , CandI , 3rd party suppliers, Service desk and 2nd Line support teams.

This team is responsible for restoring the Council's ICT services and for performing the activities required to achieve this.

3.2.1.   Service Delivery Team Responsibilities

The Service Delivery Team is responsible for the following:

- Ensuring that the standby equipment meets the recovery schedules.
- Installing the computer hardware and operating systems at the standby facility.
- Setup of a standby Service Desk facility
- Obtaining all appropriate historical/current data from the offsite storage location and restoring up to date:
    - Infrastructure services
    - Application systems
    - Shared data volumes
- Providing the appropriate management and staffing of the standby Data Centre and Service Desk to meet the defined level of business requirements.
- Performing backup/recovery activities at the standby site.
- Providing ongoing technical support at the standby facility.
- Working with the SandI Team to restore local and wide area data communications services to meet the minimum processing requirements.
- Initiating operations at the standby facility.
- Re-establishing the Service Desk and Media Control/Tape Library functions at the standby facilities.
- Establishing interim processing schedules and inform user contacts
- Arranging for acquisition and/or availability of necessary computer supplies

- Ensuring that all documentation for standards, operations, vital records maintenance, application programs etc. are stored in a secure/safe environment and reassembled at the standby facilities, as appropriate.
- Arranging new local and wide area data communications facilities and a communications network, which links the standby facility to the critical users
- Installing a voice network to enable identified critical telephone users to link to the public network.
- Evaluate the extent of damage to the voice and data network and discuss alternate communications arrangements with telecoms service providers.
- Establish the network at the standby facilities in order to bring up the required operations.
- Define the priorities for restoring the network in the user areas.
- Order the voice/data communications and equipment as required.

- Supervise the line and equipment installation for the new network.
- Providing necessary network documentation.
- Providing ongoing support of the networks at the standby facility.
- Re establish the networks at the primary site when the post disaster restoration is complete.
- Ensuring the necessary security is put in place around the Data standby data centre
- Ensure that the environment changes go through the appropriate change management control.
- Provide regular updates to the DMT so they can update the client.
- Liaise and co-ordinate 3rd party providers to restore their services
- Put in place the necessary server infrastructure to enable the applications team to carry out application testing/restoration.
- Liaise and keep updated other parts of Serco who rely on services provided by ICT

3.3. Application Support CandI Team

The Application Support CandI Team are responsible for planning for and assisting with the restoration of all applications in accordance with pre-defined RTO targets.

3.3.1. Application Support CandI Team Responsibilities

The Application Support CandI Team is responsible for the following

- Support restoration of all ICT Supported critical applications needed to satisfy the critical services recovery schedule.
- Assist in the application restoration, working with the Service Delivery Team
- Liaise with 3rd party application suppliers
- Ensuring that all documentation for standards, application programs etc. are stored in a secure/safe environment and reassembled at the standby facilities, as appropriate.
- Validate that all batch processes have been successfully restored
- Provide application testing where appropriate

3.4. Council / Facilities (Non-ICT)

The Council is responsible for providing a fit for purpose environment to house ICT equipment and services. This facility must be capable of meeting the Space, Power, Air-conditioning, Security requirements, and connectivity requirements for a Standby Data Centre.

The Council will inform their staff of the processes they need to follow in the event of a Disaster Recovery situation being invoked.

The Council is responsible for all communications to their staff.

The Council will provide access to staff as required to assist with testing.

ICT will provide a small number of desktop and thin client devices into the area provided by the Council.

4. What to Do in the Event of a Disaster

The most critical and complex part of the management of resources is in the planning and organisation of the required personnel during the invocation of the plan.

Personnel must be well-rehearsed, familiar with the ICT Service Disaster Recovery Plan and be sure of their assignments.

4.1. Standard Emergency Procedures

The first priority in a disaster situation is to ensure safe evacuation of all personnel.

In the event of a major physical disruption, standard emergency procedures must be followed. This means immediately:

- Activating the standard alarm procedures for that section of the building to ensure that Medical, Security and Safety departments and emergency authorities are correctly alerted.
- If necessary, evacuating the premises following the laid down evacuation procedures and assemble outside at the designated location, if it is safe to do so.

4.2. The First Steps for the Recovery Teams

- The Council and ICT Disaster Management Teams assess the nature and extent of the problem.
- If it is safe to do so, the Service Delivery team performs an orderly shutdown of the Data Centre.
- The ICT Recovery Team is contacted and put on alert.

4.3. The Next Steps

The ICT Disaster Management Team decides whether to activate the ICT Service Disaster Recovery Plan, and which recovery scenario will be followed. Where there is no access to the Civic Offices this meeting may be held via a conference bridge.

The ICT Recovery teams then follow the defined recovery activities and act within the responsibilities of each team, as defined in this ICT Service Disaster Recovery Plan.

5. Recovery Scenarios

This section describes the various recovery scenarios that can be implemented, depending on the nature of the disaster and the extent of the damage. The ICT Disaster Management Team Leader decides which recovery scenario to implement when they activate the ICT Service Disaster Recovery Plan.

5.1. Civic Offices (data centre or building)

In this scenario, the entire Data Centre environment is out of action. Communication lines and the network, to and from the building, are out of action.

The goal of the recovery process in this scenario is to move all identified services and applications to the Standby Facility.

This scenario requires a full recovery procedure, as documented in this ICT Service Disaster Recovery Plan.

5.2. Derby Road Bridge - Grays

In this scenario, the majority of Corporate Voice and Data network is out of actionwith no external power so the backup generators need to be activated

The goal of the recovery process in this scenario is to:-

- Recover external telephony numbers
- Recover WAN access to Civic Offices

Evaluation of the disaster recovery timescales will determine the need to migrate services to the Standby Facility.

5.3. Tasmania House - Tilbury

In this scenario the Broadband network E2BN connectivity will be out of action, along with the CCTV concierge facility

The goal of the recovery process in this scenario is to:-

- Reconfigure the Broadband routing to cater for the loss of the Tasmania House node
- Reconfigure the Broadband routing to route Internet traffic via the Corporate internet pipe via Civic Offices
- Assist with the network requirements if the Concierge nominate a standby CCTV facility
- Establish a plan for re-connecting the Broadband network to E2BN (inc filtering etc)

5.4. ICT Resources

In this scenario, the existing Pandemic BCP would be activated. These will be attached as part of the BCP pack.

6.Recovery Activities

This section contains a list of tasks for each of the recovery teams. Sensible judgment must be exercised to determine what activities are appropriate based on the nature and extent of the disruption. These timings are indicative and will vary depending on the exact disaster recovery scenario that needs to be addressed. In the event of a total loss of Civic Offices timescales will be significantly extended whilst a suitable Disaster Recovery site is sourced and capability established.

6.1. ICT Disaster Management Team Tasks

6.1.1. Immediate

- Assign a team leader
- Receive an initial assessment of the nature and extent of the problem.
- Agree with the Council whether to activate the disaster recovery plan.
- Alert all disaster recovery team leaders.
- Alert and mobilise all other team members.
- Setup a resource rota to ensure resources are utilised efficiently for 24hr working, if required.
- Make a preliminary (verbal) report to senior Council and Serco management.
- Call an initial meeting of the disaster recovery team leaders with the following objectives:
    - To define the problem, the extent of the ICT disruption, its consequences and the probable implications for the foreseeable future.
    - To set up a specified location as a Control Centre.
    - To agree each team's objectives for the next three hours.
    - To set up a second meeting for three hours later.
    - To open up a bridge line if required
- Make a second, more detailed, report to senior management on the content of the meeting and the actions being taken.

6.1.2. Within Three Hours

- Call a second meeting of the disaster recovery team leaders with the following objectives:
    - To receive initial reports from the recovery team leaders.
    - To take the decision to implement disaster recovery procedures.
    - To agree each team's objectives for the next twenty four hours.
    - To set up a third meeting for twenty four hours later.
    - Contact the supplier of the standby facilities to invoke the installation as per contract.
    - Contact 3rd party suppliers and inform them of the situation and arrange for the to assist as appropriate and source equipment

6.1.3. Within Twenty Four Hours

- Agree installation schedule with the supplier of the standby facility.
- Prepare plans for the transition to the standby facility.
- Make official declarations (for example, place of work change to any regulatory authorities).
- Report progress to senior management.

