

Audit Plan 2010/11

IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
09	<p>Management should ensure that security settings on mobile device handsets such as iPhones enforce the following settings:</p> <ul style="list-style-type: none"> Devices should be required to be protected by a power on password or PIN. Any default passwords or PIN codes need to be changed on first use, these should not be removed unless authorised in writing by ICT; Devices should be set to 'Non-discoverable' or 'Hidden' to help prevent information disclosure by short distance data transfer; and Users should be restricted from reconfiguring the security settings on devices. <p>The remote wipe solution should be investigated to ensure all the data stored on the mobile phone can be wiped either remotely or by exceeding the login threshold. Management should ensure that only ICT approved mobile devices should be procured</p>	Important	<p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 Provision of an Enterprise Mobility Management solution to address all of these points was included in the procurement of the new Service Desk solution.</p> <p>Subsequent to the on-boarding of the new Service Desk, (EMM) requirements will be documented and procured from the Service Desk provider and all current Windows or iPhones supplied by the authority will come under this solution.</p> <p>The aim is to have this in place by December 2016.</p> <p>Position – September 2016 It is still anticipated that this will be in place by December 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 The Internal ICT service has evaluated 3 MDM products; Sophos, MobileIron and Good. We have tendered with the market</p>	ICT Client Section Head	March 2013	<p>x</p> <p>(part met – will move to resolve once MDM solution deployed).</p>	<p>31 December 2016</p> <p>31 July 2017</p>

WBC Internal Audit Recommendations Follow Up – February 2017**APPENDIX C****IT Remote Working 2010/11**

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	and issued and all confidential and sensitive data held on mobile device handsets such as iPhones is adequately encrypted according to the sensitivity of the data.		for the MobileIron solution. This will enable remote management of the mobile devices. Acceptable usage policy has been updated to reflect the requirement for the following security settings to be applied as a minimum on the mobile phone device: <ul style="list-style-type: none">• Power on: Password				

Audit Plan 2011/12

IT Project Management 2011/12							
Final report issued November 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	An IT Strategy that supports both Councils' corporate strategies needs to be implemented to direct the forward usage of ICT within both Councils and the Shared Service. An IT strategy should be developed in consultation with the business strategies for both Councils and the Shared Service to ensure that IT development links into corporate priorities.	Minor	<p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 A new ICT Strategy is to be produced which will cover both Councils. This is expected to be completed by the end of October 2016. An additional resource will be procured from the ICT Transformation budget.</p> <p>Position – September 2016 An Interim Head of Service Transformation has been appointed and it is anticipated that the strategies will be completed by the end of October 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 Freedom Communications have been appointed to conduct this work. Briefing and engagement sessions have been held with all services across Watford and Three Rivers. The first draft of the strategy has been reviewed by the ICT Section Head. There are several further iterations required before this will be presented to Senior Officers at both organisations for</p>	ICT Client Section Head	October 2012	*	<p>31 October 2016</p> <p>31 May 2017 (Including Senior Mgmt sign off)</p>

WBC Internal Audit Recommendations Follow Up – February 2017

APPENDIX C

IT Project Management 2011/12							
Final report issued November 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			sign off.				

IT Back up and Disaster Recovery 2011/12							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	The Shared Service should conduct a risk assessment of the capability to recover key systems and services in the event of a disaster based on the Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) for Councils' systems. This should ensure that any potential issues that could be faced are documented with appropriate counter measures put in place.	Essential	<p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 A full DR and BCP requirements review will be carried out as a precursor to re-tendering both the DR and BCP contracts covering both councils. Contract retender and award must be completed by November 2016. It is anticipated that the DR and BCP requirement will be completed by the end of October 2016.</p> <p>Position – September 2016 It is still anticipated that this will be completed by the end of October 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 Risk Assessment completed. Risks have been added to the ICT risk register.</p>	ICT Client Section Head	May 2013	✓	31 October 2016
04	The Shared Service should test its DR arrangements on an annual basis at both Adam Continuity and ICM. Testing should follow a detailed test	Essential	<p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p>	ICT Client Section Head	March 2013	* (Part met)	<p>31 October 2016</p> <p>30 June</p>

IT Back up and Disaster Recovery 2011/12

Final report issued December 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	plan and test results should be reported to management following the test period. We also recommend that where appropriate, ad hoc tests of tape restores are performed when not otherwise tested.		<p>Position - July 2016 As part of the contract retender for DR / BCP the requirement for period testing will be included. As part of moving ICT desktop and server support in house a schedule of trial restores from tape will be put in place to confirm that backups are tested. This to happen by October 2016.</p> <p>Position – September 2016 It is still anticipated that this will be completed by the end of October 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 ICT Section Head is drafting a specification for a joint disaster recovery contract. Within this contract there will be provision for annual DR testing. The Three Rivers contract does not expire until end of June 2017.</p> <p>ICT have implemented monthly backup spot restores to test resilience. We are aware that there are issues with the current backup infrastructure and this is included ICT Core transformation plan. See additional document.</p>				2017

