

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> <p>Position – June 2017 Due to the GDPR to be introduced from May 2018 we will need to review our whole DP processes. A working group is being set up to consider the implications</p> <p>Position – September 2017 Working group established. Data audit being</p>	Head of Democracy and Governance	31 January 2016	✓	<p>30 June 2016</p> <p>1 January 2017</p> <p>1 June 2017</p> <p>31 May 2018</p>

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Data Protection 2015/16							
Final report issued October 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			undertaken as part of the service transformation project. Position – November 2017 Data audits being worked through. Position – February 2018 Contracts with third parties and data sharing agreements are being looked at to ensure GDPR compliance. Position – July 2018 Following GDPR coming into effect on 25 May 2018 we have entered into a number of data sharing agreements with others. A model data sharing agreement has been developed. The new Data Protection Officer is speaking to services to ensure we have captured any Data Sharing agreements needed.				

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * 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.	Culture and Play Section Head	31 January 2016 (Leadership	*	31 March 2016

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position – February 2016 Leadership Team report re- scheduled for March 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 LT report scheduled for October.</p> <p>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 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>Position – June 2017 The lead for the review has been allocated to the Head of Environmental Services and Licensing. This allows the Head of Culture and Events to manage the existing day to day matters of safeguarding whilst the review takes place. The Head of Culture and Events</p>	Head of Environmental Health & Licensing	Team)		<p>31 October 2016</p> <p>31 July 2017</p> <p>31 October 2017</p> <p>31 January 2018</p> <p>30 June 2018</p> <p>30 Sept 2018</p>

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>has developed a brief for the review which is being developed. The Review is set to be completed in October 2017 with implementation now scheduled for April 2018.</p> <p>Position – September 2017 Review scope being approved ready for implementation. Completion date should be revised as whilst the review will be complete the report to leadership team will require an implementation plan so this will be ready in January to enable implementation by April as previously reported.</p> <p>Position – November 2017 Review in progress, project team agreed, brief agreed and PID being developed for final approval.</p> <p>Position – February 2018 PID approved and procurement completed for external consultant to undertake review. Timescales to allow proper review mean a revised date of June 2018 for report to leadership team that will include action/improvement plan. In addition this will be timed to incorporate any outcomes from the self-assessment and feedback from Herts County Council who are meeting with the Managing Director and Safeguarding Lead in March 2018.</p> <p>Position – July 2018 Difficulty in finding a suitable consultant led to delays. A contract was finally awarded in April and the review will be</p>				

Safeguarding 2015/16

Final report issued November 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			complete in July. Informal feedback has already been provided. The leadership team report will therefore be taken in September 2018.				

Audit Plan 2016/17

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that during the review process to finalise the Woodland and Tree Strategy, the Council ensures that the strategy addresses the following:</p> <p>a) Measurement of the aims and objectives contained within the strategy;</p> <p>b) Frequency of inspections to be completed, both routine and high risk trees; and</p> <p>Detail of the maintenance programmes to be adopted.</p>	Merits Attention	<p>The strategy is meant to be an overview of trees and woodlands and intended to take a more strategic overview of tree and woodland management in the Borough. However, what this has raised is that the specification in the Parks and Open Spaces contract documentation, detailing what is required of Veolia does not cover enough detail in relation to planned maintenance and there is a clear emphasis on reactive management rather than proactive management. A review of the specification needs to be undertaken and ensure that the Strategy is aligned with this.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	*	<p>31 December 2017</p> <p>31 May 2018</p> <p>31 July 2019</p>

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 The review of the Green Spaces Strategy is still underway and is tied up with the Local Plan 2 amends. The extension for the Veolia Contract is now currently being negotiated and this will be an opportune time to a) amend and agree the strategy and b) update the specification.</p>				
02	<p>We recommend that the Council develops a planned approach to tree inspections that is forward looking, proactive and achievable.</p> <p>An inspection programme should be developed that allows prioritisation of inspections for high risk trees but also supports the Council in inspecting all trees within a three year rolling period.</p> <p>As tree inspections are contracted to Veolia, the Council may wish to consider requesting reports on the number of trees inspected each month / quarter to verify that the contractor is on target to complete all inspections due.</p>	Medium	<p>As above, this needs to be re-visited and assessed by the WBC client team as was not in the original specification. A report will be presented to Strategic Partnership Board as this will impact on the current contract and will result in a contract variation.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	✓	<p>31 December 2017</p> <p>31 May 2018</p>