6.1.4. Ongoing

- Act as the main point of contact with the Council Disaster Management Team
- Monitor on a regular basis all activities to exercise and maintain control over delivery and installation dates.
- Document progress against agreed schedules
- Act as the main point of contact for the wider Serco Disaster Recovery team

6.2. Service Delivery Team Tasks

6.2.1. Immediate

- Attend the initial meeting called for recovery team leaders.
- Alert and mobilise all other team members.
- Inform non-core staff of what they need to do

6.2.2. Within Three Hours

- Contact all Service Delivery and Application Support team staff.
- Inform all ICT staff of the problemand the actions being taken and their role
- Contact suppliers of:
    1. Hardware
    2. Communications equipment
    3. Ancillary equipment.
- Inform them of the arrangements for moving to the standby facilities.
- Order new equipment and arrange to have it installed in the standby facility.
- Report back at the second meeting of recovery team leaders.
- Contact Iron Mountain and organize the delivery of the required backup tapes
- Agree with the Council a stand down of all contractual SLA and KPI's

6.2.3. Within Twenty Four Hours

- Accept hand over of standby site from the Facilities Team.
- Brief all operations staff required to travel to the interim site(s).
- In conjunction with the Service Delivery Network team, manage the procurement, delivery and installation of new/replacement hardware, communications and ancillary equipment.
- Inform all business contacts of the nature and extent of the problem, telling them that they will be kept informed of the plans to recover.
- In conjunction with the Service Delivery Networks Team, initialise and test the systems:
    - hardware

<blockquote>

- o operating systems
- o communications network

</blockquote>

6.2.4. Ongoing

- Call all business contacts on a regular basis, advising them of the disruption and the actions being taken. Initiate 'interim' back up procedures for priority systems (this may involve manual procedures) In the light of the disruption, review all production schedules in terms of jobs to be run, timings, priorities and dependencies. Prepare production schedules in readiness for start up at the standby site. Take security copies of all files and programs.
- Transfer security copies to off site storage location.
- Start processing in accordance with prepared production schedules.
- Discontinue work at any interim site(s).
- Keep a log of all changes that are required to bring services back online.
- Liaise with 3rd party suppliers

6.3. Application Support SandI Team Tasks

6.3.1. Immediate

- Alert and mobilise all other team members.
- Attend the initial meeting called for disaster recovery team leaders.

6.3.2. Within Three Hours

- Contact relevant staff with a networks responsibility; inform them of the problem and the actions being taken.
- Ensure that all staff understands their roles.
- Inform networks staff of any temporary instructions.
- Help to compile an inventory of surviving communications equipment (voice/data) and that might be acquired.
- Ensure that all relevant documentation is at hand or retrieved from the off-site storage facility, for the reinstatement of the network.
- Liaise with the other parts of the Service Delivery Team as to the status of communications equipment and assist with acquiring replacement equipment if required.
- Ensure that all documentation/ information is available for the Service Delivery teams in order to connect the voice, local and wide area network to the standby facility.
- Liaise with the Standby Facility (if 3rd party) and telecom service providers to monitor progress of communications reinstatement.
- Report back at the second meeting of disaster recovery team leaders.

6.3.3. Within Twenty Four Hours

- Define the priorities for restoring the network on a gradual basis in order to provide a minimum initial communications requirement for normal operations.

- Liaise with suppliers of communications equipment to ensure prompt delivery, if required.
- In conjunction with the rest of the Service Delivery Team, ensure that the reinstated communications network is operable and tested.
- Provide ongoing support for the communications network and carry out any re configuration of the reinstated network that may be necessary.
- Attend the third meeting of the disaster recovery team leaders and report the restoration status.

6.3.4. Ongoing

- In conjunction with the rest of the Service Delivery Team, monitor the network's performance.
- Monitor, manage users' requests in the light of the restricted network.
- Prepare an inventory of all communications equipment requiring replacement in order for the original computer processing environment to be re utilised.
- Order replacement equipment as required.

6.4. Application Support CandI Team Tasks

6.4.1. Immediate

- Alert and mobilize all other team members.
- Attend the initial meeting called for recovery team leaders.

6.4.2. Within Three Hours

- Contact relevant staff with an applications responsibility; inform them of the problem and the actions being taken.
- Ensure staff are informed and understand their roles.
- Inform staff of any temporary instructions.
- Ensure that all relevant documentation is at hand or retrieved from the off-site storage facility, for the reinstatement of the critical apps.
- Liaise with the rest of the Service Delivery Team as to the status of the application recovery and contact the suppliers where required
- Report back at the second meeting of recovery team leaders.
- Liaise with 3rd party suppliers

6.4.3. Within Twenty Four Hours

- Define or follow pre-agreed priorities. The priorities for restoring the applications on a gradual basis in order to meet the critical services recovery schedule.
- Liaise with suppliers to ensure prompt issue resolution, if required.
- In conjunction with the rest of the Service Delivery Team, ensure where feasible that the reinstated applications are operable and tested.
- Provide ongoing support for the applications and carry out any maintenance of the reinstated apps that may be necessary.

- Attend the third meeting of the disaster recovery team leaders and report the restoration status.

6.4.4. Ongoing

- In conjunction with the rest of the Service Delivery Team, monitor the applications performance.
- Monitor and deal with users' requests in the light of the restricted services.
- Continue to liaise with 3rd party suppliers until services are restored.

6.5. Facilities Team Tasks (ICT related)

6.5.1. Immediate

- Provide an initial damage report to the Disaster Management Team Leader.
- Attend the initial meeting called for recovery team leaders.

6.5.2. Within Three Hours

- Provide the required space and facilities at the Command Centre.
- Provide the required space and facilities for the standby Data Centre
- Work with ICT and 3rd Parties, to install emergency comms.

7. The Command Centre

This section describes the Command Centre, from where the ICT Disaster Management Team will direct disaster recovery operations.

7.1. Primary Command Centre

If the Thurrock Council premises at Civic Offices are intact following the disaster, the ICT command centre will be located in the ICT area on the 3rd floor of CO2

7.2. Alternative Command Centre

If an alternative command centre is necessary, the command centre will be created by the Council in a venue to be defined.

7.3. Command Centre Requirements

Item:	To be supplied by team:
Data link to ICT Recovery Centre	Application Support Team
Network Switch / Firewall	Application Support Team
PC Workstations & Printer	Service Delivery Team
Telephones	Service Delivery Team
Power Backup – Generator / UPS	Facilities
Fax and Printer (MFD)	Service Delivery Team
6 Desks	Facilities

8.The Standby Facility

This section provides a general introduction to the standby facility which the Thurrock Council can utilise for a Data Centre following a disaster.

8.1. Location of the Standby Facility

The address of the Standby Facility is to be confirmed by the Council:

8.2. Standby Alert Confirmation Sheet (only for a 3rd party agreement)

The following form is used to confirm the invocation of the Standby Facilities. It must be completed by the ICT Disaster Management Team Leader and communicated to the Standby Facility Vendor.

*This section will be completed when a 3rd Party supplier is appointed

Company Name:	
Address:	
Telephone Number:	
Disaster Alert Agreement Number:	
Designated Site:	
Nature of Disaster:	
Estimated Duration of Usage of the Standby Facility:	
Date Usage to Start:	
Name:	
Signature:	
Date:	

8.3. Standby Data Centre requirements

This section provides detailed information on preparing the facility.

This information includes the following:

- 10MB Internet service - If Tasmania house is still functioning partial connectivity will be available via E2bN.
- 2 x Full height racks with 16amp commando
- Hardware see sun guard sheet \\Thurdata01\data\ICT\09-PROJECTS\02-ICT_Projects\IPR0206 - ICT IT Service Disaster Recovery Plan\Supporting documentation\Sungard\DR Questionnaire Phase1+2.xls
- 2 x Small Air Con unit.
- 2 x 24port 2960 switches.
- 20 x desks with power.

The Service Delivery team will require access to a build area suitable for building and storing up to 25 PC's

9.The Data Storage Location(s)

This section describes the location(s) of the vault facilities where secure copies of data backups and other vital information are stored.

9.1. Backup Media

Location and address:	Iron Mountain
Contact person:	Terri Baglee – Account ID 0809
Contact phone number:	08445608020 - 07989533041
Reference:	"

9.2. DSL (definitive software library)

This specifies the location of all software that might be required for Disaster Recovery. These include applications and infrastructure (OS, AV, etc).

Location and address:	\\thurfiler01\dsl
Contact person:	Gareth Moss
Contact phone number:	See Contact List
Reference:	

10. Critical Business Services

This section describes the requirements for Thurrock Council's critical business services in the Standby Facility. Phase 1 & 2 services are deemed by the Council to be the essential services, fulfilling their statutory obligations. (For the full list see appendix A).

It should be noted that the RTO targets are not achievable with the current DR capability. A standby Data Centre is required, with pre-existing network and equipment contracts in place in order to meet the timings below. Without this facility timings will be significantly extended.

Critical Services – Phase 1 & 2

Phase	Area	Service	RTO
1	Infrastructure	Data room, power, air con, racks, security	Immediate
		ICT battleboxes	Immediate
		Servers, SAN, media backup drives	Immediate
		LAN, switches, routers	Immediate
		WAN corporate	Immediate
		WAN broadband (inc CCTV)	Immediate
		Internet access	Immediate
		PBX	Immediate
		User pc's	Immediate
		Backup media	Immediate
		Workshop + 20 pcs	Immediate
2	ICT Service Disaster Recovery plans	J: drive (BC & DR recovery documents)	12 hrs
		Outlook – essential users (not hist data)	12 hrs
2	Vulnerable people:	Careline – Council Responsibility	12hrs
		Home care CM2000 … requires internet – Council Responsibility	12hrs
		ICS/IAS	7 days
		Saffron	7 days
	Deaths	Registrars	7 days
2	Financial	Bottomline	3 days
		Benefits payments SX3	3 days
		Cheque printing	3 days
		Oracle HR	1 week
		Oracle A/P	3 days
		PARIS	3 days
2	CCTV	Control centre	12hrs
	Streetlights	Mayrise	3 days
2	Public comms	Oracle CRM	3 days
		Express	3 days
		Website – Council Responsibility	3 days
2	ICT	ICT help desk - Phone contact	1 day
		ICT help desk – BMC Service Core	3 days
		Leapfile	7 days
		Workspace x 100 staff	7 days

11. Directories

This section of the plan contains a series of directories. These directories contain the type of information which is most likely to change   such as names, addresses, telephone numbers etc. It is important to keep these directories up to date.

11.1. Recovery Team Members

The staffing of these Recovery Teams is listed in this section. The team leader is the first name in the list, in the shaded box.

11.1.1.   Disaster Management Team: Members and Contacts

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11.1.2.   Service Delivery Team Members and Contacts

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11.1.3.   Service Delivery Networks Team: Members and Contacts

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11.1.4.   Application Support CandI Team: Members and Contacts

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11.1.5.   Council and Facilities Contacts

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11.2. User Groups and Application Support

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*See Appendix A for the full Thurrock Service Listing

11.3. Vendor and Supplier Contacts

This section lists all the key vendors and suppliers who need to be contacted following a disaster.

Requirement	Contact/ Company	Phone /Fax (working hours)	Phone outside working hours	Contract no. if any
Standby Data Centre supplier	*tbc*			
Hardware – Server related	PDQ	01277 633533		
Hardware – Desktop related	XMA/HP			
Hardware – Network	Voyager / Cisilion	01344 420420		1907
	Cisilion	01372 201115		
Data communications	BT	0800 032 0025		
	Virgin / Telewest	01442 301184	07980 930990	627090701
	Cable & Wireless	01198216100		
	Networks by Wireless	0870 7077870		
	DUCL			
	Updata			
Voice communications	BT	0808 100 7499		

	Virgin / Telewest	0808 202 5436		
Cabling	Martin Allen	01255 431531	07918 889498	
	Extel	01375 395800	077970 434873	
Software	Bytes (Microsoft)	02087 861691	07943841867	
	B2 Net (VMware)	08442 488020		
Magnetic Media	Iron Mountain	08445 608020 / 07989 533041	08445 608020 / 07989 533041	Acc ID 0809

12. Inventories

This section contains inventories of all computer hardware, software and other equipment.

12.1. Computer Hardware

12.1.1. Servers

See ..\Supporting documentation\Sungard\DR Questionnaire Phase1+2.xls

12.1.2. Network

See ..\Supporting documentation\Sungard\DR Questionnaire Phase1+2.xls

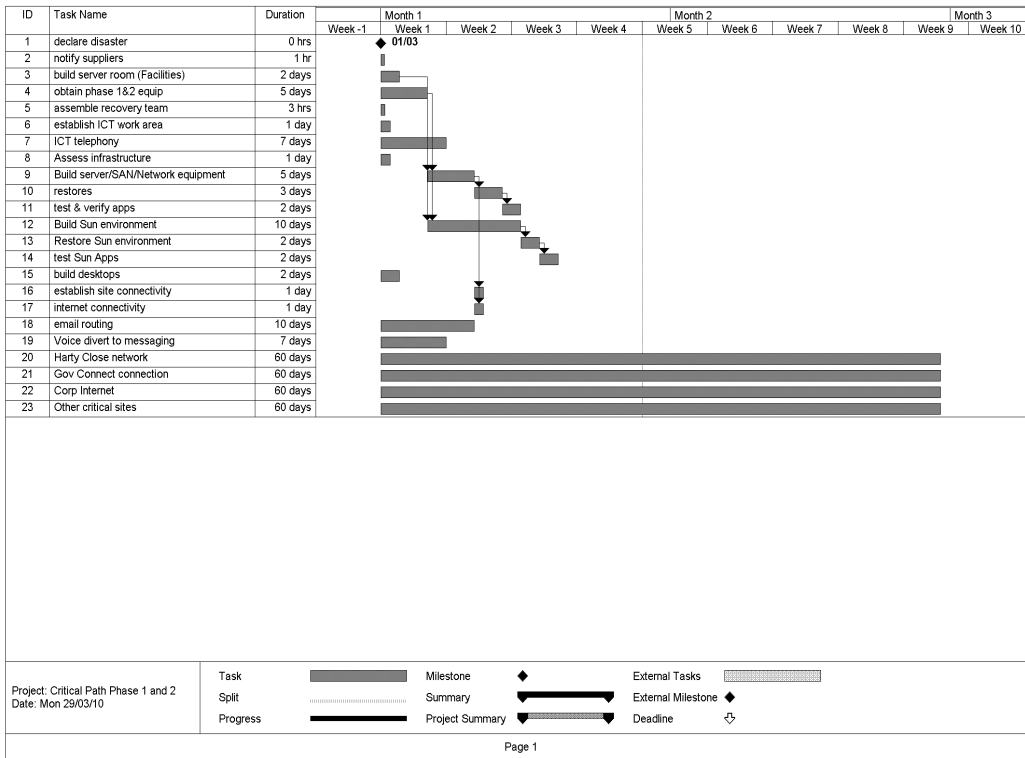### 12.1.3. Desktops/Laptops

Any equipment needed will be provided by a third party or users having a laptop

12.1.4. Peripherals

In the event of a disaster an MFD device will be provided at the recovery location

13. Recovery Critical Path Plan

This section details the current Disaster Recovery schedule and dependencies.

ID	Task Name	Duration	Month 1				Month 2				Month 3	
			Week -1	Week 1	Week 2	Week 3	Week 4	Week 5	Week 6	Week 7	Week 8	Week 9	Week 10
1	declare disaster	0 hrs		01/03								
2	notify suppliers	1 hr										
3	build server room (Facilities)	2 days										
4	obtain phase 1&2 equip	5 days										
5	assemble recovery team	3 hrs										
6	establish ICT work area	1 day										
7	ICT telephony	7 days										
8	Assess infrastructure	1 day										
9	Build server/SAN/Network equipment	5 days										
10	restores	3 days										
11	test & verify apps	2 days										
12	Build Sun environment	10 days										
13	Restore Sun environment	2 days										
14	test Sun Apps	2 days										
15	build desktops	2 days										
16	establish site connectivity	1 day										
17	internet connectivity	1 day										
18	email routing	10 days										
19	Voice divert to messaging	7 days										
20	Harty Close network	60 days										
21	Gov Connect connection	60 days										
22	Corp Internet	60 days										
23	Other critical sites	60 days										

Project: Critical Path Phase 1 and 2 Date: Mon 29/03/10	Task		Milestone	◆	External Tasks	
	Split		Summary		External Milestone	◆
	Progress		Project Summary		Deadline	⇧

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This plan is assumption that an alternative facility is available immediately. In the event that equipment needs to be procured the timings could be delayed by up to 2 weeks.

14. Service Recovery Procedure list

This section lists the Recovery procedures for each Service. It also acts as a checklist

Service	Document	Owner
Data Centre - power, air con, racks, security	See section 8.3	Andy Best
ICT battleboxes		
Servers, SAN, media backup drives	Virtual Server DR Plan.doc Physical Server DR Plan.doc	Joe Gregory
LAN, switches, routers	Network Disaster Recovery.doc	Ray Caine
WAN corporate	Network Disaster Recovery.doc	Ray Caine
WAN broadband (inc CCTV)	Network Disaster Recovery.doc	Ray Caine
Internet access	Network Disaster Recovery.doc	Ray Caine
PBX	..\Supporting documentation\Telephony\DR Civic Offices.doc ..\Supporting documentation\Telephony\DR Concierge Tilbury.doc	Bob Carr
User pc's		Andy Best
Backup media	Iron Mountain - Request Media Delivery via SecureSync.doc	Joe Gregory
Workshop + 20 pcs		Andy Best
J: drive (BC & DR recovery documents)	Virtual Server DR Plan.doc	Joe Gregory
Outlook	Bare-Bones Exchange Server DR Plan.doc	Joe Gregory
Careline		Council
Home care CM2000 … requires internet	DRP - Applications - CM2000.doc	Gerry Waterfield
ICS/IAS	DRP - Applications - ICS_IAS.doc	Gerry Waterfield
Saffron	DRP - Applications - Saffron.doc	Gerry Waterfield
Registrars	DRP - Applications - Registrars.doc	Gerry Waterfield

Albacs	[DRP - Applications - ALBACS.doc](#)	Gerry Waterfield
Benefits payments SX3	[DRP - Applications - Benefits Payments Sx3.doc](#)	Gerry Waterfield
Cheque printing	[DRP - Applications - Cheque Printing.doc](#)	Gerry Waterfield
Delphi - Payroll	[hrdelphidisas.doc](#)	Gerry Waterfield
Oracle A/P	[DRP - Applications - Oracle Financials & CRM.doc](#)	Gerry Waterfield
PARIS	[\DRP - Applications - PARIS.doc](#)	Gerry Waterfield
Control centre		Gerry Waterfield
Mayrise	[DRP - Applications - Mayrise.doc](#)	Gerry Waterfield
Oracle CRM	See Oracle A/P Above	Gerry Waterfield
Express	[DRP - Applications - Express.doc](#)	Gerry Waterfield
Website - Intranet	Physical Server DR Plan.doc	Gerry Waterfield
Website External	Externally Hosted	
ICT help desk - Phone contact		Andy Best
ICT help desk – BMC Service Core	DRP – Applications – Footprints.doc	Andy Best
Leapfile		
Workspace x 100 staff & PCs		Council

Appendix A

Phase	Area		RTO	Who	Comment
1	Infrastructure	Data room, power, air con, racks, security	Immediate	facilities	Temporary or permanent facility? Need to source
		ICT battleboxes	Immediate	ICT	Recover
		Servers, SAN, media backup drives	Immediate	suppliers + TS	Need to source - phase
		LAN, switches, routers	Immediate	suppliers + TS	Need to source - phase
		WAN corporate	Immediate	suppliers + TS	Need to source
		WAN broadband (inc CCTV)	Immediate	suppliers + TS	Need to source
		Internet access	Immediate	suppliers + TS	Need to source
		PBX	Immediate	suppliers + TS	Need to source, Need to redirect at exchange
		User pc's	Immediate	suppliers + SD	Need to source (25 in Culver) - phase
		Backup media	Immediate	supplier	Recover from offsite storage - phase
		Workshop + 20 pcs	Immediate	facilities	Need to source
2	ICT Service Disaster Recovery plans	J: drive (BC & DR recovery documents)	12 hrs	TS	critical biz continuity docs only ICT DR plans … store on remote laptops for quick recovery
		Outlook	12 hrs	TS	Not normal operating accounts
2	Vulnerable people:	Careline	12hrs	suppliers + business	elderly people management, externally supplied
		Home care CM2000 … requires internet	12hrs	supplier + AS	elderly people management
		ICS/IAS	7 days	supplier + AS	Vulnerable people DBs: ICS/IAS
		Saffron (+ Jacada)	7 days	supplier + AS	to re-home people in vacant properties
	Deaths	Registrars	7 days	TS + SD	Internet connectivity
2	Financial	Albacs	3 days	supplier + AS	Suppliers will still need paying

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		Benefits payments SX3	3 days	supplier + AS	
		Cheque printing	3 days	supplier + AS	Suppliers will still need paying
		Oracle– Payroll	1 week	supplier + AS	staff will still need paying
		Oracle A/P	3 days	NW + AS	
		PARIS	3 days	supplier + AS	to take payments
2	CCTV	Control centre	12hrs	suppliers + TS	
	Streetlights	Mayrise	3 days		
2	Public comms	Oracle CRM	3 days	NW + AS	
		Xpress	3 days	supplier + AS	in election years
		Website	3 days	suppliers + business	externally supplied
2	ICT	ICT help desk - Phone contact	1 day	SD	
		ICT help desk - Touchpaper	3 days	TS + SD	
		Leapfile	7 days	TS + SD	
		Workspace x 100 staff	7 days	SD	Need to source - PCs, handsets, printers & build
					Follow facilities with desks or remote working
3	Applications	Business Objects	14 days	supplier + AS	Universe sequence
		ControCC	14 days	supplier + AS	
		Oracle - HR	14 days	supplier + AS	
		FMS	14 days	supplier + AS	
		Full - Outlook	14 days	TS	
		ICPS	14 days	supplier + AS	
		Igneous	14 days		
		Information@Work	14 days	supplier + AS	
		Oracle A/R and G/L	14 days	supplier + AS	
		TRACE	14 days	AS	
		Uniform	14 days	supplier + AS	
	ICT	Web serving	14 days	TS	

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		Workspace x 100 staff	14 days	SD	Need to source - PCs, handsets, printers & build Follow facilities with desks or remote working
4	Applications	Apex	21 days	supplier + AS	
		ESRI	21 days	supplier + AS	
		GIS	21 days	supplier + AS	
		Igneous	21 days	supplier + AS	
		J: drive	21 days	TS	
		Objective EDRMS	21 days	supplier + AS	
		SIMS	21 days	supplier + AS	
		Symology	21 days	supplier + AS	
		Tribal suite	21 days	supplier + AS	
	ICT	Workspace x 100 staff	21 days	SD	Need to source - PCs, handsets, printers & build Follow facilities with desks or remote working
5	Applications	Avco Anycomms	28 days	supplier + AS	
		CMIS	28 days	supplier + AS	
		Databox	28 days	supplier + AS	
		Debtco	28 days	supplier + AS	
		Eforms	28 days	supplier + AS	
		Express	3 days	supplier + AS	Non-election years
		Transform	28 days	TS	
		H: drive	28 days	TS	
		InPhase	28 days	supplier + AS	
		ITTD	28 days	supplier + AS	
		Netloan	28 days	supplier + AS	
		Planning portal	28 days	supplier + AS	
		Softsmart	28 days	supplier + AS	

	Statement tracking & Welfare	28 days	Essex + AS	
	Total Land Charges	28 days	supplier + AS	
	Vubis	28 days	Essex + AS	
	Warrior	28 days	supplier + AS	
	Y: drive	28 days	TS	
	YOIS	28 days	supplier + AS	
ICT	Workspace x 100 staff	28 days	SD	Need to source - PCs, handsets, printers & build Follow facilities with desks or remote working
Unsupported applications	Acrass		User	
	Asset register		User	
	AURN		User	
	CASPA		User	
	CBL		User - Ext service	
	COLLECT		User	
	ContactPoint		User - Ext service	
	Coop financial director		User	
	Datamap		User	
	Dreamweaver MX		User	
	EPAS		User	
	eRoom		User - Ext service	
	FFT		User	
	FIS Module		User	
	Galaxy		User	
	Ichis		User	
	ID PRO		User	
	IFD RPMS		User	
	Insight		User	
	Insight enterprise		User	
	IPFasset manager		User	
	Key to Success		User	

Keypas	User
LAIT	User
LARA	User
Logotech	User
NAPTAN 2	User
NCCIS	User
Netmedia suite	User - Ext service
Novalet	User
Ofsted profile	User
OnPoint	User
PDA	User
Performance plus	User
Registrars	User - Ext service
Respond	User
Riase online	User - Ext service
RON	User
RSS	User
SAT admin	User
School Transport Manager	User
School-to-School	User - Ext service
SPOCC	User
SR3	User
Supporting people	User
System K	User
Target tracker	User
TellUs	User
The Hub	User
TOPIC	User
TransoniQ	User
VIP	User

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4 February 2015	ITEM: 6
Standard and Audit Committee	
Bridge Maintenance Inspections	

Wards and communities affected:	**Key Decision:**
All	Non Key

Report of: Councillor Oliver Gerrish, Portfolio Holder Highways and Transportation

Accountable Head of Service: Ann Osola, Head of Transportation and Highways

Accountable Director: David Bull, Director of Planning and Transportation

This report is Public.

This report is To provide an overview of the Audit Report (Oct 2014) carried out on Bridges Maintenance Inspections.

Executive Summary

This report sets out the findings from an Audit of the Bridge Maintenance Inspections undertaken as part of the approved internal audit periodic plan. The report identifies deficiencies in the inspection and maintenance regime in place to ensure the safety, integrity and adequacy of structures within the highway for use by the public.

The Council has complied with its duties to undertake the two year General Inspections, however, the (six to twelve year) Principal Inspections/Assessments have not been undertaken due to insufficient funding for bridges.

The two year General Inspections enable a regular review of the state of the bridge condition and which provides a safety review and the Principal Inspections are a more detailed inspection where more inaccessible areas are inspected and smaller or less visible defects (which could cause future problems) can be found and plans prepared to repair them before they develop.

The report includes an action plan which details the recommended control measures and improved risk management to be put in place for the Council to meet its statutory duties.

A recovery programme is recommended to meet the objectives outlined in the report. This programme will require increased investment in the bridge maintenance inspection regime.

1. Recommendation(s)

1.1 To note the contents of the report.

2. Introduction and Background

2.1 Thurrock Council as the highway authority has statutory duties to maintain the public highway and associated structures in a state that is safe and fit for use. These duties are mainly contained in the Highways Act 1980. For bridges the national code of practice is the Management of Highway Structures and the Department for Transport's BD 63/ 07 supplemented by Interim Advice Note (IAN) 171/12 which sets out risk based inspection intervals.

2.2 There are 115 bridges and other structures in Thurrock. Each should have a General Inspection every two years and a detailed Principal Inspection every six years (subject to a risk assessment) to identify any major defects and to provide data for preparation of major bridge maintenance programmes. In addition bridge assessments are undertaken every twelve years (or in conjunction with Principal Inspections) to determine the live load capacity of structures which informs the need to strengthen or place weight restrictions on bridges.

2.3 An audit of bridge maintenance was carried out as part of the approved internal audit periodic plan for 2013/14. The Final Report was issued in October 2014.

2.4 The audit was designed to assess the controls in place to manage the following objective and risks.

- Objective - There is adequate inspection and maintenance regime in place which ensures the safety, integrity and adequacy of structures within the highway for use by the public
- Risk - Highway bridges may not be subject to periodic inspection to determine their condition and to record defects.
- Risk - There may not be an approved programme of works in place and preventative maintenance works may not be carried out in a timely manner which could result in an increased whole-life cost of the structure.
- Risk - Performance Indicators may not have been developed or monitored.

2.5 The audit produced the conclusion that:

Taking account of the issues identified, the Council cannot take assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied or effective. Action needs to be taken to ensure this risk is managed.

2.6   The audit produced an action plan to improve the bridge inspection management.

Improvements in Bridge Maintenance - Implementation of recommendations.

2.7   The bridge service is a part of the Highways Service. The Department for Transport (DfT) funded Highways Maintenance Efficiency Programme (HMEP) carried out a Strategic Review of Thurrock Highways using a team from the Local Government Association.

2.8   The scope of their work covered all aspects including strategic vision, management processes, communication and delivery of the service.

2.9   The review and recommendations of the Strategic Review were presented to the December 17 2014 Cabinet meeting. These recommendations will improve bridge management as they include improved processes across highways including asset management.

2.10   The Audit produced an action plan (below) to implement their recommendations. This includes management comments which have been updated with red text.

2.11   An additional £150,000 has been found from existing budgets for Principal Inspections. Inspection funding in future years will depend on available budgets allocated on a risk and network priority basis.

2.12   A main purpose of the Principal Inspection is to identify defects before they become a problem or more expensive to repair. To gain best value from the inspections, funds will need to be made available to carry out the identified repairs.

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
1.1	As recommended by the Consultants (Pell Frischmann), a recovery programme for principal inspections should be established as soon as possible. This should include a risk assessment to determine the length of time required between inspections. Thereafter, a programme of regular principal inspections should be carried out in line with the risk assessment. This will reduce the likelihood of major defects going undetected and ensure the Council meets its statutory responsibilities.	High	Y	Agreed – a recovery programme is being established and is reflected in current budgets and work programmes. A prioritised list based on the DfT IAN 171/12 has been produced	October 2014	Les Burns
1.2	Once Principal Inspections are carried out, a more accurate BCI should be obtained by utilising the data from both principal and general inspections. This will ensure the Council has accurate information on the condition of its bridge stock.	Medium	Y	BCIs will be refined as more detailed structural information comes forward through principle inspections Currently the BCIs are based on General Inspections. As Principal Inspections are completed then the results will be used.	Ongoing	John Devono
1.3	In line with the Management of Highways Structures Code of Practice (MHSCOP), the Council should review how it stores its data and determine whether Asset Management software should be purchased. This will assist in targeting resources to those structures that are highest priority.	Medium	Y	Thurrock is progressing a phased upgrade to its Highways Asset Management System, based on Symology software. This is ongoing and a part of the HMEP programme.	Ongoing	Les Burns
1.4	The programme of strength assessments to determine whether highway bridges achieve the required	High	Y	This is being programmed into the Recovery Programme Prioritisation. As 1.1 & 1.2 this is	<s>October</s> Ongoing	John Devono

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
	live load capacity should be undertaken as soon as possible. This work could be programmed to coincide with principal inspections and should help to improve the stock and reduce the likelihood of legal or reputational damage.			based on using the Principal Inspection information as it becomes available.		
1.5	Senior management should develop some key performance indicators to show how the service is performing and help identify any areas for improvement. This will help them to target resources more effectively and efficiently.	Medium	Y	This will be undertaken in relation to HAMP best practice and corporate risk management.	October Part of the overall HMEP service improvements	Ann Osola

3. **Issues, Options and Analysis of Options**

3.1 Since the audit the action points are being addressed now as a part of the overall Highways Service HMEP strategic review actions.

3.2 The service agrees and accepts the recommendations of the Audit report and the actions will be implemented.

3.3 The service is putting in place funding of £150,000 in 2013/14 to implement some Principal Inspections/Assessments as part of a recovery programme

3.4 The costs of the Action plan will be found from prioritisation of existing budgets or from the resources provided for the implementation of the HMEP programme which is subject to separate consideration.

3.5 The Council has a statutory duty under section 41 of the Highways Act 1980 to maintain adopted highways to ensure that they are in a safe condition in accordance with agreed standards. Any failure to discharge this duty leaves the Council liable to third party claims for compensation, although there is a defence under section 58 if the Council has a reasonable system of inspection and maintenance. The actions from this Audit will improve the system of inspection and bridge management.

3.6 The proposals in this report if implemented will lead to a safer, more reliable and responsive and service for the benefit of all users.

4. **Reasons for Recommendation**

4.1 This report is for information only there are no recommendations attached.

5. **Consultation (including Overview and Scrutiny, if applicable)**

5.1 Not applicable.

6. **Impact on corporate policies, priorities, performance and community impact**

6.1 This report is consistent with corporate priorities especially "protecting and promoting our clean and green environment".

7. **Implications**

7.1 **Financial**

Implications verified by: **Mark Terry**

Principal Finance Officer

The financial implications are included in the text body of this report.

7.2 **Legal**

Implications verified by: **Alison Stuart**

Principal Solicitor

The Legal Implications are included in the text body of this report.

7.3 **Diversity and Equality**

Implications verified by: **Lynn Gittins**

Senior Administration Officer
Community Development & Equalities

The diversity implications are included in the text body of the report.

7.4 **Other implications** (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

None

8. **Background papers used in preparing the report** (including their location on the Council's website or identification whether any are exempt or protected by copyright):

- Thurrock Cabinet December 2014 Item 18 Highways Efficiency Maintenance Programme, Strategic Review and Recommendations for Improvement
- Management of Highway Structures – Roads Liaison Group
- BD 63/07 & IAN 171/12 _Department for Transport.

9. **Appendices to the report**

- Appendix 1Bridge maintenance Inspections, Internal Audit Report

Report Author:

Les Burns

Chief Highways Engineer

Planning & Transportation

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Thurrock Council

Internal Audit Report 2014-15

FINAL

Bridge Maintenance Inspections

October 2014

Contents

Debrief meeting	21st May 2014	Auditors	Chris Harris - Head of Audit Services
Draft report issued	9th April 2014		Gary Clifford – Manager
Responses received	10th June 2014 26th Aug 2014 (DB)		Dina Lucchesi - Senior Auditor
Final report issued	15th Oct 2014	Client sponsor	Basil Jackson - Interim Head of Transportation & Highways
		Distribution	David Bull - Director of Planning & Transportation
			Ann Osola - Head of Service for Transportation & Highways
			Les Burns – Chief Highways Engineer
			John Devono - Principal Engineer (Capital and Bridges)
			Sean Clark - Head of Corporate Finance
			Draft to DB

1 Executive Summary

1.1 Introduction

An audit of Bridge Maintenance was undertaken as part of the approved internal audit periodic plan for 2013/14.

Highway structures are an integral part of the highways network, creating vital links and in some cases, prominent community and historical features. The majority of highways maintenance is undertaken to meet statutory duties and powers contained in legislation such as "The Highway Act 1980" which places a statutory obligation on authorities to maintain the public highway and associated structures in a state that is safe for use and fit for purpose. The legislation is supported by the Management of Highways Structures Code of Practice (updated 13th August 2013) which provides detailed guidance to assist bridge managers and practitioners in meeting these duties and powers.

There are 113 bridges and other structures in Thurrock. Each should be given a general inspection every 2 years and a detailed principal inspection every six years (subject to a risk assessment process which could increase this up to 12 years) to identify any major defects and provide the data for preparation of major bridge maintenance programmes.

These highway structures have long service lives and generally slow rates of deterioration and these characteristics are conducive to a 'save now, pay later' management approach which is thought to be widespread among local authorities. However, the Government has recognised that this approach neither meets the service requirements nor does it provide long term value for money. To address this issue the Government is advocating and fully supporting an Asset Management approach for highways to ensure that fundamental management information and activities are in place and sustained and that these align with recognised good practices.

The revenue budget of £126K is used for general inspections, reactive maintenance and for consultant fees, with the capital budget of £376K being used for preventative repairs.

The audit was designed to assess the controls in place to manage the following objectives and risks:

Objective	There is adequate inspection and maintenance regime in place which ensures the safety, integrity and adequacy of structures within the highway for use by the public.
Risk	Highway bridges may not be subject to periodic inspection to determine their condition and to record defects. There may not be an approved programme of works in place and preventative maintenance works may not be carried out in a timely manner which could result in an increased whole-life cost of the structure. Performance Indicators may not have been developed or monitored.

1.2 Conclusion
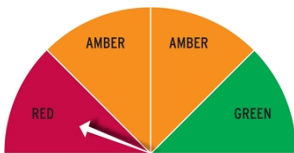
Taking account of the issues identified, the Council cannot take assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied or effective. Action needs to be taken to ensure this risk is managed.

The above conclusions feeding into the overall assurance level are based on the evidence obtained during the review. The key findings from this review are as follows:

Design of control framework

- Asset Management Software had not been implemented to comply with the Asset Management approach being promoted by the Government.

- A programme of strength assessments to determine whether highway bridges achieved the required live load capacity had not been implemented

- Performance Indicators had not been developed, monitored and communicated.

Application of and compliance with control framework

- Principal inspections that help to identify any major defects had not been carried out in line with the Management of Highways Structures Code of Practice (MHSCOP). 90% of structures were overdue an inspection.

- A Bridge Condition Index (BCI) was calculated based only on data from general inspections as very few principal inspections had been carried out

- Some general inspections had been carried out and there was a one year recovery programme in place to bring them in line with the Code of Practice.

1.3   Scope of the review

To evaluate the adequacy of risk management and control within the system and the extent to which controls have been applied, with a view to providing an opinion. Control activities are put in place to ensure that risks to the achievement of the organisation's objectives are managed effectively. When planning the audit, the following controls for review and limitations were agreed:

Limitations to the scope of the audit:

- The scope of this audit will be limited to reviewing processes in place and conclusions are based upon results of sample-testing. Our work does not provide any guarantee against material errors, loss or fraud or provide an absolute assurance that material error, loss or fraud does not exist.