Audit Plan 2012/13

IT Server Virtualisation (ICT) 2012/13							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	The adequacy of the security settings and management arrangements established and applied to the virtual environment at both the Councils should be reviewed and where the standards currently are not aligned with best practice standard such as recommended by CIS (Centre for Internet Security), then they should be applied/configured to create a baseline for on-going security and monitored accordingly.	Essential	<p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 The entire virtual environment in both councils is in the process of being upgraded to the current software versions, this will address a number of security issues, additionally where sensitive data, such as DWP information, is to be held, or accessed the virtual environment is being moved into a 'virtual garden' to restrict and secure access. This is in line with PSN and Cabinet office recommendations for securing the virtual environment. This is anticipated to be completed by December 2016.</p> <p>Position – September 2016 This is still anticipated to be completed by December 2016.</p> <p>Position – November 2016</p>	ICT Client Section Head	November 2013	✓	31 December 2016

WBC Internal Audit Recommendations Follow Up – February 2017

APPENDIX C

IT Server Virtualisation (ICT) 2012/13							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>No update received.</p> <p>Position – March 2017 A template and associated procedure has been created for 2008R2 & 2012R2. All new virtual servers will be built to this template.</p> <p>WBC virtual server platforms were out of date, and on version 4.1, these have been upgraded to version 5.5.</p> <p>TRDC virtual server upgrades from version 5.0 to 5.5 and 6.0 are currently being scheduled.</p> <p>A position on a standard set of security requirements for virtual server technology is currently being reviewed.</p> <p>ESX host patching is up to date on the WBC estate. This will be completed for TRDC once the versions are up to a minimum of 5.5.</p> <p>ESX Host patching scheduled quarterly.</p>				

Audit Plan 2013/14

Cyber Risk 2013/14							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
03	<p>Management should ensure the data loss prevention policy is developed and published at the earliest. As part of this process, management should:</p> <p>a) Consider all possible media for data loss and risk assess the various options.</p>	High	<p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 A Data Loss prevention policy is to be produced which will cover both Councils. This is expected to be completed by the end of October 2016.</p> <p>Position – September 2016 This is still expected to be completed by the end of October 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 A risk assessment is due at the end of April 17. With a policy to be developed by the end of Q2.</p>	IT Client Section Head	30 June 2015	✗	<p>31 October 2016</p> <p>30 Sept 2017</p>

Audit Plan 2014/15

NDR 2014/15							
Final report issued January 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
03	The available hardware should be introduced within the inspection regime, with appropriate training given where necessary	Merits Attention	<p>To clarify, the Service has bought the Inspectors module (2010 I believe) but yet to purchase the required tablets to support implementation due to lack of IT support.</p> <p>Whilst the current Revenues Manager has implemented such a module at a previous authority this was implemented with the help of internal IT resources and CSS.</p> <p>Position - February 2015 Yet to start awaiting Tablet / Module – Meeting arranged with Capita on 240315 re implementation.</p> <p>Position – May 2015 Not yet due</p> <p>Position – August 2015 Migration has still not taken place.</p> <p>Position – November 2015 Due to ongoing IT upgrades this has slipped further down list given major configuration</p>	Revenues Manager	31 July 2015	✗	<p>30 November 2015</p> <p>31 March 2016</p> <p>31 March 2017</p> <p>31 July 2017</p>

WBC Internal Audit Recommendations Follow Up – February 2017

APPENDIX C

NDR 2014/15							
Final report issued January 2015							
			<p>within Academy and yet to decide on either tablet / iPad.</p> <p>Position – February 2016 Still to be implemented – ongoing.</p> <p>Position – June 2016 Still to be implemented – ongoing.</p> <p>Position – September 2016 Discussions are still ongoing due to ICT changes and at the moment not a priority. However, potential new Revs & Bens ICT contract to be signed early Sept 2016, which at this stage will pick this up once again.</p> <p>Position – November 2016 Still to be implemented as not high on the agenda at the moment with a new ICT helpdesk process being bedded in.</p> <p>Position – February 2017 Vacant Revenues Inspector post to be interviewed mid-March, 2017, and will then look at potential of implementation</p>				

Benefits 2014/15							
Final report issued April 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
06	In order to ensure compliance with the Data Protection Act (DPA), the	Medium	Awaiting Anite upgrade.	Benefits Manager	30 June 2015	*	31 December