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 Generally our trees are inspected every three years. WBC are responsible for their trees (generally parks, cemetery and other pieces of land) , which Veolia manage on our behalf. WBC are responsible for managing the highway trees on behalf of HCC, which Veolia manage for WBC.</p> <p>In terms of risk, the inspections should pick up any potential defects and pest and diseases. Veolia’s tree officer is also QTRA(Quantified Tree Risk Assessment) qualified so he is able to give potentially dangerous trees a risk factor and act accordingly. Veolia currently have a company carrying out visual survey and pheromone trap survey as part of the Forestry Commission Oak Processionary Moth control program. The pheromone survey this year consists of 16 transects radiating out from the outer limit of known infestations. Each transect has 18 or 19 traps placed 1 km apart: a total of 300 traps some of which fall within the borough.</p>				

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	<p>We recommend that risk assessments are completed that assess the impact and likelihood of emerging risks.</p> <p>We recommend that the risk assessments include, but are not limited to:</p> <ul style="list-style-type: none"> a) Tree disease; b) Vandalism; and c) Strom damage. <p>The risks should be considered when developing the inspection programme, recommended at 2 above.</p>	Merits Attention	<p>Whilst individual risks can be quantified regarding condition by the application of a proprietary system such as QTRA (Quantified Tree Risk Assessment), this system would require a surveyor to be trained but can be activated on Ezytreev at no additional cost and could be incorporated into inspections. To quantify the risks in a, b and c are more difficult to assess and we would need more clarity on this.</p> <p>Position – June 2017 No courses available until September / October 2017 but we will register an interest.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 See above.</p>	Arboricultural Officer	30 June 2017	✓	<p>30 Sept 2017 and to be presented to Strategic Partnership Board.</p> <p>31 December 2017</p> <p>31 May 2018</p>

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
04	<p>We recommend that a maintenance programme is developed and implemented.</p> <p>The maintenance programme should consider the works that have been identified from inspections completed, the priority level given and the risk indicator of the tree.</p> <p>The maintenance programme should be fully costed to provide the Council with a tool for setting the budget for tree related works.</p>	Medium	<p>A proactive maintenance programme does need to be developed and costed – additional funding may be required to carry out an updated survey.</p> <p>The figure of 5,150 trees requiring work includes all work both safety and what could be described as desirable and not essential therefore gives a higher weighted figure.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 The review of the Green Spaces Strategy is still underway and is tied up with the Local Plan 2 amends. The extension for the Veolia Contract is now currently being negotiated and this will be an opportune</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	x	<p>31 December 2017</p> <p>31 May 2018</p> <p>31 July 2019</p>

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			time to a) amend and agree the strategy and b) update the specification				
05	We recommend that, in order to ensure continuity of service, that policies and procedures relating to tree inspections, maintenance and works are developed.	Medium	<p>As above, this needs to be re-visited and assessed by the WBC client team as was not in the original specification. A report will be presented to Strategic Partnership Board as this will impact on the current contract and will result in a contract variation.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 The review of the Green Spaces Strategy is still underway and is tied up with the Local Plan 2 amends. The extension for the Veolia Contract is now currently being</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	*	31 December 2017 31 May 2018 31 July 2019

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			negotiated and this will be an opportune time to a) amend and agree the strategy and b) update the specification.				

Starters & Leavers 2016/17							
Final report issued May 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	We recommend that the Organisational Development team should ensure that starters complete all mandatory courses and reminders are sent to line managers where necessary.	Medium	<p>Agreed</p> <p>Position – June 2017 In progress.</p> <p>Position – September 2017 At present, the OD team receive an automated email via RL alerting them of new starters. A welcome email is sent, including log in details for the elearning they need to undertake. At present we are relying on the member of staff/manager to complete these as due to technical issues with Vine (the software provider for the elearning), we are currently unable to run a reliable report on who has/has not completed the elearning so it would not be possible for us to chase them. The Council's e-learning platform is being upgraded from October 2017, this will include updating our modules, improved user friendliness and access to reporting tools, so that HR and managers can review staff completion levels.</p>	HR Managers (job share post)	31 July 2017	✓	<p>31 December 2017</p> <p>30 April 2018</p>