- Our work does not provide an absolute assurance that material errors, loss or fraud do not exist.

The approach taken for this audit was a Risk-Based Audit.

1.4   Recommendations Summary

The following tables highlight the number and categories of recommendations made. The Action Plan at Section 2 details the specific recommendations made as well as agreed management actions to implement them.

Recommendations made during this audit:

Our recommendations address the design and application of the control framework as follows:

	Priority		
	High	**Medium**	**Low**
Design of control framework	1	2	0
Application of control framework	1	1	0
Total	**2**	**3**	**0**

The recommendations address the risks within the scope of the audit as set out below:

	Priority		
Risk	**High**	**Medium**	**Low**
Highway bridges may not be subject to periodic inspection to determine their condition and to record defects.	2	2	0
There may not be an approved programme of works in place and preventative maintenance works may not be carried out in a timely manner which could result in an increased whole-life cost of the structure.	0	0	0
Performance Indicators may not have been developed or monitored.	0	1	0
Total	**2**	**3**	**0**

2   Action Plan

The priority of the recommendations made is as follows:

Priority	Description
High	Recommendations are prioritised to reflect our assessment of risk associated with the control weaknesses.
Medium	
Low	
Suggestion	These are not formal recommendations that impact our overall opinion, but used to highlight a suggestion or idea that management may want to consider.

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
1.1	As recommended by the Consultants (Pell Frischmann), a recovery programme for principal inspections should be established as soon as possible. This should include a risk assessment to determine the length of time required between inspections. Thereafter, a programme of regular principal inspections should be carried out in line with the risk assessment. This will reduce the likelihood of major defects going undetected and ensure the Council meets its statutory responsibilities.	High	Y	Agreed – a recovery programme is being established and is reflected in current budgets and work programmes.	October 2014	Les Burns
1.2	Once Principal Inspections are carried out, a more accurate BCI should be obtained by utilising the data from both principal and general inspections. This will ensure the Council has accurate information on the condition of its bridge stock.	Medium	Y	BCIs will be refined as more detailed structural information comes forward through principle inspections	Ongoing	John Devono

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
1.3	In line with the Management of Highways Structures Code of Practice (MHSCOP), the Council should review how it stores its data and determine whether Asset Management software should be purchased. This will assist in targeting resources to those structures that are highest priority.	Medium	Y	Thurrock is progressing a phased upgrade to its Highways Asset Management System, based on Symology software.	Ongoing	Les Burns
1.4	The programme of strength assessments to determine whether highway bridges achieve the required live load capacity should be undertaken as soon as possible. This work could be programmed to coincide with principal inspections and should help to improve the stock and reduce the likelihood of legal or reputational damage.	High	Y	This is being programmed into the Recovery Programme Prioritisation.	October	John Devono
1.5	Senior management should develop some key performance indicators to show how the service is performing and help identify any areas for improvement. This will help them to target resources more effectively and efficiently.	Medium	Y	This will be undertaken in relation to HMPTE best practice and corporate risk management.	October	Ann Osola

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3   Findings and Recommendations

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all audit testing undertaken.

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
	Risk 1: Highway bridges may not be subject to periodic inspection to determine their condition and to record defects.				
3.1	Up to July 2013, the Council's policy was to undertake a general inspection every three years and a principal inspection on a needs basis. However, following a review of the inspection and assessment regime by Pell Frischmann (the consultants) in July 2013, it was highlighted that, as per current standard and best practice, General inspections must be undertaken at two yearly intervals and principal inspections every six years, although this can be extended if an appropriate risk assessment has been undertaken.	Yes	Due to the change in interval for general inspections from three to two years, it was noted that 51 general inspections, which should have been carried out between April 2012 and November 2013, were not. However, the Principal Engineer (Capital and Bridges) confirmed that there is a one year recovery programme in place.

As a result of the risk assessment carried out by the consultants, 50% of the structures require a principal inspection every 6 years with the other 50% requiring inspections between 8 and 12 years. However, the Master Record indicates that no principal inspections have been carried out since 2004 and 90% of the structures are overdue an inspection. It is understood these have not been carried out due to a lack of funding. This means the Council is not meeting the guidance set out in the Management of Highways Structures Code of Practice (MHSCOP).

Principal inspections help to identify any major defects and provide the Council with data for the preparation of a major bridge maintenance programme. Therefore, there is a risk that the Council may fail to meet its statutory duties and obligations which could result in potential legal action and damage to the Council's reputation should an incident occur. | As recommended by the Consultants (Pell Frischmann), a recovery programme for principal inspections should be established as soon as possible. This should include a risk assessment to determine the length of time required between inspections. Thereafter, a programme of regular principal inspections should be carried out in line with the risk assessment. This will reduce the likelihood of major defects going undetected and ensure the Council meets its statutory responsibilities. | High |

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
3.2	There was evidence that a Bridge Condition Index (BCI) is determined for each individual bridge, based on its condition at the time of the inspection. The BCI system is a nationally developed method, endorsed by the Surveyor's Society with two BCI values calculated for each bridge which are defined as:- • BCI_{av} – this score provides an overview of the average structure condition • BCI_{crit} –this score provides an indication of the criticality of the structure with regards to the load bearing capacity.	Yes	The review highlighted that the BCI_{av} for all bridges and retaining walls is above 76 which places them between fair and very good condition. However, the BCI_{crit} of 24 structures is below 70 which suggested they may be in poor condition in respect of their load bearing capacity. BCI_S are only based on general inspections which are visual inspections of all parts of the structure that can be inspected without the need for special access equipment or traffic management arrangements. However, principal inspections comprise a comprehensive close examination, within a touching distance, of all parts of a structure that are accessible, utilising suitable inspection techniques, equipment and/or traffic management works, as necessary. Therefore, to obtain more reliable information on the structures condition, the BCI should be based on data from both general and principal Inspections as a more detailed inspection enables a more informed decision. There is a risk, therefore, that a larger number of bridges than reported could be below the poor rating of 70.	Once Principal Inspections are carried out, a more accurate BCI should be obtained by utilising the data from both principal and general inspections. This will ensure the Council has accurate information on the condition of its bridge stock.	Medium
3.3	There is a bridge inventory in the form of an excel spreadsheet which gives details of type, structure, dimensions and location for all the highway structures the Authority is responsible for. Other bridge data i.e. current condition, performance, severity and extent of defects, material strength, loading etc. has to be compiled	No	There is no ready availability of condition, running costs and other performance data which would help management in making decisions around bridge maintenance. A more comprehensive database would centralise and assist with the recording and analysis of data related to all asset information e.g. identification, location, condition, performance, accounting, management, risk and photographic evidence etc. This would aid management in making informed decisions around	In line with the Management of Highways Structures Code of Practice (MHSCOP), the Council should review how it stores its data and determine whether Asset Management software should be purchased. This will assist in targeting resources to those	Medium

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	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
	using several other records.		investment. The Government is advocating and fully supporting an Asset Management approach for highways to ensure that fundamental management information and activities are in place and tools/procedures that will improve and streamline management activities are developed.	structures that are highest priority.	
3.4	There is not a bridge assessment and strengthening programme in place to ensure that the Council's bridges are able to carry 40 tonne loads, as now required by EU legislation. Where highway bridges fail to provide current highway loading there is a requirement to carry out strengthening works. The consultant engaged in 2013 carried out a risk based analysis and recommended that 11 structures require an assessment. In addition, a review of structures which have not been assessed and are suspected of having inadequate load capacities should be undertaken.	No	This work had not been carried out due to lack of funding. With the development of major industrial sites in Thurrock, there is likely to be an increase in traffic which could result in increased wear and tear on the structures. Failure to carry out the required assessments could result in structures not being maintained appropriately and open the Council up to potential legal and reputational risk.	The programme of strength assessments to determine whether highway bridges achieve the required live load capacity should be undertaken as soon as possible. This work could be programmed to coincide with principal inspections and should help to improve the stock and reduce the likelihood of legal or reputational damage.	High
	Risk 3: Performance Indicators may not have been developed or monitored.				
3.1	There are no national indicators that are directly related to the Bridge Maintenance Strategy. Local indicators have not been developed.	No	It is understood that some local indicators are being considered including: • Percentage of planned general inspections completed annually. • Percentage of principal inspections and	Senior management should develop some key performance indicators to show how the service is performing and help identify any areas for	Medium

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			risk assessments completed annually. • Percentage of structural assessments completed annually. Examples of other strategy based performance indicators that could be considered but are not mutually exclusive include:- • Percentage of substandard bridges. • Actual time and cost of individual schemes compared to estimated time and costs. • Reportable accidents on bridges. Measuring performance should assist senior management in identifying areas for improvement and provide information to help them target their resources more effectively and efficiently, including making the case for further investment where appropriate.	improvement. This will help them to target resources more effectively and efficiently.	

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4 February 2015	ITEM: 7
Standards and Audit Committee	
Report from Ernst and Young: Certification of Claims and Returns Annual Report 2013-14	

Wards and communities affected:	**Key Decision:**
All	Non-Key

Report of: Sean Clark, Head of Corporate Finance
Accountable Head of Service: Sean Clark, Head of Corporate Finance
Accountable Director: Graham Farrant, Chief Executive
This report is Public

Executive Summary

Attached to this paper is a report from Ernst and Young on the Certification of Claims and Returns Annual Report 2013-14. This will be presented by Ernst and Young.

1. **Recommendation(s)**

1.1 **That the report attached at Appendix 1 and the agreed actions are noted.**

2. **Introduction and Background**

2.1 The Certification of Claims and Returns Annual Report 2013-14 was issued in January 2015. The certification of the individual claims and returns was completed between May and November 2014. The report sets out the detailed findings and is presented to the Committee by Ernst and Young who are happy to receive questions on the report. All findings have been accepted and agreed by officers.

3. **Issues, Options and Analysis of Options**

3.1 Ernst and Young were required to certify two claims and returns relating to the year 2013-14. This was reduced by two compared with the prior year as the National Non-Domestic Rate return is no longer subject to audit and The Teachers' Superannuation return no longer falls within the certification arrangements of the Audit Commission. It is noted that separate arrangements were made with Ernst and Young for the audit of the Teachers' Superannuation return and the work has been completed with no significant

issues identified. The summary position for each claim or return audited under the Audit Commission arrangements is as follows:

3.2   Housing and Council Tax Benefits Subsidy claim 2013/14 – total value £61.8m – the work identified three main issues which have been set out in a qualification letter to the DWP. These issues related to misclassification of expenditure and errors in the calculation of overpayments for HRA and non-HRA rent rebates, the incorrect calculation and misclassification of rent allowance overpayments and the incorrect application of local housing authority rent. The DWP will determine if further action is required or whether benefit subsidy should be repaid and there may be additional audit work required.

3.2   Housing and Council Tax Benefits Subsidy claim 2012/13 - It is noted additional work was required by the DWP in respect of issues identified from the audit undertaken last year with an estimated additional fee of £3,063.

3.3   Pooling of Housing Capital Receipts – total value £6.9m.There were minor amendments to the return with no overall impact on the amount submitted to Central Government.

3.4   The total fees for the audit of claims and returns were £21,367 a fall of 37.5 per cent relative to 2012/13. This reflects the National-Non Domestic Rates return and the Teachers' Superannuation return were not required to be certified in 2013-14 under Audit Commission arrangements and there was also additional work on the Housing Benefits claim required in respect of the prior year.

4.   Reasons for Recommendation

4.1   The Committee is asked to note the findings of the report. Future reports to the Committee will contain updates on the recommendations raised.

5.   Consultation (including Overview and Scrutiny, if applicable)

5.1   The matters have been considered by this Committee. The detailed findings from the report have been discussed and agreed with relevant officers. They are also subject to the review of the Head of Corporate Finance.

6.   Impact on corporate policies, priorities, performance and community impact

6.1   There are no direct implications arising from this report in terms of the community and delivery of services.

7.   Implications

7.1 **Financial**

Implications verified by: **Sean Clark**

Head of Corporate Finance

The financial implications have been noted in the body of the report.

7.2 **Legal**

Implications verified by: **Alison Stuart**

Principal Solicitor

There are no specific legal implications of the report. The claims and returns are certified under section 28 of the Audit Commission Act 1998.

7.3 **Diversity and Equality   Teresa Evans**

Equalities and Cohesion Officer:

There are no specific implications from this report.

7.4 **Other implications** (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

None

8. **Background papers used in preparing the report** (including their location on the Council's website or identification whether any are exempt or protected by copyright):

- None

9. **Appendices to the report**

- Appendix 1: Certification of Claims & Returns – Annual Report

Report Author:

Sean Clark

Head of Corporate Finance

Corporate Finance

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Certification of claims and returns annual report 2013-14

Thurrock Council

16 January 2015

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Thurrock Council
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RM17 6SL

9 January 2015

Ref: TUC/Grant report 2013/14

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Dear Members

Certification of claims and returns annual report 2013-14
Thurrock Council

We are pleased to report on our certification work. This report summarises the results of our work on Thurrock Council's 2013-14 claims and returns.

Scope of work

Local authorities claim large sums of public money in grants and subsidies from central government and other grant-paying bodies and must complete returns providing financial information to government departments. In some cases these grant-paying bodies and government departments require appropriately qualified auditors to certify the claims and returns submitted to them.

Under section 28 of the Audit Commission Act 1998, the Audit Commission may, at the request of authorities, make arrangements for certifying claims and returns because scheme terms and conditions include a certification requirement. When such arrangements are made, certification instructions issued by the Audit Commission to appointed auditors of the audited body set out the work they must undertake before issuing certificates and the submission deadlines.

Certification work is not an audit. It involves executing prescribed tests designed to give reasonable assurance that claims and returns are fairly stated and in accordance with specified terms and conditions.

In 2013-14, the Audit Commission did not ask auditors to certify individual claims and returns below £125,000. The threshold below which auditors undertook only limited tests remained at £500,000. Above this threshold, certification work took account of the audited body's overall control environment for preparing the claim or return. The exception was the housing and council tax benefits subsidy claim where the grant paying department set the level of testing.

Where auditors agree it is necessary, audited bodies can amend a claim or return. An auditor's certificate may also refer to a qualification letter where there is disagreement or uncertainty, or the audited body does not comply with scheme terms and conditions.

Statement of responsibilities

In March 2013 the Audit Commission issued a revised version of the 'Statement of responsibilities of grant-paying bodies, authorities, the Audit Commission and appointed auditors in relation to claims and returns' (statement of responsibilities). It is available from the Chief Executive of each audited body and the Audit Commission website.

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The statement of responsibilities serves as the formal terms of engagement between the Audit Commission's appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

This annual certification report is prepared in the context of the statement of responsibilities. It is addressed to those charged with governance and is prepared for the sole use of the audited body. As appointed auditor we take no responsibility to any third party.

Summary

Section 1 of this report outlines the results of our 2013-14 certification work and highlights the significant issues.

We checked and certified one claim and one return with a total value of £68,690,747. We met all submission deadlines. However, due to issues with the Department's portal for submission, the Pooled Capital receipts return could not be submitted by the statutory deadline. Once this issue was resolved the return was submitted and was not classed as missing the deadline.

We issued one qualification letter for the housing benefit claim. Details of the qualification matters are included in section 2. Our certification work found errors which the Council corrected. The amendments had a marginal effect on the grant due.

We have made one recommendation this year, set out in section 3.

Fees for certification work are summarised in section 2. The indicative fees for 2013-14 are based on final 2011-12 certification fees, reflecting the amount of work required by the auditor to certify the claims and returns in that year. Fees for schemes no longer requiring certification have been removed, and the fees for certification of housing benefit subsidy claims have been reduced by 12 per cent. This is to reflect the removal of council tax benefit from the scheme.

We welcome the opportunity to discuss the contents of this report with you at the Standards and Audit Committee on 4 February 2015.

Yours faithfully

Debbie Hanson
Director
Ernst & Young LLP
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Contents

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1. Summary of 2013-14 certification work

We certified one claim and one return in 2013-14. Our main findings are shown below.

Housing benefits subsidy claim

Scope of work	Results
Value of claim presented for certification	£61,829,679
Limited or full review	Full
Amended	Not amended
Qualification letter	Yes
Fee – 2013-14 Fee – 2012-13	£20,885 £23,870 (excluding additional fee for response to DWP)

Recommendations from 2012-12:	Findings in 2013-14
Training for housing benefit assessors should continue and in particular cover overpayment calculation and classification and Local Housing Association rent.	Training has been provided. However errors were identified in the calculation and classification of overpayments, which remains a weakness. Training should therefore continue and in particular cover overpayment calculation and classification.

Councils run the Government's housing benefits scheme for tenants. Councils responsible for the scheme claim subsidies from the Department for Work and Pensions (DWP) towards the cost of benefits paid.

The certification guidance requires auditors to complete more extensive '40+' or extended testing if initial testing identifies errors in the calculation of benefit or compilation of the claim. We found errors and carried out extended testing in several areas.

Extended and other testing identified errors. We have reported underpayments, uncertainties and the extrapolated value of other errors in a qualification letter. The DWP then decides whether to ask the Council to carry our further work to quantify the error or to claw back the benefit subsidy paid.

The main issues we reported were:

- misclassification of expenditure and overpayments HRA and non-HRA rent rebates;

- incorrect calculation and misclassification of rent allowance overpayments; and

- incorrect application of local housing authority rent. However, the errors identified resulted in an underpayment for which there are no subsidy implications.

Following the conclusion of the 2012/13 housing benefit claim audit, the authority undertook additional testing on three areas where they did not consider the samples sizes and extrapolations to be representative of true performance. The DWP has requested that we review this additional work and provide a report stating our opinion and findings. We have now completed this work and are currently drafting our report, in which we will be reporting our revised extrapolations and the additional errors identified on misclassification of overpayments on rent rebates and rent allowances.

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We estimate that our fee for this additional work will be £3,063.

Pooling of housing capital receipts

Scope of work	Results
Value of return presented for certification	£6,861,068
Limited or full review	Full
Amended	Yes
Qualification letter	No
Fee – 2013-14	£482
Fee – 2012-13	£890

Recommendations from 2012-13:	Findings in 2013-14
None	This is the final year the claim is required to be audited. There are therefore no recommendations.

Councils pay part of a housing capital receipt into a pool run by the Department of Communities and Local Government. Regional housing boards then redistribute the receipts to those councils with the greatest housing needs. Pooling applies to all local authorities, including those that are debt-free and those with closed Housing Revenue Accounts, who typically have housing receipts in the form of mortgage principal and 'right to buy' discount repayments.

The claim was amended to remove the double-counting of one sale in quarter three housing receipts. This reduced the total capital receipts subject to pooling by £72,000. A number of errors were identified in the uplift of house prices as a result of the transfer of information from the Council's own spreadsheet to the DCLG spreadsheet which has to be used for the calculation of attributable debt. These were corrected and revised figures calculated.

None of the errors identified had any overall impact on the poolable amount. We certified the amount payable to the pool without qualification.

2.   2013-14 certification fees

From 2012-13 the Audit Commission replaced the previous schedule of maximum hourly rates with a composite indicative fee for certification work for each body. The indicative fees for 2013-14 are based on actual certification fees for 2011-12, reflecting the amount of work required by the auditor to certify the relevant claims and returns in that year. There was also a 40 per cent reduction in fees reflecting the outcome of the Audit Commission procurement for external audit services.

The 2013-14 fee for certification of housing benefit subsidy claims has been reduced from the indicative fee by a further 12% to reflect the removal of council tax benefit from the scheme.

Claim or return	2012-13	2013-14	2013-14
	Actual fee £	Indicative fee £	Actual fee £
Housing benefits subsidy claim	23,870	20,885	20,885
Housing benefit response to DWP for 2012-13 additional work	3,063 (estimate)*	0	0
Pooling of housing capital receipts	890	482	482
National non-domestic rates return	1,960		
Teachers' superannuation return	4,234		
Total	**34,017**	**21,367**	**21,367**

Fees for annual reporting and for planning, supervision and review have been allocated directly to the claims and returns.

* The additional fee for the work to respond to the DWP on the additional work undertaken by the Council on the 2012-13 return was completed in January 2015 and has not yet been billed. This will need to be agreed with the Audit Commission.

3. Looking forward

For 2014-15, the Audit Commission has calculated indicative certification fees based on the latest available information on actual certification fees for 2012-13, adjusted for any schemes that no longer require certification.

The Council's indicative certification fee for 2014-15 is £21,010. The actual certification fee may be higher or lower if we need to undertake more or less work than in 2012-13 on individual claims or returns. Details of individual indicative fees are available at the following link:
[http://www.audit-commission.gov.uk/audit-regime/audit-fees/201415-fees-and-work-programme/individual-certification-fees/]

We must seek the agreement of the Audit Commission to any proposed variations to indicative certification fees. The Audit Commission expects variations from the indicative fee to occur only where issues arise that are significantly different from those identified and reflected in the 2012-13 fee.

DCLG and HM Treasury are working with grant-paying bodies to develop assurance arrangements for certifying claims and returns following the closure of the Commission (due April 2015).

The Audit Commission currently expects that auditors will continue to certify local authority claims for housing benefit subsidy from the Department for Work and Pensions (DWP) under the arrangements developed by the Commission. The DWP has asked the Commission to prepare the auditor guidance for 2014/15. Arrangements for 2015/16 onwards are to be confirmed, but DWP envisages that auditor certification will be needed until 2016/17, when Universal Credit is expected to replace housing benefit.

The Audit Commission has changed its instructions to allow appointed auditors to act as reporting accountants where the Commission has not made, or does not intend to make, certification arrangements. This removes the previous restriction saying that the appointed auditor cannot act if the Commission has declined to make arrangements. This is to help with the transition to new certification arrangements, such as those Teachers' Pensions introduced for the Teachers' Pensions return for 2013-14.

During 2013-14 we acted as reporting accountants in relation to the Teachers' Pensions scheme. We have provided a separate report to the Council in relation to this return. This work has been undertaken outside the Audit Commission regime, and the fees for this are not included in the figures included in this report. This is referred to here for completeness to ensure Members have a full understanding of the various returns on which we provide some form of assurance. We did not identify any significant issues as part of this work that need to be brought to the attention of Members.

4. Summary of recommendations

This section highlights the recommendations from our work and the actions agreed.

Recommendation	Priority	Agreed action and comment	Deadline	Responsible officer
Housing benefits subsidy claim				
Training for housing benefit assessors should continue and in particular cover overpayment calculation and classification	Medium	Agreed and training is ongoing	Ongoing	B Amako

Work Programme

Committee: Standards and Audit

Year: 2014/2015

Item	Date Added	Request By (Members/Officers)	Lead Officer	Progress / Update required
10 July 2014				
1st Quarter Review of the Strategic/Corporate Risk and Opportunity Register	February 2014	Officers	Andy Owen	Members noted the report.
Update: Financial Statement	May 2014	Officers	Sean Clark	No update required – report going to September meeting
Draft AGS	May 2014	Officers	Sean Clark	No update required – report going to September meeting
Annual Complaints Report	May 2014	Officers	Lee Henley	Members noted the report.
Annual Access to Records Report	May 2014	Officers	Lee Henley	Members noted the report.
Head of Internal Audit Report	May 20014	Officers	Chris Harris/ Gary Clifford	Members noted the report.
Internal Audit: Red Reports (as required)	May 2014	Members/Officers	Relevant Director	No report was sent to Committee
Update: Regulation of Investigatory Powers Act 2000 RIPA	May 2014	Members/Officers	Lee Henley	Members noted the report.
Work Programme	Continuous	Members/Officers	Democratic Services Officer	No update required
16 September 2014				
Financial Statements and Annual Governance Statement Update	May 2014	Officers	Sean Clark	Members noted the report.
Audit Results Report	May 2014	Officers	Ernst & Young	Members noted the report.
Progress Report: Internal Audit	May 2014	Officers	Gary Clifford	Members noted the report.

Work Programme

Item	Date Added	Request By (Members/Officers)	Lead Officer	Progress / Update required
Internal Audit: Red Reports (as required)	May 2014	Members/Officers	Relevant Director	No report was sent to Committee
Update: Regulation of Investigatory Powers Act 2000 RIPA	May 2014	Members/Officers	Lee Henley	Members noted the report.
Work Programme	Continuous	Members/Officers	Democratic Services Officer	No update required
9 December 2014				
Annual Audit Letter	May 2014	Officers	Ernst & Young	Members noted the report.
3rd Quarter Review of the Strategic/Corporate Risk and Opportunity Register	February 2014	Officers	Andy Owen	Members noted the report.
Update: Complaints Report	May 2014	Officers	Lee Henley	Members noted the report.
Fraud Report	May 2014	Officers	Sean Clark	Deferred to next meeting in consultation with the Chair
Progress Report: Internal Audit	May 2014	Officers	Gary Clifford	Members noted the report.
Internal Audit: Red Reports (as required) Bridge Inspections	May 2014	Members/Officers	Relevant Director	Deferred to next meeting in consultation with the Chair
Update: Regulation of Investigatory Powers Act 2000 RIPA	May 2014	Members/Officers	Lee Henley	Members noted the report.
Disaster Recovery Report	July 2014	Members	Lucy Magill	Deferred to next meeting in consultation with the Chair
Work Programme	Continuous	Members/Officers	Democratic Services Officer	No update required
4 February 2014				
Fraud Report	December 2014	Officers	Sean Clark	Deferred to next meeting in consultation with the Vice-Chair

Work Programme

Item	Date Added	Request By (Members/Officers)	Lead Officer	Progress / Update required
Progress Report: Internal Audit	May 2014	Officers	Gary Clifford	Postponed to March meeting agreed by Committee
Report on the Audit of Grant Claims	May 2014	Officers	Ernst & Young	
Internal Audit: Red Reports (as required)	May 2014	Members/Officers	Relevant Director	
Update: Regulation of Investigatory Powers Act 2000 RIPA	May 2014	Members/Officers	Lee Henley	Deferred to next meeting in consultation with the Chair
Disaster Recovery Report	July 2014	Members	Kathryn Adedeji	
Work Programme	Continuous	Members/Officers	Democratic Services Officer	
17 March 2014				
Review of ROM Policy, Strategy & Framework	December 2014	Officers	Andy Owen	
Risk and Opportunity Management – Benchmarking and Action Plan	December 2014	Officers	Andy Owen	
Draft Internal Audit Plan	May 2014	Officers	Gary Clifford	
Ernst and Young – Audit Plan 2014/2015	May 2014	Officers	Ernst & Young	
Internal Audit: Red Reports (as required)	May 2014	Members/Officers	Relevant Director	
Update: Regulation of Investigatory Powers Act 2000 RIPA	May 2014	Members/Officers	Lee Henley	
Work Programme	Continuous	Members/Officers	Democratic Services Officer	

Work Programme

To Be Allocated				
Item	**Date Added**	**Request By (Members/Officers)**	**Lead Officer**	**Committee Date**

Full details of Member's decisions can be viewed in the Minutes on the Council's Committee Management Information System - http://democracy.thurrock.gov.uk/thurrock/

FOR CONSIDERATION
There are currently no items for consideration.