

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
05	The ICT Shared Service should ensure the two-factor user authentication solution is enabled for remote users to gain remote access to the Council networks.	Important	<p>Agreed</p> <p>Position - June 2012 This has been installed and we are in the process of testing this functionality</p> <p>Position - August 2012 Rollout of this functionality is being planned and intended to be in place within the deadline.</p> <p>Position - November 2012 No change from August update</p> <p>Position - January 2013 Two factor authentication has not been rolled out but is planned to be completed before service commencement with Capita.</p> <p>Position - May 2013 Dual Factor Authentication on current equipment will not be compliant with PSN CoCo standards. This will be reviewed during transformation.</p>	ICT Client Manager	June 2012	x (part met)	<p>Dec 2012</p> <p>May 2013</p> <p>Dec 2013</p> <p>Mar 2014</p> <p>TBC</p> <p>November 2014</p>

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Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Position - August 2013 Review of the technology required in order to meet PSN standards is underway. This is being completed in conjunction with a number of other work streams related to PSN compliance. Dual factor authentication is essential for accreditation with the PSN and is required by the cabinet office for Nov 2013.</p> <p>Position - November 2013 Controlled rollout is currently in progress, including revised user instructions.</p> <p>Position – February 2014 The tokens are in the progress of being deployed to staff. Once this is completed use of a single sign on with password only will be switched off.</p> <p>Position – May 2014 The rollout has been suspended following a performance issue with the appgate homeworking solution. This is currently being investigated. 2FA will continue to be rolled out following the resolution of this.</p>				

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			<p>Position – August 2014 Ongoing issues with the performance of Appgate, the W3R homeworking solution, and therefore the rollout has been suspended until a resolution has been found.</p>				
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 	Important	<p>Agreed. Government Code of Connection stipulates that they have only approved Blackberry's for use as mobile devices. There are currently more critical priorities to address within ICT and this is where the focus will lie.</p> <p>The implementation of a Blackberry Enterprise Server will address the above recommendation and will be identified as a future project for the ICT Service.</p> <p>Position - August 2012 Due to the large resource and investment required with this, it will be assigned a priority once the future of the ICT Shared Service is known.</p>	ICT Client Manager	March 2013	x	March 2014 Dec 2015 (Not yet due)

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	<p>short distance data transfer; and</p> <ul style="list-style-type: none"> 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 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</p>		<p>Position - November 2012 The councils are currently conducting due diligence with the preferred supplier for the ICT Service. Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting.</p> <p>Position - January 2013 Mobile telephony is outside the proposal. Implementation of a Blackberry solution which can provide all of these requirements has been included as part of 13/14 project requirement and will be discussed during transformation.</p> <p>Position - May 2013 No change from above.</p> <p>Position - August 2013 Recommendation not yet due for completion. It should be noted that the PSN compliance requirements will impact the solution to this recommendation.</p> <p>Position - November 2013</p>				

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Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>No change to above. This needs to be prioritised in line with other ICT projects. Government directive for PSN (Public Services Network), now states that unmanaged end user devices e.g. personal computers etc, should be addressed and compliant for use on the PSN by 2015 accreditation. A revised timeframe for implementation of this recommendation needs to be agreed.</p> <p>Position – February 2014 Already requested that this deadline is moved to Dec 2015, in line with PSN requirements to manage data on mobile devices.</p> <p>Position – May 2014 Recommendation not yet due for implementation.</p> <p>Position – August 2014 Not yet due</p>				

**WBC Internal Audit Recommendations Follow Up – August 2014
Audit Plan 2011/12**

APPENDIX 3

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>Agreed</p> <p>Position - August 2012 This has not progressed due to resource constraints caused by work on the ICT Outsourcing</p> <p>Position - November 2012 The councils are currently conducting due diligence with the preferred supplier for the ICT Service. The decision to outsource will have a large impact on the strategy.</p> <p>Position - January 2013 Capita can help with advice on this but the responsibility for this lies with the ICT Client Manager roles which are currently being advertised at both councils.</p> <p>Position - May 2013 ICT Client Managers have now been appointed. Due to the high workload during transition to Capita the revised deadline has been amended.</p>	ICT Client Manager	October 2012	*	<p>Mar 2013</p> <p>May 2013</p> <p>Sept 2013</p> <p>May 2014</p> <p>Sept 2014</p>

IT Project Management 2011/12							
Final report issued November 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position - August 2013 No change to above. Terms of reference for the IT Steering group have been amended to reflect the requirement for the development of an ICT strategy.</p> <p>Position - November 2013 Technical strategy is underway. ICT Client management team are working with Capita SIS to develop an approach to the overall ICT strategy in parallel to this.</p> <p>Position – February 2014 No change.</p> <p>Position – May 2014 Underway. Terms of Reference have been agreed with the Council. Officers involved with interviews have been briefed and all interviews have been scheduled. Interviews span from mid-June to end of July and report is expected for review by end of August 2014.</p> <p>Position – August 2014</p>				

IT Project Management 2011/12							
Final report issued November 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			On track. Report to be completed by end of September.				

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>Agreed</p> <p>Position - January 2013 This work will be undertaken by Capita during transition and transformation.</p> <p>Position - May 2013 As above, Capita will propose a full disaster recovery plan, post data-centre move (scheduled for Q4 2013).</p> <p>Position - August 2013 No change from May update. It should be noted that as part of the contract Capita will work with the Councils to define and implement a back-up strategy and policy. This includes working with business services to</p>	ICT Client Manager	May 2013	<p>*</p> <p>In progress</p>	<p>Dec 2013</p> <p>May 2014</p> <p>Sept 2014</p> <p>Oct 2014</p>

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
			<p>define appropriate frequency of backups with RPO's where appropriate of 30 minutes. Data centre move design has commenced and a risk assessment will be included within this planning.</p> <p>Position - November 2013 Disaster recovery scoping meeting has taken place. Disaster recovery plan has been included within the Data Centre Migration PID (Project Initiation Document) as a deliverable.</p> <p>Position – February 2014 This is being progressed through the data centre migration project. There is a backup workstream within this project which is currently assessing all backups. Note the revised data centre migration is end of June 2014. This allows for critical Council business, year end, elections, and IER go live and was agreed at 10th Dec – ITSG.</p> <p>Position – May 2014 In progress. Backup solution architect is currently assessing ability to recover. This is all feeding into the</p>				

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
			<p>data centre migration project. IER dates have changed to mid-end of June and the data centre migration move will be adjusted to accommodate that.</p> <p>Position – August 2014 Revised backup solutions documented and are currently being costed by Capita ready for implementation in line with the data centre migration. Backup solution implementation target was mid Sept, and has been revised to end of Oct 2014.</p>				
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 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.	Essential	<p>Agreed</p> <p>Position - January 2013 A DR test is being planned before the service is transferred to Capita are expected to continue this into the future.</p> <p>Position - May 2013 Due to extensive workload in the run-up to service commencement, a “dry run” of the existing Disaster Plan has not been carried out. However,</p>	ICT Client Manager	March 2013	* (part resolved)	Dec 2013 Apr 2014 June 2014 Dec 2014

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
			<p>existing arrangements with both of our continuity providers have been amended and re-signed for a period of one year. Before the expiry of these agreements, Capita will have their own Disaster Plan in place (post data centre move).</p> <p>Position - August 2013 Data centre move design planning has commenced. It has been agreed that revised BC/DR plans will be created in parallel with the data centre move itself. As part of the Capita contract Councils can ask for ad-hoc restores of random files to verify effective backups. This quality check is the responsibility of ICT client managers and is an aspect of monthly service delivery meetings.</p> <p>Position - November 2013 DR contract vendor has been contacted to arrange a DR test post data centre migration. This will be arranged to take place before April 2014.</p>				

IT Back up and Disaster Recovery 2011/12

Final report issued December 2012

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			<p>Position – February 2014 In progress. Engagement with existing DR vendors has taken place, as well as a review of service continuity plans. DR test will take place prior to the data centre move at the end of June 2014.</p> <p>Position – May 2014 In progress. DR test to be scheduled in line with data centre migration plans.</p> <p>Position – August 2014 Data Centre Migration scope has expanded to include additional works to de-risk “Lift and shift” of W3R equipment. For example where there is aged equipment e.g. file and print server for Watford, this data will be transferred to the new SAN (Storage Area Network) prior to the move itself. This has therefore contributed to the movement of the Data Centre migration deadlines.</p>				

WBC Internal Audit Recommendations Follow Up – August 2014
Audit Plan 2012/13

APPENDIX 3

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>Agreed</p> <p>The Council is waiting for Capita to respond with their view on outstanding settings. They are planning to virtualise the remainder of servers and move them up to their own data centre within the first year of the contract, which should go live in May 2013.</p> <p>Position - January 2013 Capita will be moving all servers to their data Centre in Chippenham by December 2013 with new hardware and vmware installations. This recommendation will be incorporated into the design of this implementation.</p> <p>Position - May 2013 The above position has been endorsed and supported by the ICT Client Management Team.</p> <p>Position - August 2013 Data centre design has commenced. Within the design itself all vmware environments will be reviewed and</p>	ICT Client Manager	November 2013	* (part resolved)	Dec 2013 May 2014 Sept 2014 Nov 2014

IT Server Virtualisation (ICT) 2012/13

Final report issued December 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>aligned with best practice standards.</p> <p>Position - November 2013 In progress</p> <p>Position – February 2014 VMWare design document completed and signed off. This doc includes a review of all current virtual servers. Awaiting implementation in line with data centre migration.</p> <p>Position – May 2014 Servers currently being re-configured in line with design documentation. This is a prerequisite for the data centre migration. E.g. single fibre paths being replaced with dual fibre paths, thereby increasing resilience.</p> <p>Position – August 2014 This is progressing as per the update above. Data Centre Migration scope has expanded to include additional works to de-risk “Lift and shift” of W3R equipment.</p>				

Risk Management 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.3.2	<p>There should be effective action plans in place to address significant risks identified in the Service Risk registers. The action plan may include for example the following areas :</p> <ul style="list-style-type: none"> - Detailed action to be taken, - Officer(s) responsible for taking action, - Timescales for implementing appropriate action. 	Important	<p>Agreed</p> <p>Position - May 2013 Not yet due.</p> <p>Position - August 2013 Head of Democracy and Governance just taken over lead responsibility for risk. Meeting of Risk Management Group scheduled early September 2013 to review risk registers.</p> <p>Position - November 2013 Progress on updating service risk registers and actions plans to be reviewed at meeting in November.</p> <p>Position – February 2014 Action plan template circulated to service heads for completion. Will be discussed at next Group meeting.</p> <p>Position – May 2014 In progress</p> <p>Position – August 2014 Action plans discussed at Group. Not yet implemented.</p>	Head of Democracy & Governance	30 th June 2013	*	<p>31 Oct 2013</p> <p>Feb 2014 for Service risk registers and action plans to be updated</p> <p>Sept 2014</p> <p>March 2015</p>

Audit Plan 2013/14

Procurement and Contract Management Baseline Assessment							
Final report issued October 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
03	In order to ensure all information contained on the Council's website is up to date and accurate, we recommend that a review of the 'Tenders and Contracts' area of the website is undertaken and, where necessary, changes are made. The review should include all documents available online and the supplier portal area.	Merits attention	<p>Position – November 2013 Not yet due</p> <p>Position – February 2014 Update CPR's uploaded as key procurement document. Terms of Reference meeting due 06/02 to establish a Task Group, as part of the Contract Management Forum, to develop a Toolkit for Procurement and Contract Management.</p> <p>Position – May 2014 Terms of Reference agreed for Toolkit Task Group. Task Group has since met twice on 20/03 and 01/05. Next meeting due 20 June 2014. Work for task group has been prioritised and is in progress. TRDC invited to join the Contract Management Forum and Toolkit Task Group. Document folders for staff access established on the G Drive.</p>	Corporate Procurement Manager	31 January 2014	x	<p>31 March 2014</p> <p>November 2014</p>

Procurement and Contract Management Baseline Assessment							
Final report issued October 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			Position – August 2014 Not yet due				

Housing Redesign							
Final report issued December 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
04	The Council should ensure, for those Housing Associations which carry out their own short-listing of applicants that they comply with the Council's good practices.	Medium	Position – November 2013 Not yet due Position – February 2014 Taken to Herts Choice Homes (HCH) Operational Group in January 2014. Agreed that amendments need to be made to service level agreements and a training session held for registered providers. To be taken forward by HCH Co-ordinator who is based at Three Rivers District Council. Position – May 2014	Housing Supply Manager	31 March 2014	*	28 July 2014 31 Decemb er 2014

Housing Redesign Final report issued December 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			28 July 2014 will be a workshop with Registered Providers and the local authorities to ensure shared understanding of roles in relation to redrafted SLAs. Position – August 2014 Workshop has taken place and partners have proposed options regarding the Herts Choice Homes Service Level agreements which set out how much of the shortlisting process is carried out by registered providers. Good practice regarding verification of applicants to be circulated for partner consideration. Partners need to assess the resources required to carry out more or less of the shortlisting process and appropriate redrafting of SLAs and training will need to be undertaken.				
06	The Nomination Policy should be completed and approved. A review cycle should be agreed and a designated	Medium	Position – November 2013 Not yet due Position – February 2014 In draft and due at Cabinet July 2014.	Housing Section Head	31 August 2014	*	1 Sept 2014 13 October

Housing Redesign							
Final report issued December 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	officer assigned this task.		Position – May 2014 Revised Cabinet Date in order to accommodate requirements and outcome of elections. Position – August 2014 Due at Cabinet October 2014.				2014
07	Housing assessments and short-listing systems should be fully documented at the earliest opportunity.	Medium	Position – November 2013 Not yet due Position – February 2014 Not yet due. Shortlisting process has been documented. Housing assessments work to be progressed in February 2014. Position – May 2014 Systems most sensibly to be documented as part of implementation of new Nomination Policy. Position – August 2014 Not yet due	Housing Supply Manager Housing Demand Manager	31 March 2014	*	November 2014

Commercial Rents							
Final report issued January 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
02	Procedure notes should be written for commercial rents activity (rent reviews, aged debt recovery and reconciliations). The procedures should be reviewed and updated periodically (e.g. annually) and a review log maintained.	Merits Attention	Position – February 2014 Not yet due Position – May 2014 No update received Position – August 2014 Completed	Property Manager	31 March 2014	✓	

Veolia Contract							
Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
02	To provide early warning of Veolia and other key contractors used by the council entering into financial difficulty, it would be beneficial for the council to introduce corporate arrangements to monitor on-going financial viability of the main service providers and	Merits Attention	Agreed Position - February 2014 Not yet due Position – May 2014 Not yet due Position – August 2014	Lesley Palumbo, Head of Corporate Strategy and Client Services	On-going (to be reviewed 12 months after issue of final report)	x	

Veolia Contract							
Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	suppliers, i.e. using a credit agency, so that there is a permanent watch on these companies and the council is informed of any deterioration in their financial position.		Not yet due				
03	(2) The client team would like to record their inspections directly on to MIMS using electronic devices rather than maintaining the current paper based system; this is something we would endorse and encourage management to address in a timely manner.	Medium	Agreed Position – February 2014 Not yet due Position – May 2014 Not yet due Position – August 2014 It has now been agreed that the client team for the VES contract will have use of one handset which will allow MIMS to be interrogated whilst mobile. This is currently on track for a September start.	Jamie Sells, Environmental Services Client Manager (Waste and Recycling) and Paul Rabbitts, Environmental Services client Manager (Parks and Streets)	(2) = Sept 2014	*	
06	(1) A training needs analysis should be conducted to identify the knowledge and skills gaps within the client team, both at team and	Medium	Agreed. Training and development needs for staff within the Veolia client team will be identified through the annual appraisal process. Members of the client team have attended the	Lesley Palumbo, Head of Corporate Strategy and Client Services	July 2014 (for staff appraisals) and on- going for	✓	

Veolia Contract							
Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>individual levels.</p> <p>(2) External training courses delivered by professional bodies (such as the Chartered Institute of Purchasing and Supply), around developing contract management competences should be investigated as well as professional membership.</p> <p><i>Note: Hertfordshire County Council is developing contract management training, which it intends to make available to other local authorities in 2014/2015; this may be a cost effective solution to plugging skills gaps within the client team.</i></p>		<p>procurement lunch and learn sessions run by the council.</p> <p>Training and development for all contract management teams is being co-ordinated centrally through the council's contract management forum.</p> <p>Position – February 2014 Not yet due</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 Individual staff training needs were identified during appraisal process in June and staff have accessed corporately held training sessions identified and implemented through the corporate contract management forum as well as the council's Step Forward programme.</p>		team training and development		

Counter Fraud Arrangements in the Shared Service Benefit Fraud Team

Final report issued February 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	The Benefits Fraud Shared Service should produce an annual work plan outlining proactive work and resource allocation.	Merits Attention	<p>Agree to the principle providing we maintain the ability to flex given fraud referrals/risks are not provided in advance indicating where exact resources should be made available.</p> <p>A review of current risk assessments would be required in order to allow the allocation of a plan of proactive work. Proposals and timetable to be agreed with Director of Finance. Target date set is to agree proposals.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 The fraud service with Sfis scheduled for 2015 has lost 2 members of staff. It is currently exploring options. Until this position is agreed no changes are appropriate as it would take resources away from reactive referrals. Matter to be agreed by Jo Wagstaffe.</p>	Fraud Manager	1 June 2014	*	Dec 14

Counter Fraud Arrangements in the Shared Service Benefit Fraud Team							
Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	<p>Going forwards in 2014/15 the Benefits Fraud Shared Service should consider undertaking a proactive intervention exercise to identify and investigate relief claims and empty properties.</p> <p>This should be considered in the context of the financial incentive introduced by the business rates retention scheme.</p>	Medium	<p>Agreed. Target date is to agree proposals for training. This is an area not previously investigated and is highlighted as a major risk by the Audit Commission report 2013.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 The fraud service with Sfis scheduled for 2015 has lost 2 members of staff. It is currently exploring options including exercises appropriate to identify empty properties and NNDR avoidance. Until this position is agreed no changes are appropriate as it would take resources away from reactive referrals. Matter to be agreed by Jo Wagstaffe.</p>	Fraud Manager	1 June 2014	*	Dec 14
03	The Benefits Fraud Shared Service should consider undertaking a proactive intervention exercise to investigate Single Person Discount cases.	Merits Attention	<p>Agreed. Target date is to agree proposals as above.</p> <p>Previously only facilitated data matching. Managing whole process may provide resources to be able to</p>	Fraud Manager	1 June 2014	*	Dec 14

WBC Internal Audit Recommendations Follow Up – August 2014

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Counter Fraud Arrangements in the Shared Service Benefit Fraud Team							
Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			accurately determine discounts allocated. Position – May 2014 Not yet due Position – August 2014 We have data from NFI to explore with Revs and Bens – this is proactive in addition to matching that takes place with County. It is yet to be assessed?				

Asset Management							
Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Internal Audit endorses management actions to progress acquisition of external resources to assist in the digitalising of the Council's property assets and the updating of the Atrium property management system.	Merits Attention	Property Service is currently undergoing review and the report is due in June 2014. This recommendation will be considered for action depending on the outcome of the review. Position – May 2014 Not yet due	Jane Custance, Head of Regeneration and Development	30 September 2014 (Not yet due)	*	

Asset Management Final report issued February 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			Position – August 2014 Not yet due				
04	Consideration should be given for the pro-forma to be sent electronically to each service, as this will ensure that the information reaches all departments promptly. A trail of emails can be maintained for evidence purposes.	Merits Attention	Property Service is currently undergoing review and the report is due in June 2014. This recommendation will be considered for action depending on the outcome of the review. Position – May 2014 Not yet due Position – August 2014 Not yet due	Jane Custance, Head of Regeneration and Development	30 September 2014 (Not yet due)	x	

WBC Internal Audit Recommendations Follow Up – August 2014

APPENDIX 3

Council Tax							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Procedures covering key risk areas and single points of failure for the Revenues Team should be documented and reviewed on a regular basis.</p> <p>Procedures should be proportionate and consideration given whether they are best held electronically within Academy or as a separate manual. They should not duplicate help functions within the Academy system or other existing written guidance.</p>	Merits Attention	<p>Agreed. The service is currently reviewing all practices and procedures within the Revenues Service including recovery of debts, This review will be completed by end of June 2014.</p> <p>Procedure notes will be documented following the review.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 Not yet due</p>	Robert Della-Sala, Head of Revenues and Benefits	30 September 2014 (Not yet due)	*	
02	<p>The declaration of interest form should be reviewed to ensure it provides adequate protection to the respective Councils.</p> <p>Completed forms should be checked to ensure all staff who have (and need) access to the Academy system have returned a conflicts of interest form. This should be extended</p>	Medium	<p>Agreed</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 Completed</p>	Robert Della-Sala, Head of Revenues and Benefits	30 June 2014	✓	

WBC Internal Audit Recommendations Follow Up – August 2014

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Council Tax							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	to staff outside of the Revenues and Benefits service, for example Customer Service Centre (CSC) staff. On receipt of signed declarations, access to declared accounts should be restricted.						
03	The service should ensure that following the receipt of the Valuation Office (VO) lists, amendments of the Academy records are carried out promptly.	Medium	Agreed. Progress has been made in processing VO lists. The Revenues Service is going to implement the VOA interface in Academy system, which will improve the process. The VOA interface should be operational by 30 September 2014. Position – May 2014 Not yet due Position – August 2014 Completed	Robert Della-Sala, Head of Revenues and Benefits	30 September 2014 (Not yet due)	✓	
04	Disabled discounts, exemptions and empty properties should be reviewed as a whole for both WBC and TRDC to ensure that the	Medium	Agreed. We are going to work out a programme of reviews for this year. Because of the backlog this has not previously been possible.	Robert Della-Sala, Head of Revenues and Benefits	In year and completed by 31 March 2015	* (On-going)	

Council Tax							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	system is cleared of any obsolete data.		A plan will be in place by the end of May 2014 to undertake a rolling review throughout 2014/15. Position – May 2014 Not yet due Position – August 2014 Not yet due				
05	The older entries on the suspense account should be reviewed, and where the payment cannot be linked with an account, consideration should be given for the amounts to be written off.	Merits Attention	Agree. Will be implemented immediately. Position – May 2014 Not yet due Position – August 2014 Completed	Robert Della-Sala, Head of Revenues and Benefits	30 June 2014	✓	
06	A sample of refunds should be checked by the Billing Team Leader as part of the authorisation process, which will act as a double check to ensure accuracy of processed refunds. We recommend a ten per cent check.	Medium	Agreed. The Quality Assessment process for refunds is being reviewed and a 10% maximum sample will be checked. Position – May 2014 Not yet due Position – August 2014	Robert Della-Sala, Head of Revenues and Benefits	30 June 2014	✓	

WBC Internal Audit Recommendations Follow Up – August 2014

APPENDIX 3

Council Tax							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			Completed				
07	A strategy for debts returned from the bailiff after unsuccessful collection attempts should be documented and agreed, and a threshold set for further recovery action in accordance with the associated cost / benefit considerations.	Medium	<p>Agreed. Bailiff module of Academy system will be introduced, which will allow the Revenues and Benefits Service to monitor the debts properly. WBC arrears have been cleansed and TRDC arrears are being cleansed currently.</p> <p>Debts with bailiff's will be managed properly after the cleaning exercise is over.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 Not yet due</p>	Robert Della-Sala, Head of Revenues and Benefits	30 September 2014 (Not yet due)	*	
09	Differences within the reconciled Direct Debit amounts should be detected and rectified promptly.	Medium	<p>Agreed. Income on the Academy system matches, but there are errors within the spreadsheet, which are giving wrong results. A lot of staff resources are spent trying to find the errors.</p> <p>When the processes are reviewed, the spreadsheet will be discontinued</p>	Robert Della-Sala, Head of Revenues and Benefits	30 September 2014 (Not yet due)	*	

Council Tax							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			and the balancing module on the Academy system will be used to carry out income reconciliations. Position – May 2014 Not yet due Position – August 2014 Not yet due				
10	As part of a wider Academy system access review: 1) The System Administrator role should be defined and access rights amended accordingly. 2) Access rights for Academy system users should be reviewed to ensure access granted is commensurate with each role. 3) Leavers should be promptly removed from Academy.	High	Agreed. This action will be carried out by the Systems Administrator. Position – May 2014 Not yet due Position – August 2014 Completed	Robert Della-Sala, Head of Revenues and Benefits	To commence with immediate effect	✓	

Budget Monitoring							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Recommendation to be considered post SIAS comparative review (currently in progress):</p> <p>1) Procedure notes for the new system should be documented to reflect changes in established processes.</p> <p>2) Thereafter, review of these procedure notes should be undertaken periodically.</p>	Merits Attention	<p>Agreed that procedure notes should always be documented and kept up to date however, our procedure notes remain fit for purpose.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 Not yet due</p>	Finance Managers (Stephen Exton / Brian Collett)	30 September 2014 (Not yet due)	*	
02	<p>Recommendation to be considered post SIAS comparative review (currently in progress):</p> <p>1) The requirement for Heads of Service / budget holders to submit budget returns, including nil-returns, each month should be reinforced to provide assurance that</p>	Medium	<p>Agreed. Finance does continuously seek to obtain full Heads of Service compliance. The latter are fully aware of their responsibilities.</p> <p>Limited resource in Finance does not allow for oversight role. However, Finance will remind all Heads of Services of their budget responsibilities.</p>	Heads of Services (Leadership Team) & Finance Managers (Stephen Exton / Brian Collett)	31 July 2014	*	30 Sept 2014

Budget Monitoring							
Final report issued April 2014							
	budgets are being monitored.		Non-responses will be escalated to Leadership Team.				
	2) Services not sending any returns should be chased by the Finance Shared Service to ensure compliance with the established process.		Position – May 2014 Not yet due Position – August 2014 Leadership Team agreed new process August 2014.				

Creditors							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	1) Backing documentation should be received in all cases prior to the creation of a new supplier account. 2) Segregation of duties should be enforced to ensure that all new supplier accounts created are reviewed by a second, senior member of staff within the Accounts Payable team.	High	New suppliers are created by 3 routes: 1. Payment voucher - request - has 2 people in the request so no further control is required. 2. Supplier pack – Accounts Payable will create these suppliers and the supplier code will be confirmed by another member of the team.	Tracy Langley – Senior Finance Officer	30 September 2014 (Not yet due) 30	* *	

Creditors							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>3) Independent checks to confirm amendments to supplier details should be recorded on the written request for the amendment in all cases.</p> <p>4) A regular report of changes to supplier bank details should be run and reviewed by an independent officer prior to the release of payments to ensure that all such changes are appropriate.</p>		<p>3. New suppliers -requested via Budget Monitor II -the Senior Finance Officer will remind staff to retain hard copies of the original details used to request the new supplier.</p> <p>Consideration will be given to creating a form to be completed when amending bank details to ensure a standard approach. Will review whether printing the BM II report is sufficient or a bespoke report on a monthly basis. Existing Finance resources will be a limiting factor.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 1. Email will be sent in September to remind all staff to retain hardcopies of documentation in respect of new suppliers. 2. Where new suppliers are created entirely by Finance staff without an appropriate signed document 2 different members of staff are involved in creating the record</p>		<p>September 2014 (Not yet due)</p> <p>30 September 2014 (Not yet due)</p>	*	

Creditors							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>3. Senior Finance Officer will create a form to standardise how changes to supplier Bank details are recorded – Will be done by 30th September</p> <p>4. Finance Managers and Senior Accountants will continue to run the report on BM II which highlights Bank changes before releasing BACS payments. This is considered sufficient control as robust controls are in place around Bank changes.</p>				
04	A regular review should take place to ensure that card holder limits are commensurate with roles and responsibilities and Council requirements. Such reviews could be integrated into the existing process to review authorisation limits with heads of service.	Merits Attention	<p>Procedure notes and policies rarely change but are kept under review. Agreed to implement a review with Heads of Service.</p> <p>Position – May 2014 Heads of Service have been contacted for confirmation of limits awaiting responses. 22/05/14.</p> <p>Position – August 2014 Review undertaken for Watford May 2014. Three Rivers will be reviewed by the Head of Finance</p>	Tracy Langley – Senior Finance Officer	30 September 2014 (Not yet due)	* (part met)	

WBC Internal Audit Recommendations Follow Up – August 2014

APPENDIX 3

Creditors							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			shortly. We are looking to change card providers in the near future so a full review will be made then.				

Main Accounting							
Final report issued April 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Access rights of general users to e-Financials / general ledger, as well as those with enhanced administrator rights, should be reviewed on a regular basis, e.g. annually.</p> <p>This control procedure should be evidenced, either through an electronic audit trail on e-Fin, or confirmed by a senior officer for review purposes.</p>	Medium	<p>Not considered a significant risk. Only Finance staff are able to make changes to data / records. No new Finance staff set-up since the last reviews. A review of access rights will be undertaken.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014 Not yet done will be completed by End of December 2014 together with a review approval levels.</p>	Tracy Langley – Senior Finance Officer	30 September 2014 (Not yet due)	*	31 December 2014