Benefits 2014/15

Final report issued April 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	<p>Council should ensure that as a matter of urgency, the historical data stored within Anite is cleared.</p> <p>Going forward, the Council should ensure that there are arrangements in place to clear old data on an annual basis to ensure ongoing compliance with the DPA.</p>		<p>Position - May 2015 Not yet due</p> <p>Position – August 2015 The Anite upgrade that will allow archiving of old data was scheduled for 1/8. Although Northgate have completed their work, Capita have not linked Anite to Office of Outlook so we cannot go live on 1/8. This has been moved from 8/8 to 12/9. If this is successful, it will take a further 8-10 weeks to restructure the database and then archiving can happen.</p> <p>Position – November 2015 Now that the Information@work system has been migrated to a new server and upgraded we are ready to install the retention and destruction module which will archive documents. We are currently in the process of agreeing dates for the module to be installed and training to be given. Review at the end of December 2015.</p> <p>Position – February 2016 No update received – target date has passed.</p> <p>Position – June 2016 With regard to the Retention and Destruction module for Anite, we are currently in the process of getting installation dates agreed. Due to consultancy availability it's not likely to be in place and working before 30.09.16.</p> <p>Position – July 2016 With regard to the Retention and Destruction module for Anite, we are currently in the process of getting installation dates agreed.</p>				<p>2015</p> <p>30 Sept 2016</p> <p>31 December 2016</p>

WBC Internal Audit Recommendations Follow Up – February 2017

APPENDIX C

Benefits 2014/15							
Final report issued April 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Due to consultancy availability it's not likely to be in place and working before 30.09.16.</p> <p>Position – September 2016 We are currently waiting for pre-req documents to be completed by IT so that we can book final installation and training dates with Northgate. We expect the documentation to be completed by end of September. There is quite a wait time for Northgate consultancy hence moving the date to 31.12.16.</p> <p>Position – November 2016 No update received.</p> <p>Position – February 2017 No update received.</p>				

Disaster Recovery 2014/15							
Final report issued June 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	<ul style="list-style-type: none"> The Councils should take priority to ensure the kit lists for both the Councils are updated and fit for purpose, this is to be shared with Capita who are responsible for handling the 3rd party contracts for Disaster Recovery. 	High	<p>Recommendation accepted.</p> <p>Position - August 2015 See section 2.5.2 of the main SIAS Update Report.</p> <p>Position – November 2015 See comment in section 2.5.2 of the main</p>	Capita Account Director	31 August 2015	x	<p>N/A</p> <p>31 October 2016</p> <p>Shared DR Plan in place:</p>

Disaster Recovery 2014/15

Final report issued June 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	<ul style="list-style-type: none"> During the review it was mentioned that the Councils have been shown the Essex Councils comprehensive Disaster Recovery Plan as a template. Although this DRP is not part of this review and we can therefore not pass comment on its adequacy, it can form the basis for W3R. Ensure procedure documents are kept up to date incorporating current technological environment so that the process steps covers all the detail recovery procedures in the event of disaster. IT disaster recovery and business continuity plans should be reviewed at least once a year, or if any material changes occur within the IT environment, to ensure its continuing suitability, adequacy, and effectiveness. 		<p>SIAS Update Report.</p> <p>Position – February 2016 See comment in section 2.5.2 of the main SIAS Update Report.</p> <p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 All asset lists, including desktops, servers and network equipment have been updated and are managed by the Service Desk Provider. Procedure documents are currently being reviewed and updated. This has to be completed prior to re-procuring the DR contracts, in October 2016.</p> <p>Position – September 2016 This has to be completed prior to re-procuring the DR contracts in October 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 No longer Capita responsibility. This has been passed to the internal ICT team.</p> <p><u>Note: Kit lists were updated in 2015.</u></p> <p>Emma Tiernan currently drafting the DR plan in conjunction with Amicus – Third Party. Emma Tiernan I am also drafting a specification for a short term joint DR</p>				<p>May 2017</p> <p>Joint DR contract in place: June 2017</p> <p>DR Test to take place: December 2017</p>

Disaster Recovery 2014/15							
Final report issued June 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			contract to include kit and recovery site. I anticipate our DR need will change over the next 1 give the core transformation and therefore I am looking to tender for a flexible contract. Once the DR plan is drafted this will go to ITSG & risk groups at both Councils for review and sign off. There will then be annual review per other IT policies.				
02	<ul style="list-style-type: none"> Once these kit lists have been reviewed and approved, Capita should liaise with the two contractors responsible for Disaster Recovery to initiate Disaster Recovery Tests on Critical systems and their key dependencies. A complete DR scenario test on all applications and systems should ideally take place to provide assurance that recovery could happen within an acceptable time frame. Document and retain test results and evidence for review by information owners. Initiate corrective actions based upon test results. There should be Councils management oversight of the testing schedule to ensure that all disaster recovery plans are tested 	High	<p>Recommendation accepted.</p> <p>Position - August 2015 See section 2.5.2 of the main SIAS Update Report.</p> <p>Position – November 2015 See comment in section 2.5.2 of the main SIAS Update Report.</p> <p>Position – February 2016 See comment in section 2.5.2 of the main SIAS Update Report.</p> <p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 The DR testing will take place once the DR procurement has taken place. A requirement to do DR testing will be built into the procurement specification.</p> <p>Position – September 2016 This is still anticipated to be completed by end</p>	Capita Account Director / ICT Client Section Head	31 August 2015	x	<p>N/A</p> <p>31 December 2016</p> <p>Shared DR Plan in place: May 2017</p> <p>Joint DR contract in place: June 2017</p> <p>DR Test to take place: December 2017</p>

