Audit Plan 2010/2011

IT Service Desk and Change Management Audit							
Final report issued March 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
01	The Service Catalogue should be updated and finalised to ensure it contains a listing of all the current services being provided by ICT. Once finalised, the Service Desk contact details and fault reporting procedures should be made available to all Watford and Three Rivers staff on the intranet.	Important	Agreed. Position (August 2011) This work has been placed on hold and priority has been given to other work streams and projects. ICT is currently conducting an options appraisal of alternative models of service delivery, which may mean that staff interact with the service desk differently from 1 Oct 2012. Position (October 2011) As at August 2011 above. Position February 2012 As at October 2011 ***Position (June 2012)*** ***Update regarding IT Tender is that any potential transition to an outsourced provider would be early 2013.***	Avni Patel, Head of ICT	June 2011	✖	On Hold
03	Management should review the priority settings and the associated response times within the LanDesk system to ensure that they correspond to the defined agreed SLA. Management should ensure that procedures and processes are documented to escalate calls to Service Desk management when the	Important	Agreed. To be investigated and rectified. Position (May 2011): This has been investigated. Remedial work to correct this will form an outcome once the existing Touchpaper system is upgraded in early June 2011. Position (August 2011) The LANDesk system was upgraded in July 2011 but further work has been placed on hold	Avni Patel, Head of ICT	June 2011	✖	On Hold

IT Service Desk and Change Management Audit

Final report issued March 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	incident is approaching the SLA to help identify if remedial action is required.		and priority has been given to other work streams and projects. ICT is currently conducting an options appraisal of alternative models of service delivery, which may mean that staff interact with the service desk differently from 1 Oct 2012. