

Audit Plan 2015/16

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	<p>Agreed, will take next review to Leadership Team and Cabinet.</p> <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</p>	<p>Culture and Play Section Head</p> <p>Head of Environmental Health & Licensing</p>	31 January 2016 (Leadership Team)	*	<p>31 March 2016</p> <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> <p>31 October 2018</p>

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			<p>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 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</p>				

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			<p>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 complete in July. Informal feedback has already been provided. The leadership team report will therefore be taken in September 2018.</p> <p>Position – September 2018 Review and report being finalised by mid-September. Leadership Team approval being sought on 23/10/18 – delayed due to consultants availability to attend Leadership Team.</p>				

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 updated within this to ensure trees, woodlands and biodiversity are included and the need to</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

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>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> <p>Position – September 2019 In progress.</p>				
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</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>

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			<p>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 time to a) amend and agree the strategy and b) update the specification.</p> <p>Position – September 2018 In progress.</p>				
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>	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							
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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> <p>Position – September 2018</p>	ICT Section Head	30 June 2018	✓	31 August 2018

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 x or ✓	Revised Deadline
			MDM deployment has been rolled out to devices as users have been migrated to the new W3R domain as part of the core infrastructure transformation. Over 130 licences have been deployed.				

Cyber Security 2017/18							
Final report issued September 2017							
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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</p>	ICT Section Head	30 June 2018	x	<p>31 August 2018</p> <p>31 December 2018</p>

Cyber Security 2017/18

Final report issued September 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>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> <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> <p>Position – September 2018 PSN public services submission completed</p>				

WBC Internal Audit Recommendations Follow Up – September 2018

APPENDIX C

Cyber Security 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>on time. Awaiting outcome from Cabinet Office.</p> <p>Walled Garden migration underway. Delay to movement of servers has been down to legacy systems with little to no documentation. Internally we have therefore had to map all dependencies across these systems, which has taken additional time and resources.</p>				

Creditors 2017/18							
Final report issued April 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
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 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.</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 pivot table it etc.</p> <p>Position – September 2018 We now have duplicate payments reports designed and run and will be looking at the data next week. We will be running for the last three years.</p> <p>I will incorporate into a quarterly process</p>	Senior Finance Officer	1 May 2018	✓	1 Sept 2018

WBC Internal Audit Recommendations Follow Up – September 2018

APPENDIX C

Creditors 2017/18							
Final report issued April 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			so that we are always checking.				

Treasury Management 2017/18							
Final report issued July 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the bank mandate is located and retained securely. In the event that the bank mandate cannot located arrangements should made to obtain a copy.	Medium	Agreed. Position – September 2018 Completed	Head of Finance	31 July 2018	✓	
02	We recommend that current users with access to the online banking system are reviewed to ensure that all leavers are deactivated.	Medium	Agreed. Position – September 2018 Completed	Head of Finance	31 July 2018	✓	

Contract Management 2017/18							
Final report issued July 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that Senior Management / Contract Managers are reminded of the importance of	Medium	The need for having contracts in place was stated at Lunch & Learn session delivered on 25 May. We will continue to promote the need	Corporate Procurement Manager / Head	With immediate effect and ongoing as	✓	

Contract Management 2017/18 Final report issued July 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	having a formal signed contract in place with contractors.		for formal contracts at future training events and via the Council’s Contract & Relationship Management Forum. A further Lunch & Learn session was delivered on 3 July, relating to the tender evaluation stage. We will emphasise again the need to progress towards a formal contract. Position – September 2018 Complete	of Community and Environmental Services (Heads - Council’s Contract & Relationship Management Forum)	required.		

Audit Plan 2018/19

Grants 2018/19							
Final report issued July 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that a reminder email should be sent out one month / a few weeks before the deadline to ensure all evidence is received on time.	Low	Emails will be sent out one month prior to the Outcomes and Achievements Report deadline. Position – September 2018 This process is in place. Reminder dates have been added to our Task Log and this is checked on a weekly basis to ensure reminder emails are sent in advance of the report deadline. In place – August 2018	Commissioning Officers	1 September 2018	✓	

GDPR Preparedness 2018/19							
Final report issued July 2018							
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GDPR Preparedness 2018/19							
Final report issued July 2018							
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01	The Council should ensure that consent has been sought and documented for all consent based data processing across all service areas.	Medium	The DPO will chase progress on the spreadsheet tracker with Communications Services. Position – September 2018 Complete	Data Protection Officer	1 September 2018	✓	
02	The Council should formalise its understanding of when DPIA's apply and how to include their use within project rules.	Medium	DPIA form has been completed and approved by the Head of Democracy and Governance and is on the Council's website. DPIA was on the agenda during the GDPR project group meeting. Details of which were minuted and shared with services. Going forward, DPIA will be included as a standing Item on the agenda for the GDPR project group meetings. Position – September 2018 Complete	Data Protection Officer	Implemented	✓	
03	Consideration should be given to adding additional information to the data audit spreadsheets, including the location / system where the data is held, with an indication of where data held cannot be removed due to system issues. In respect of data retention, an end date could also be provided to indicate when data can be removed as it is no longer relevant.	Low	The DPO will add columns to the data audit spreadsheet to record the additional information as per the recommendation. Position – September 2018 Complete	Data Protection Officer	1 September 2018	✓	
04	Required updates should be made to the retention policy and checks	Low	This was raised at the last GDPR project group meeting. The retention policy has now	Data Protection Officer	Implemented	✓	

WBC Internal Audit Recommendations Follow Up – September 2018

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GDPR Preparedness 2018/19							
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	undertaken to ensure that there are no other documents that require updating from DPA to GDPR.		been updated, and references for DPA have been replaced with GDPR in accordance with the recommendation. Position – September 2018 Complete				

Equality Impact Assessments 2018/19							
Final report issued August 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that Senior Officers are reminded that EIAs need to be approved (signed and dated). We recommend that the Head of Corporate Strategy and Communications should receive all EIAs for review and evidence this control procedure (signed and dated).	Medium	The EIA process will be strengthened through the enforcement of the sign off process. This will be raised at Leadership Team and at the Corporate Equalities Working Group for dissemination to DMTs. Position – September 2018 In progress.	Head of Corporate Strategy and Comms	31 October 2018		