Disaster Recovery 2014/15							
Final report issued June 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	<p>for adequacy and that they meet the Councils business needs.</p> <ul style="list-style-type: none"> IT Disaster Recover and Business Continuity plans should be reviewed at least once a year or if any material changes occur within the IT environment to ensure its continuing suitability, adequacy, and effectiveness. 		<p>December 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 As per 01. Joint DR contract currently being procured. A DR test will take place within 6 months of the contract being signed.</p>				
03	<ul style="list-style-type: none"> Talks surrounding the use of a data centre should be progressed. The problem with keeping the Councils data locally is that, should a disaster occur unexpectedly be it natural or man-made, all or part of the data could be lost – including backups. An offsite data centre solution should be considered if effective disaster recovery is a requirement at the Councils. 	Medium	<p>Recommendation accepted.</p> <p>Position - August 2015 See section 2.5.2 of the main SIAS Update Report.</p> <p>Position – November 2015 See comment in section 2.5.2 of the main SIAS Update Report.</p> <p>Position – February 2016 See comment in section 2.5.2 of the main SIAS Update Report.</p> <p>Position – June 2016 History of comments removed - please see separate report by the Head of Finance.</p> <p>Position - July 2016 The ICT strategy will reference using the Councils data centres as a backup for each other. This should ensure continuity of service in the event of a disaster recovery incident.</p> <p>Position – September 2016 This is still anticipated to be completed by end</p>	Capita Account Director	31 August 2015	✓	<p>N/A</p> <p>31 December 2016</p> <p>N/A To be removed</p>

Disaster Recovery 2014/15

Final report issued June 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>December 2016.</p> <p>Position – November 2016 No update received.</p> <p>Position – March 2017 No longer relevant. This is not a Capita responsibility. Work is currently being undertaken to improve the following aspects of existing data centres: Power UPS Data Centre Security.</p> <p>Data is not kept locally. Tapes are taken off site and stored within the other Councils safe. In addition some site to site replication is in place.</p> <p>** I suggest this recommendation is removed now.</p>				

Audit Plan 2015/16

Data Protection 2015/16							
Final report issued October 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved × or ✓	Revised Deadline
02	The Authority should also consider putting in place an overarching Data Sharing Protocol / Policy, which would provide a framework for the authority, helping them adopt good practices with regard to Data Sharing.	Medium	<p>Head of Democracy and Governance to develop a protocol.</p> <p>Position – November 2015 Not yet due</p> <p>Position – February 2016 Not started due to work commitments.</p> <p>Position – June 2016 Not yet due.</p> <p>Position – September 2016 Still to be developed.</p> <p>Position – November 2016 Draft being looked at.</p> <p>Position – February 2017 Still to be progressed.</p>	Head of Democracy and Governance	31 January 2016	×	<p>30 June 2016</p> <p>1 January 2017</p> <p>1 June 2017</p>

Development Management 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	<p>We recommend that all officers within the Planning Service complete a Declaration of Interest form on an annual basis.</p> <p>In addition, procedure notes should be produced documenting how the declaration of Interest will be enforced.</p> <p>We also recommend that the Head of Regeneration and Development request the Scheme of Delegation be amended so that where necessary, applications from the Council and from Councillors are referred to the Development Management Committee for decision.</p>	Merits Attention	<p>Agreed.</p> <p>We agree that all principal planners and their team leaders and section head should complete a declaration of Interest form. Normally these forms are held centrally.</p> <p>Agreed.</p> <p>Position – February 2016 Waiting for example of form from SIAS.</p> <p>Spoken with Head of Democracy and Governance. Annual reporting not necessarily sufficient as conflict of interest could occur at any time within the year. Current practice is via email to manager.</p> <p>Position – June 2016 Not implemented due to staff turnover. Revised deadline end of July 2016.</p> <p>Position – September 2016 No update received.</p> <p>Position – November 2016 No formal handover of the outstanding audit recommendations took place during the recent re-structure and as a result, the actions remain incomplete. These will now be taken forward by the Head of Development Management.</p>	<p>Head of Regeneration & Development</p> <p>Head of Development Management</p>	<p>30 April 2016 (for the new Financial Year)</p> <p>31 May 2016</p>	x	<p>31 July 2016</p> <p>28 February 2017</p>

Development Management 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			Position – February 2017 No update received.				
04	We recommend that checks are undertaken on a sample of pre-existing fields to ensure data submitted is accurate. If further differences are identified the scope should be extended to include all data-sets on the PS1 and PS2 returns.	Medium	<p>Agreed.</p> <p>The information provided in the PS1 and PS2 table for DCLG does not appear to allow interrogation so this has to be undertaken in a different format, which is time consuming.</p> <p>The variation in the two data sets is minor but this does need investigating.</p> <p>Further training is required in understanding the queries and how to find the raw data to review.</p> <p>The timing of implementing this recommendation will coincide with the updates that will be introduced for the system.</p> <p>Position – February 2016 Will be implemented as part of move to hosted service for Uniform planned for May 2016.</p> <p>Position – June 2016 Still awaiting move to hosted service.</p> <p>Position – September 2016 No update received.</p> <p>Position – November 2016 No formal handover of the outstanding audit recommendations took place during the recent re-structure and as a result, the actions remain</p>	<p>Interim Development Management Section Head</p> <p>Head of Development Management</p>	29 February 2016	x	<p>31 May 2016</p> <p>31 August 2016</p> <p>28 February 2017</p>

WBC Internal Audit Recommendations Follow Up – February 2017
APPENDIX C

Development Management 2015/16 Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			incomplete. These will now be taken forward by the Head of Development Management. Position – February 2017 No update received.				

Safeguarding 2015/16 Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	We recommend that the next review be approved by Leadership Team and Members.	Medium	Agreed, will take next review to Leadership Team and Cabinet. Position – February 2016 Leadership Team report re - scheduled for March 2016 Position – June 2016 Due to recent structure changes, a report to CABINET to be moved till the Autumn to allow time to have a review of Safeguarding roles and responsibilities. The current structure remains and CSE has been included in the policy and procedures. Position – September 2016 LT report scheduled for October Position – November 2016 Due to changes in service provision e.g. recent cessation of direct provision of Play Services, it has been agreed to conduct a full and comprehensive review of safeguarding roles, procedures, policy and resources	Culture and Play Section Head	31 January 2016 (Leadership Team)	x 	31 March 2016 31 October 2016 31 July 2017

WBC Internal Audit Recommendations Follow Up – February 2017

APPENDIX C

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	We recommend that the policy and procedures be reviewed and amended to specifically reflect CSE.		<p>between April – July 2017. In the interim the Section Head for Culture and Play will provide the lead, conduct a self-assessment and make any relevant recommendations to LT for the review team to team to consider.</p> <p>Position – February 2017 In progress</p> <p>Agreed.</p> <p>Position – February 2016 Cabinet report re- scheduled for June or July 2016.</p> <p>Position – June 2016 Due to recent structure changes, a report to CABINET to be moved till the Autumn to allow time to have a review of Safeguarding roles and responsibilities. The current structure remains and CSE has been included in the policy and procedures.</p> <p>Position – September 2016 After LT report in October a decision to be taken by LT if a Cabinet report is required. It may be a PFH report.</p> <p>Position – November 2016 Due to changes in service provision e.g. cessation of direct provision of Play Services, it has been agreed to conduct a full and comprehensive review of safeguarding roles, procedures, policy and resources between</p>		31 March 2016 (Cabinet)	x	<p>31 July 2016</p> <p>31 October 2016</p> <p>31 July 2017</p>

WBC Internal Audit Recommendations Follow Up – February 2017

APPENDIX C

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>April – July 2017. In the interim the Section Head for Culture and Play will provide the lead, conduct a self-assessment and make any relevant recommendations to LT for the review team to team to consider.</p> <p>Position – February 2017 In progress.</p>				
08	We recommend that the Council suggest greater scrutiny involvement to examine the organisations position in relation to safeguarding responsibilities.	Merits Attention	<p>Agreed.</p> <p>Position – February 2016 Not yet due</p> <p>Position – June 2016 Not yet due.</p> <p>Position – September 2016 Scrutiny scheduled for January 2017. Scoping meeting scheduled for October with Chair. Scrutiny officer engaged and involved.</p> <p>Position – November 2016 Overview and Scrutiny Committee's agenda for 19 January 2017 will include an item about 'Safeguarding'.</p> <p>Position – February 2017 Overview and Scrutiny received a report on Safeguarding from the Section Head Culture and Play and the contents of the report were noted.</p>	Committee and Scrutiny Officer	30 June 2016	✓	31 January 2017

Safeguarding 2015/16

Final report issued November 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
09	We recommend that further discussions regarding this issue are raised through the police, obtaining clarity to ensure consistency around police notifiable occupations. This is an issue that is being discussed at a national level due to guidance issued by the National Police Chiefs' Council.	Medium	<p>Agreed.</p> <p>Position – February 2016 Discussions with the Police Community Safety Unit who are leading discussions across the county to improve communication underway. Introduction of a new system to check applicants history in place, protocols of use of this new procedure in development jointly with 3RDC. No current issues with notifications but any will be raised and followed up.</p> <p>Position – June 2016 Local arrangement for intelligence checking with the Police fully in place and working well, this is mitigating risks surrounding formal notifications to some degree. Formal notification and disclosure through the County Police unit still unresolved. Information received that clarifies the Police's position but remains unsatisfactory from WBC perspective. Request for further consideration sent to County unit and support of Watford Chief Inspector secured to champion this matter.</p> <p>Position – September 2016 Ongoing discussions. Processes continue to work well at a local level but examples at a county level continue to be found of non-notification.</p> <p>Position – November 2016 As September 2016. Issues being raised cross county in respect of Police notifications. To be raised County wide. Local processes continue to work effectively.</p>	Environmental Health and Licensing Section Head	31 January 2016	✓	<p>31 March 2016</p> <p>30 November 2016</p> <p>1 April 2017</p>

WBC Internal Audit Recommendations Follow Up – February 2017
APPENDIX C

Safeguarding 2015/16 Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			Position – February 2017 Local processes continue to work well. No current issues exist. Will be followed up if another situation arises.				

Building Control 2015/16 Final report issued February 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	We recommend that all officers within the Building Control Service complete a Declaration of Interest form on an annual basis.	Merits Attention	<p>The team will be asked to supply details of any private work they undertake and any other conflicts of interest. This will be logged on personal files. We have asked SIAS to provide an example of an annual declaration template as used elsewhere and will then introduce an annual review process.</p> <p>Position – June 2016 Not implemented due to staff turnover. Revised deadline end July 2016.</p> <p>Position – September 2016 No update received.</p> <p>Position – November 2016 No formal handover of the outstanding audit recommendations took place during the recent</p>	<p>Head of Regeneration & Development</p> <p>Head of Development Management</p>	30 April 2016	x	<p>31 July 2016</p> <p>28 February 2017</p>

WBC Internal Audit Recommendations Follow Up – February 2017
APPENDIX C

Building Control 2015/16 Final report issued February 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
			re-structure and as a result, the actions remain incomplete. These will now be taken forward by the Head of Development Management. Position – February 2017 No update received.				

Contract Management 2015/16 Final report issued May 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
02	It is recommended that the Council's Housing team carry out spot checks within the Hostels and Self-Contained Properties to ensure the accuracy and compliance of the Contractors inspections.	Medium	Agreed – Will ensure all properties have had at least 1 spot check by end of year and put hostels on a rolling programme Position – September 2016 Not started yet but still intend to have this done by March 2017. Position – November 2016 Spot check started October focusing on hostels first - Tibbles, York, Butterwick and Aldenham checking communal areas for	Housing Supply Manager	Start 1 July 2016 All complete by 31 March 2017 Then ongoing	✕	

Contract Management 2015/16

Final report issued May 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>cleaning and maintenance standards.</p> <p>Next stage is to check void units before re-let and the standalone properties.</p> <p>Position – February 2017 Position still as above. 2 hostel voids checks will be completed by April.</p> <p>Possibly 1 standalone depending on whether it becomes void before April. Due in the next 4 weeks.</p>				
03	<p>We recommend that contract risks should be identified and managed. The risks should be recorded either in a separate risk register for significant contracts, or for smaller contracts via a generic contract management risk within service risk registers.</p> <p>A review of risks should form part of contract monitoring activity.</p>	Medium	<p>Agreed – The Contract Management Forum Steering Group on 1st April, agreed to run a workshop on Contract Risk Management in June 2016. The intention of the workshop is to raise awareness of risk management and to help develop guidance and templates that are user friendly to support officers when undertaking this aspect of contract management.</p> <p>Position – September 2016 CMF training session on managing contract risk held on 19th July. It covered managing risk and the risk register and discussed a risk register template particularly for smaller projects. A further session is planned towards the end of September 2016. The aim of that session is to set objectives and actions to provide a guidance note, process and recording format to identify and manage risk.</p> <p>Position – November 2016</p>	Contract Procurement Manager	30 June 2016	✓	<p>30 November 2016</p> <p>28 February 2017</p>

WBC Internal Audit Recommendations Follow Up – February 2017
APPENDIX C

Contract Management 2015/16 Final report issued May 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
			<p>Significant progress has been made and there is now a draft guidance and risk log ready to put into the test and implementation stage. Three Rivers colleagues are being asked to adapt the guidance to reflect the Three Rivers scoring mechanisms which differ from Watford. The implementation plan has been discussed at the 3rd November Steering Group and the test phase should be completed end of Dec 2016. Lunch and Learns on the process and documentation will take place in February 2017 which will complete the roll out.</p> <p>Position – February 2017 Lunch and Learns on the process and documentation took place on the 9th and 21st February 2017 to complete the roll out.</p>				

Cemeteries 2015/16 Final report issued May 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
01	It is recommended that as part of the lone working risk assessment, consideration be given to holding regular 'one to one' meetings with the Cemetery Manager on site at the	Medium	<p>Agreed – A new additional post at the Cemetery is to be recruited. As part of the process, the risk assessment will be reviewed.</p> <p>Regular meetings with staff at the Cemetery</p>	Environmental Services Client Manager (Parks & Open Spaces)	30 September 2016	✓	March 2017 for new post in place

Cemeteries 2015/16							
Final report issued May 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	cemetery with meeting / action notes completed.		<p>will be planned and minuted.</p> <p>Position – September 2016 Job description in draft and will be for an assistant cemetery manager. Meetings set up for monthly 121's.</p> <p>Position – November 2016 Monthly 1-2-1's taking place. Job descriptions agreed, to be sent for job evaluation.</p> <p>Position – February 2017 Recruitment to take place March/April Monthly meetings in hand with Head of Service and line manager on Cemetery action plan outcomes. Minutes recorded Original recommendation has been completed.</p>				
02	It is recommended that action is taken to protect the site plans. One option to consider is to create digital copies for online storage and view, and another would be to store them in a fireproof cabinet.	Medium	<p>Agreed – Fireproof cabinet to be purchased.</p> <p>Position – September 2016 Ongoing enquiries with several companies, struggling to find a product that will fit requirements. Possible solution is digitisation of maps – costs to be determined for maps and records or through the Gower system.</p> <p>Position – November 2016 Cemetery Manager met with supplier this week, awaiting quote, plans can be scanned first week of December if agreed.</p> <p>Position – February 2017 Plans now scanned and placed on a disc, this is stored in fire proof cabinet. A copy</p>	Cemetery Manager	30 June 2016	✓	31 December 2016

Cemeteries 2015/16

Final report issued May 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			made and stored at the Town Hall.				
05	<p>It is recommended that a more robust system for raising invoices and subsequent debt recovery is agreed, approved and put in place. The following points should be considered:</p> <p>a) Process all invoices through the Council's E-fin system at the time of transaction.</p> <p>b) The system invoice is printed and sent immediately following completion of the service provided.</p> <p>c) If deemed necessary, a covering letter, offering a compassionate message from the Council, could be sent with the actual invoice.</p> <p>d) Following the 30 day term for payment, if still unpaid, the Council's debt recovery procedures should be used.</p> <p>e) Accurate records of any recovery 'chasing' action taken to be recorded electronically.</p> <p>f) An aged debt analysis report should be compiled and reviewed at least quarterly.</p>	Medium	<p>Agreed – review and update of current procedures in conjunction with the Cemetery Manager and Finance Department will be completed.</p> <p>Position – September 2016 No change due to restructures in Finance department. Now in place, to be reviewed in September / October.</p> <p>Position – November 2016</p> <p>a) The hardware at the cemetery is nearly in place for finance records to be completed via the council's e-finance system.</p> <p>b) Invoices are now sent at time of burial from the cemetery Gower system</p> <p>c) In the cases of infant burials and burials without a funeral director, a covering letter is sent as the invoice wording is not customer friendly for families suffering a bereavement, these were designed with funeral directors in mind</p> <p>d) A more robust system is in place for chasing invoices outstanding after 30 days, this will be part of the E-finance system when in place</p> <p>e) Accurate records of chasing are being kept at the cemetery which includes copies of all letters and notes of phone conversations</p>	Environmental Services Client Manager (Parks & Open Spaces)	31 August 2016	✓	<p>31 October 2016</p> <p>31 December 2016</p>

Cemeteries 2015/16

Final report issued May 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	<p>g) The overall results of the quarterly review, including the total outstanding debt figure, should be reported to and monitored by Senior Management.</p> <p>h) Documented terms should be agreed with all Funeral Directors, specifically clarity on who will be invoiced and responsible for payment.</p>		<p>f) This will be covered in the Council's e-finance system once in place</p> <p>g) See above</p> <p>h) To be discussed with funeral directors that request us to invoice customers direct</p> <p>Position – February 2017</p> <p>a) The hardware at the cemetery is in place for finance records to be completed via the council's e-finance system.</p> <p>b) Invoices are sent at time of burial from the cemetery Gower system</p> <p>c) In the cases of infant burials and burials without a funeral director, a covering letter is sent as the invoice wording is not customer friendly for families suffering a bereavement, these were designed with funeral directors in mind</p> <p>d) A more robust system is in place for chasing invoices outstanding after 30 days</p> <p>e) Accurate records of chasing are being kept at the cemetery which includes copies of all letters and notes of phone conversations</p> <p>f) Programmed into regular one to ones</p> <p>g) In place</p> <p>h) Discussed with funeral directors that request us to invoice customers direct.</p>				

Audit Plan 2016/17

Freedom of Information 2016/17							
Final report issued August 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline

Freedom of Information 2016/17							
Final report issued August 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	<p>We recommend that FOI procedures regarding Client Liaison Officer (CLO) / Customer Service Team Leader (CSTL) responsibilities are updated and a response protocol particularly for when responses should go via Communications be drafted.</p> <p>The procedures should show the date of last review and be subject to periodic review.</p>	Merits Attention	<p>Agreed</p> <p>Position – September 2016 No further update on above as final audit report only issued on 11 August 2016.</p> <p>Position – November 2016 Currently in the process of being rolled out – on target for completion by 30 November 2016.</p> <p>Position – February 2017 This has been completed. The CSC identify media/sensitive requests and ensure copies go to Communications (Debbie Bacon) for her input. Procedure notes completed and for TL review 1/4/17.</p>	Customer Services Team Leader	31 December 2016	✓	
03	<p>We recommend that all EIR requests are identified as such when recorded, as there are some specific regulations that may need to be applied.</p>	Merits Attention	<p>Agreed</p> <p>Position – September 2016 No further update on above as final audit report only issued on 11 August 2016.</p> <p>Position – November 2016 Currently in the process of being rolled out – on target for completion by 30 November 2016.</p> <p>Position – February 2017 This has been completed. All EIR requests are identified on the reporting template and details included on updated procedure note for CLO's.</p>	Client Liaison Officers	30 April 2017	✓	

Freedom of Information 2016/17							
Final report issued August 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
04	We recommend that regularly requested information such as Public Health Funerals is published on the Council's website.	Merits Attention	<p>A review of the associated information requested about Public Health burials is being undertaken and if this indicates supply of information on the web would be of benefit this will be undertaken and regularly updated.</p> <p>Position – September 2016 No further update on above as final audit report only issued on 11 August 2016.</p> <p>Position – November 2016 Review underway.</p> <p>Position – February 2017 Template being designed and frequently requested information to be placed on the website. Some more sensitive information occasionally requested not to be included. To be on the web by end of March</p>	Environmental Health and Licensing Section Head	31 December 2016	x	1 April 2017
	We also recommend that the Lead Officer's half year report could be improved by detailing the FOI and EIR request split and including details of reviews / appeals which indicate additional staff time used.		<p>Once Client Liaison Officers have been trained and are differentiating the requests</p> <p>Position – September 2016 No further update on above as final audit report only issued on 11 August 2016.</p> <p>Position – November 2016 Will be progressed for next half yearly report.</p> <p>Position – February 2017 As November comment. Half yearly report not yet due.</p>	Head of Democracy & Governance	30 April 2017	x	

Section 106 2016/17**Final report issued September 2016**

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
02	<p>We recommend that the Service should produce a new SPD for Section 106 and Affordable Housing at the earliest opportunity.</p> <p>Once published, the SPD should be reviewed on a regular basis to ensure it remains current.</p>	Medium	<p>Most contributions are received through the Community Infrastructure Levy (CIL) and the CIL Charging Schedule has now superseded both the existing SPD and the Planning Obligations Guidelines for calculating the contributions for these cases.</p> <p>However, we do see the merit in updating the SPD for the contributions that are still received through Section 106 as well as the Affordable Housing contributions.</p> <p>Position – November 2016 Work has already commenced on the affordable housing SPD and a separate framework agreement for planning obligations. Both of these documents are on track to be published by the 30 June 2017.</p> <p>Position – February 2017 The Affordable Housing SPD continues on track. This will be tackling the issue of commuted payments. A first draft will be available mid-March for discussion. Initial stakeholder workshops are to be organised with developers etc, prior to first draft consultation going out to the wider public. Therefore, the timescale for this first draft will be due end of May. The Developer Contributions SPD work has been suspended following the publication of the</p>	Planning Policy Section Head	30 June 2017	x	

WBC Internal Audit Recommendations Follow Up – February 2017
APPENDIX C

Section 106 2016/17 Final report issued September 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
			national CIL Review work which is advocating a new modified Local Infrastructure Tariff and partial return to s106. It is understood that the Government will be making further announcements in November. Consequently the Developers contributionsSPD is awaiting the outcome from Government as there are likely to be significant changes in legislation.				

Museum Exhibits 2016/17 Final report issued November 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
01	We recommend that the stock of museum artefacts be checked on a regular basis, in accordance with guidance available for museums	Merits Attention	A procedure for regular stock taking through an industry-approved computer cataloguing system is in place, but due to IT issues the museum's computer cataloguing	Heritage & Arts Manager, Museum Curator	31 March 2017	✕	

WBC Internal Audit Recommendations Follow Up – February 2017 APPENDIX C

WBC Internal Audit Recommendations Follow Up – February 2017 APPENDIX C

Museum Exhibits 2016/17

Final report issued November 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
	similar to Watford.		<p>system, MODES, cannot be employed to best practice. Sarah Priestley has been in contact with IT regarding these issues.</p> <p>Position – February 2017 IT is in the process of procuring Wifi and laptops to enable the effective use of MODES.</p>				
02	<p>We recommend that the museum ascertain the position for the practice of deployment of emergency plans.</p> <p>We recommend consideration is given to any necessary changes to the Emergency Plan should the Heritage Lottery Fund be successful.</p>	Merits Attention	<p>Practices of emergency plans were incorporated into the museum's planning during the course of November 2016 and this is now considered to be implemented.</p> <p>We have been in contact with Facilities Management regarding best practice and new emergency boxes will be purchased.</p> <p>Position – February 2017 Emergency box being ordered to go in the Salvage Store at the Town Hall.</p>	Heritage & Arts Manager, Museum Curator	<p>Implemented</p> <p>31 December 2016</p>	<p>✓</p> <p>✓</p>	

Contract Management 2016/17

Final report issued January 2017

WBC Internal Audit Recommendations Follow Up – February 2017**APPENDIX C**

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
01	We recommend that all invoices are checked for accuracy of charges made before payment is made to the supplier.	Merits Attention	Agreed Position – February 2017 Implemented	Transport & Infrastructure Section Head	Implemented	✓	