Debtors							
Final report issued May 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Evidence should be retained for all amendments to customer details.	Merits Attention	Agreed – this should not be the case. Position – May 2014 Not yet due Position – August 2014 Completed	Robert Della-Sala, Head of Revenues and Benefits	30 June 2014	✓	
02	i) Remind staff of the need to follow up aged debt in accordance with Council policy. ii) Increase monitoring of aged debt categories to ensure that debts are being chased in accordance with debt recovery procedures.	Medium	A root and branch review of this team is due to take place in Q1. The issue has been identified already and an aged debt analysis will be reported to Leadership / Management Board starting from 1 April 2014. This will include a review of bailiffs / committals and the re-introduction of bankruptcy action. It is expected that a bailiff module in Academy is to be turned on subject to ICT availability which will give better management information about debts with the bailiffs. Position – May 2014 Not yet due	Robert Della-Sala, Head of Revenues and Benefits	30 September 2014 (Not yet due)	*	

Debtors							
Final report issued May 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position – August 2014 Aged debts are now being monitored on a monthly basis and reported to Leadership Board. Bailiff monitoring has just started. The bailiff module will not be implemented due to on-going IT problems.</p>				
03	<p>i) Explore the possibility of implementing system enforced segregation of duties between raising a credit notes and authorising them, for example an inbuilt workflow which does not release the credit note until authorised by a second individual.</p> <p>As a deterrent and to improve accuracy consider obtaining authorisation from the individual or service who raised the initial request.</p>	Medium	<p>It is intended to introduce a QA process into Revenues during Q2. This will include 10% sampling of cases which will be documented.</p> <p>Position – May 2014 Not yet due</p> <p>Position – August 2014</p>	Robert Della-Sala, Head of Revenues and Benefits	30 September 2014 (Not yet due)	*	31 March 2015

Cyber Risk							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	<p>Management should ensure that the Information Security policy is published and communicated to staff at the earliest opportunity.</p> <p>As the same is dependent on the security awareness training programme, management should prioritise the training programme to ensure staff are trained and aware of their security responsibilities.</p>	Medium	<p>Information Security Policy is in the process of being updated again due to the data classification scheme change by central government from April 1st 2014.</p> <p>Information Security training module needs to be altered to reflect the classification change and then deployed in conjunction with the policies to all users of the network.</p> <p>Position – August 2014 Not yet due</p>	Emma Tiernan – ICT Section Head	30 September 2014 (Not yet due)	x (partly met)	Nov 2014
02	<p>ICT Management, in conjunction with Capita, should conduct a detailed risk assessment to ensure all key risks and mitigating controls are identified.</p> <p>Specifically, cyber risks should be considered at the appropriate level on a regular basis by appropriately</p>	Medium	<p>Cyber risk has been included as a specific agenda item on the Information Security fortnightly meeting.</p> <p>Risk assessment will be scheduled as a high priority, with a view to working with Capita to update the risk register accordingly.</p> <p>Regarding establishing what the</p>	Emma Tiernan – ICT Section Head	30 September 2014 (Not yet due) 31	x x	

Cyber Risk							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>experienced / qualified staff.</p> <p>Management should be clear on the objective of the risk assessment (for example, what are they trying to protect) and have clarity over what is critical to both Councils.</p> <p>The risk assessment should capture both internal and external threats and particularly focus on user awareness and training.</p>		<p>Council is trying to protect, this is a large task around classifying Council data, hence the Dec 2014 target date.</p> <p>Position – August 2014 Information Security training module drafted.</p> <p>Security policy revision to include Data Classification completed and approved at ITSG – 5th August 2014.</p>		December 2014 (Not yet due)		
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> <p>b) Encryption procedures should be considered to ensure only authorised devices are used.</p>	High	<p>a) To be included within the operational risk register.</p> <p>b) Encrypted media devices are in the process of being deployed, however the aged desktop estate restricts a technical ability to “use” to Council devices only. This requirement to restrict will be included within the “IT Improvement Roadmap”.</p> <p>c) Existing policies will be reviewed, updated accordingly and</p>	Emma Tiernan – ICT Section Head	<p>30 September 2014</p> <p>30 June 2015 (Not yet due)</p> <p>30 September</p>	<p>✓</p> <p>*</p> <p>*</p>	

Cyber Risk							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	c) User training should be considered a key element of the process to enable a successful rollout.		changes reflected within the Information Security training e-module. Position – August 2014 a) Operational risk register updated b) Not Yet Due c) Policies updated and approved at 8 th Aug 2014 ITSG and training module drafted.		2014 (Not yet due)		
04	A periodic security training plan should be developed to ensure all staff at the Councils are aware of their responsibilities. The training plan should be incorporated for new joiners and existing staff.	Medium	In progress. This requires updating as per the recommendations above, as well as to reflect the change in data classification terms. Position – August 2014 Drafted – This will be written within Composica software– on site electronic training tool. All users will be tracked as they complete the training.	Emma Tiernan – ICT Section Head	30 September 2014	*	Nov 2014
05	Management should ensure that procedures performed by Capita to identify security	Medium	Monthly security management information reporting is in place. This needs to be developed further to align	Emma Tiernan – ICT Section Head	30 September 2014	*	

Cyber Risk							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	threats are evidenced and captured for review at the monthly service reporting meeting. Such procedures, where considered as controls, should be documented within the risk register (please refer to point 2 above).		with appropriate actions on the operational risk register. Position – August 2014 In progress, operational risk register is in the process of being reviewed.		(Not yet due)		
06	Management should ensure that a user access policy is drafted and published. Management could consider including the policy requirements as part of the existing IT Security policy.	Merits Attention	The policy is to be created. Position – August 2014 Not yet due	Emma Tiernan – ICT Section Head	31 December 2014 (Not yet due)	*	
07	Management should ensure that leaver accounts are removed on a timely basis. Leaver accounts should be disabled immediately after the leaving date and deleted after a short period of time.	Medium	As per recommendation 6, a user management policy should be created with associated procedures. This needs to be deployed appropriately to staff. Section Head to take this up with Capita Service Delivery Management. Position – August 2014 Not yet due	Emma Tiernan – ICT Section Head	31 December 2014 (Not yet due)	*	

Cyber Risk							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
08	<p>A process should be implemented to review incidents on a monthly basis and analyse the impact of such incidents.</p> <p>Further, this review should identify actions to be taken to prevent such incidents from taking place in the future.</p>	Merits Attention	<p>In progress. Vacant ICT Client Manager post filled as at 6th of May 2014. Statistics and performance management information is reviewed by the client management team on a monthly basis and reported to IT steering group. Provision of trend information and problem management is not currently as effective as it needs to be.</p> <p>Position – August 2014 W3R client management team has passed an account improvement plan to Capita, included within this is a focus on problem management. In addition to this W3R have provided Capita with a detailed requirements list in relation to management information to be provided with a specific focus on trending.</p>	Emma Tiernan – ICT Section Head	30 September 2014 (Not yet due)	*	Dec 2014
09	There should be formal, scheduled review and testing of the Disaster Recovery Plan on a periodic basis.	Medium	<p>In progress. Agreed as an outcome and deliverable of the data centre migration.</p> <p>Position – August 2014</p>	Emma Tiernan – ICT Section Head	31 December 2014 (Not yet due)	*	

Cyber Risk							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			Not yet due				

Health Campus							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	A periodic review should be carried out to assess the effectiveness of the measures put in place to mitigate the potential for conflicts of interest.	Merits Attention	Agreed. LABV board has agreed to undertake a review by 31 March and annually thereafter, and as prompted by events. Position – August 2014 Achieved and agreed at Partnership Board meeting in May 2014.	Managing Director	31 March 2015 and annually thereafter (Not yet due)	✓	
02	The Council should obtain confirmation from the LABV as to the assurance arrangements that are in place, in order to ensure that the LABV is acting in	Medium	Assurance requirements for each partner will be considered to ensure that there are no gaps and that any duplication of effort from the partners is minimised.	Director of Finance	31 March 2015 (Not yet due)	✓	

Health Campus							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	accordance with the principles of good corporate governance and in compliance with Council policies, as required by the Member's Agreement.		A report is to be provided to the board to consider any issues, which have been identified. Position – August 2014 Achieved and KPMG report circulated to Finance in July2014.				
03	The assurance requirements of the respective partners and any other funding bodies should be ascertained in order to ensure that adequate and effective assurance will be provided where needed throughout the course of the project.	Merits Attention	Assurance requirements for each partner will be considered to ensure that there are no gaps and that any duplication of effort from the partners is minimised. A report is to be provided to the board to consider any issues, which have been identified. Position – August 2014 This is achieved and Partnership Board Papers deal with the matter specifically.	Director of Finance	31 March 2015 (Not yet due)	✓	
04	The Council should confirm and approve the project methodology to be used.	Medium	Business Plans for the infrastructure and each development zone are being updated setting out milestones/target dates, risks and issues as well as financial monitoring information. Any	Programme Manager	30 June 2014	*	Dec 14

Health Campus							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>issues on the critical path will be highlighted.</p> <p>These will be reviewed on an on-going basis at both Operational Board and Partnership Board meetings.</p> <p>Position – August 2014 Detailed business plans are being prepared and will shortly be issued in draft form.</p>				
05	A detailed benefits realisation plan should be put in place at the earliest opportunity. This should be approved by the Partnership Board.	Medium	<p>Summary of discussion on 30 April:</p> <p>Management is confident that outputs are clear in the BAFO document and business plan. These relate to job creation and land remediation.</p> <p>Detailed plans for delivery are being developed which will specify success factors associated with delivery of benefits.</p> <p>Position – August 2014 This work is in hand and a full report is anticipated by Dec 2014.</p>	Programme Manager	30 June 2014	*	Dec 14

Health Campus							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
06	Resilience can be improved through assurance that effective knowledge management systems are in place and that project documentation is readily accessible by the appropriate officers.	Medium	<p>Summary of discussion on 30 April:</p> <p>Management are confident that there is resilience in this area with shared level of management team ownership / oversight of the project.</p> <p>Knowledge management arrangements will be reviewed.</p> <p>Since financial close of the agreement with Kier in June 2013, the methodology and key tasks for the projects are clearly set out in minutes of Operational and Partnership Board.</p> <p>As the scheme progress, the bespoke nature of the development and the knowledge is being dissipated widely amongst other senior staff.</p> <p>Position – August 2014 Once draft business plans are issued in the next 6 weeks they will further ensure that information and management systems are passed on as more people get involved in delivery stages.</p>	Programme Manager	31 March 2015 and on-going (Not yet due)	*	Dec 14

WBC Internal Audit Recommendations Follow Up – August 2014

APPENDIX 3

Health Campus							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
07	The WBC risks detailed on the Project risk register should be allocated to individual WBC senior officers.	Medium	The risk register will in future allocate WBC risks on an individual basis. This was raised at the latest operation board meeting and will be actioned immediately. Position – August 2014 Achieved and Operation and Board minutes allocate risks.	Programme Manager	31 May 2014	✓	
08	The Programme Manager should formally evidence the control check (sign and date) carried out of the fees against key performance indicators and a copy of this check should be kept centrally with the WBC project documentation for management reference and audit purposes.	Medium	Summary of discussion on 30 April: Recommendation agreed. Evidence of check to be provided to MD as assurance to support sign-off of invoices. The payment of fees against KPI's are regularly reviewed at Operation and Programme Boards but final MD assurance will in future be required as a robust check. Position – August 2014 Adopted in full.	Programme Manager	31 May 2014	✓	
09	The Programme Manager should ensure that the minutes of the Partnership Board clearly state if project management and development	Merits Attention	This recommendation has been actioned for inclusion in future minutes. Position – August 2014	Programme Manager	Completed	✓	

Health Campus							
Final report issued June 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	fees have been approved, before payments are made.		Completed				
10	<p>Documented procedures should be established for monitoring the following areas:</p> <p>a) Project management and development management fees made to Kier,</p> <p>b) Monitoring equity and receipt of payments due.</p> <p>Additionally, the procedures and documentation relating to the above, as well as the documentation regarding the payment obligations from WHHT to WBC, should be stored centrally with the WBC project documentation.</p>	Merits Attention	<p>This has been actioned.</p> <p>Position – August 2014 Completed</p>	Programme Manager	Complete d	✓	

Health & Safety							
Final report issued July 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Clear lines of responsibility should be decided upon, and a policy and procedures document should be drafted, outlining the staff members responsible for managing asbestos across Council buildings.	Medium	Create contact register of responsible persons and provide responsible persons training for identified Buildings Managers and key personnel. Insert into Asbestos Management Plan. Position – August 2014 Completed	Ian Browne - Head of Facilities Management	Completed	✓	
02	Ensure that actions arising from risk assessments are centrally recorded, allocated an owner, and actively monitored to ensure that they are completed on a timely basis. Introduce supervisory review which acts to hold responsible officers to account regarding the completion of risk assessment actions. Retain evidence of completion and sign-off centrally and on-site.	High	Instruct suitably qualified contractor to execute environmental clean-up of key identified areas from the plan. Update asbestos management plan to record these works. Place on file and copy to site log. Position – August 2014 Not yet due	Ian Browne - Head of Facilities Management	30 September 2014 (Not yet due)	*	

Health & Safety							
Final report issued July 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	Introduce robust monitoring checks to ensure that the required frequencies of checks are undertaken.	Medium	Introduce a robust file management system. Position – August 2014 Completed	Ian Browne - Head of Facilities Management	Completed	✓	
04	Those staff members responsible for the management of asbestos must be made fully aware, through asbestos awareness training, of the importance of issuing work permits, as well as completing asbestos logs, and their responsibility for doing so. Access requested by, and granted to, sub-contractors should be centrally logged by Buildings Managers. Building Managers should ensure that inspections of those properties containing asbestos are carried out at least once a year, and that a central log is maintained detailing the date of the	Medium	Create contact register of responsible persons and provide responsible persons training for identified Buildings Managers and key personnel. Insert into Asbestos Management Plan. Arrange for refresher programme to be annualised. Deliver an annualised programme of asbestos inspections by independent Company to ensure risk management is robust and identification of material degradation is noted for appropriate action. Position – August 2014 Not yet due	Ian Browne - Head of Facilities Management	31 March 2015 (Part completed - training regime being finalised and agreed with Supplier)	*	

Health & Safety							
Final report issued July 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	<p>inspection and the inspection outcomes.</p> <p>On-going monitoring of Buildings Managers should take place through spot checks, which will ensure that where work has been carried out on these properties, the asbestos log is being completed for the buildings.</p>						
05	<p>Signed contracts should be stored safely, in an agreed location, so that they are easily available for access when required.</p> <p>Both scanned and hard copies should be maintained in relation to all signed contracts.</p> <p>All contracts should be logged in a central contract register that is subject to regular review.</p>	Merits Attention	<p>Ensure future contracts for the Facilities Management service are signed and update the contract register by notification to the Procurement Manager.</p> <p>Position – August 2014 Completed</p>	Ian Browne - Head of Facilities Management	As and when required - completed	✓	

WBC Internal Audit Recommendations Follow Up – August 2014

APPENDIX 3

Health & Safety							
Final report issued July 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
06	Regular reconciliations should be performed against the asset register and asbestos and legionella risk registers, to ensure that properties that require testing under the authorities obligations are picked up as soon as possible.	Medium	Circulate list of properties within the contracts for asbestos and Legionella control to stakeholders for feedback and inclusion of properties where identified. Position – August 2014 Completed	Ian Browne - Head of Facilities Management	Completed	✓	

Audit Plan 2014/15

SLM & HQ Theatres Contract Management							
Final report issued July 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	Management should review the existing contract management procedures to ensure that these summarise the salient points from the contracts and provide a high level narrative on how the client team monitors the performance of each	Merits Attention	There is a guide to the leisure contract currently in place, however it requires updating and this will be actioned within the next quarter with a review mechanism in place. Position – August 2014 Not yet due	Prema Mani – Commissioning Manager	31 October 2014 (Not yet due)	x	

SLM & HQ Theatres Contract Management							
Final report issued July 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	contractor in delivering agreed service levels and quality standards. It is good practice to include a version control on operating procedures in order to evidence review dates, and ensure that the documentation is reviewed at least on annual basis.						
02	Management should consider amending the leisure and community client services risk register to include a specific risk entry on the QUEST accreditation, and amending the existing health and safety risk to include customers as well as staff and contractors.	Merits Attention	QUEST to be added to risk register. Position – August 2014 Quest has been added to the Leisure & Community risk register.	Prema Mani – Commissioning Manager	31 July 2014	✓	
03	For both contracts, management should consider maintaining a shared risk register. A good example would be the shared risk register for the contract with Veolia.	Merits Attention	We are already looking at the Veolia joint risk register template and will raise this with SLM at our meeting on 28 th August. Position – August 2014 Not yet due	Prema Mani – Commissioning Manager	31 October 2014 (Not yet due)	*	

SLM & HQ Theatres Contract Management							
Final report issued July 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
04	To gain assurance that the findings raised by the client team are addressed by SLM in a timely manner, management should request that SLM e-mails through photographic evidence for all relevant actions.	Merits Attention	CMO will email SLM to advise of this change to the inspection process. SLM to provide photographic evidence for all relevant actions at next follow up inspection meeting. Position – August 2014 Not yet due	Prema Mani – Commissioning Manager	Immediate & 31 October 2014 (Not yet due)	*	
05	To ensure continuous improvement in the performance of the contractors, we recommend that for both contracts annual targets are agreed with SLM and HQ Theatres respectively.	Medium	These have been negotiated and are now in place. Position – August 2014 Completed	Prema Mani – Commissioning Manager	Completed	✓	
06	Whilst noting that Quest is included on the agenda for the contract review meetings with SLM, management and SLM should consider developing a formal action plan to ensure that both leisure centres achieve Quest accreditation before the existing contracts expire.	Merits Attention	Watford Central have their Quest inspection early Oct 2014 but results will not be immediately known. Watford Woodside have been asked to inform us of the date of their Quest inspection. Position – August 2014 Not yet due	Prema Mani – Commissioning Manager	31 March 2015	*	