Starters & Leavers 2016/17							
Final report issued May 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Once these technical issues have been ironed out, we will be able to run a report of all new starters per quarter and confirm they completed their e-learning modules.</p> <p>A timeline is being reviewed with the supplier for our upgrade but will be in place by end December 2017 at the latest.</p> <p>Position – November 2017 Plans are still moving ahead for a new e-learning platform and reporting tools in December. The provider will be coming in to carry out a demonstration shortly.</p> <p>In the meantime, the e-learning compliance is:</p> <ul style="list-style-type: none"> - Review new starter spreadsheet for starters - Check e-learning compliance (3-months from start date) (This will tie in with the 3-month probation period when all e-learning should be completed and managers do have this on their induction checklist) - Send reminder to Staff / Manager to complete e-learning - Follow up with staff monthly. <p>Position – February 2018 The contract with our existing provider is being reviewed; our existing contract expires 30 April 2018, rather than rely on a 'quick report fix' and in-line with the digital transformation and improving administrative efficiency, a</p>				

Starters & Leavers 2016/17							
Final report issued May 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>recommendation is being proposed to the Council's leadership team to upgrade our e-learning offer to an automated LMS, either through our current provider (Creative Learning Solutions) or Hertfordshire County Council. It has been recognised that our e-learning platform requires modernisation.</p> <p>The upgrade will include:</p> <ul style="list-style-type: none"> - A managed service with improved reporting to monitor e-learning compliance. This will include quarterly reports for HR and Subject Matter Experts to pro-actively review compliance (this will remove the technical errors the Council has been facing regarding reporting) - Increased access to content: a suite of over 50 mandatory, personal & professional modules - Modernise how staff access e-learning and learning opportunities - Updating our existing Moodle themes (modernise the image / look of the platform) - Use of Plugins to enable videos and webinars (phase 2) - Track and Update one system with staff training records (phase 2) <p>The project is going to our IT Steering Group on 27th Feb for approval so firm dates for implementation will be developed following this.</p> <p>Position – July 2018 The existing system is now working</p>				

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Starters & Leavers 2016/17

Final report issued May 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>correctly and so we will be able to run reports on who has completed the elearning packages necessary and remind managers where this has not happened. This will be an interim arrangement until our new system is put in place in April 2019. At this point, we will of course continue to ensure this information is provided.</p>				

Audit Plan 2017/18

Follow Up of IT Audit Recommendations and Extended DR Scope 2017/18							
Final report issued August 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
04	<p>The status of the rollout of the MDM solution to mobile devices should be reported on to senior management.</p> <p>Issues encountered should be assessed and appropriate action taken to prevent the rollout from being delayed.</p>	Medium	<p>Agreed - The MDM roll out will be monitored.</p> <p>Position - September 2017 As above – final report only issued recently.</p> <p>Position – November 2017 On track. Testing for MDM solution (Mobile Iron), procured earlier this year. This will be deployed as part of the Active Directory migration project and installed on all corporate mobile devices e.g. corporate mobile phones and surface pro devices. Laptops will be encrypted as part of the same process. Testing is already underway.</p> <p>Position – February 2018 On track. Installation and configuration complete. Pilot user rollout for testing to commenced Feb 2018.</p> <p>Position – July 2018 Rollout commenced in line with the active directory and exchange migration. 105 users with Mobile device management solution installed. Active Directory and Exchange migration scheduled to completed end of August 2018.</p>	ICT Section Head	30 June 2018	*	31 August 2018

Cyber Security 2017/18 Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
02	<p>All devices that are running unsupported operating systems should be upgraded to run operating systems that are supported by the developer.</p> <p>Where it is not possible to upgrade the operating system of a device, it must be isolated from the Councils' IT network and appropriate security controls implemented.</p>	High	<p>Agreed – This will be discussed with the relevant IT system owners in order to agree the best way forward to migrate off of legacy operating systems.</p> <p>TRDC XP machines – down to: 2</p> <p>WBC XP machines – down to: 0</p> <p>Decommissioning is part of the core infrastructure programme. Since Jan 2017 67 servers have been decommissioned.</p> <p>Position - September 2017 As above – final report only recently issued.</p> <p>Position – November 2017 Significant progress. 96 servers have now been decommissioned. There are 45 remaining with an unsupported operating system installed. All servers have been reviewed and there is an associated plan in place to upgrade and/or decommission. The majority of these services have associated services or impact line of business applications, and need to be upgraded in line with services.</p> <p>TRDC XP machine: 1. This is a system that provides telephone reports. The hardware and OS has been further secured, reducing the risk, by removing all Internet and Email access.</p>	ICT Section Head	30 June 2018	x	31 August 2018

Cyber Security 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Position – February 2018 On track. Further decommissioning / upgrades of servers completed.</p> <p>Position – July 2018 Through the life of the core infrastructure programme over 150 out of support servers have been decommissioned or upgraded.</p> <p>36 servers has been identified that will remain on an unsupported operating system for the next 6 months to a year, whilst the applications are replaced, upgraded.</p> <p>Plan to move 36 servers to a “walled garden” in place and specifics dependencies identified.</p> <p>PSN (Public Services Network) submission due end of August 2018.</p>				
06	<p>There should be a record of the configuration of the Councils’ firewalls, which includes but is not limited to:</p> <ul style="list-style-type: none"> • The purpose of all of the rules and the associated services • The expected configuration and activity for each rule • The member of staff that requested the rule • The member of staff that approved the rule. 	Medium	<p>Agreed – The IT network diagram has now been updated and the review of the firewall rules is ongoing.</p> <p>Position - September 2017 As above – final report only recently issued.</p> <p>Position – November 2017 This is underway. All firewall changes already go through a change process and there is now a policy and associated procedure in place in order to inform a central infrastructure document where all firewall rules are</p>	ICT Section Head	30 June 2018	✓	

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Cyber Security 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>Firewall rules should be reviewed on a routine basis.</p> <p>The IT network diagram should be updated so that it accurately reflects the design of the IT network.</p>		<p>recorded. The retrospective piece is underway, however this is a time-consuming piece of work.</p> <p>Position – February 2018 On track.</p> <p>Position – July 2018 All firewall rules documented with an on-going process in place to review firewall rules.</p>				

Procurement Process – Contract Signing 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that:</p> <p>a) Contract Managers are given sufficient training to understand what a Letter of Intent is and when it is required.</p>	Medium	<p>Agreed</p> <p>Position - November 2017 In progress.</p> <p>Position – February 2018 Letter of Intent Lunch & Learn session arranged with HR for Wednesday 25th April 2018.</p> <p>Position - July 2018 The Letter of Intent Lunch & Learn session was held on 25th April and received good</p>	Procurement Manager	31 March 2018	✓	30 April 2018

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Procurement Process – Contract Signing 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			feedback from participants.				

Council Tax 2017/18							
Final report issued November 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
02	<p>Revenues Officers should be reminded to enter review dates for Disabled Discounts.</p> <p>An exercise should be performed to check existing Disabled Discount cases to ensure that review dates are in place. This review should be undertaken annually in future.</p>	Medium	<p>Billing Team Leader to review with the assistance of our Inspectors annually.</p> <p>Position – February 2018 Accounts targeted and reviewed template prior to issuing annual review.</p> <p>Position – July 2018 Survey forms were issued March, 2018 and review now completed for 2018, with Inspectors involvement also.</p>	Billing Team Leader	31 December 2017	✓	31 March 2018

Payroll 2017/18							
Final report issued February 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	We recommend that the current arrangement for both HR Co-ordinators to sign-off Payroll BACS authorisation forms is reviewed and	Merits Attention	We will ensure that payroll is signed off each month by one member of the HR Management team (consisting of Nicky Sharp, Loraine Sibson and Terry Baldwin (starts on 26 th	HR Manager (Operations)	23 February 2018	✓	

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Payroll 2017/18							
Final report issued February 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	that a signature is obtained instead from a member of HR Management.		<p>March 2018). This will be in addition to one of the HR Co-ordinators. Nicky and Loraine are already set up as authorised signatories and we will ensure we set Terry up as soon as he starts.</p> <p>Position – July 2018 This is now in place and all members of the HR Management Team have been set up as “trusted sources” and able to sign off payroll.</p>				

Creditors 2017/18							
Final report issued April 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that evidence of the changes made and approval are retained.	Medium	<p>Agreed.</p> <p>Position - July 2018 We have built a supplier change form in FPM which has workflow and notes and where applicable attachments are added.</p>	Senior Finance Officer	1 May 2018	✓	
02	<p>We recommend that Finance ensure that where adjustments are made to the cost code, adequate explanation is included.</p> <p>We also recommend that</p>	Medium	<p>Agreed. I will look into this to establish what the Finance system can do for us.</p> <p>Position - July 2018 We are looking at duplicate payment report writing. We have the data we just need to</p>	Senior Finance Officer	1 May 2018	*	1 Sept 2018

WBC Internal Audit Recommendations Follow Up – July 2018

APPENDIX D

Creditors 2017/18							
Final report issued April 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	consideration is given to running and checking duplicate payment reports to determine the scale of duplications and the number of credit notes raised and reasons.		pivot table it etc.				
03	We recommend that Finance remind services at both Councils of the need to raise purchase orders for all the goods and services purchased prior to receiving them.	Merits Attention	Agreed. Position - July 2018 We have now gone 'No Po-No Pay'. Suppliers and staff have been made aware.	Senior Finance Officer	1 May 2018	✓	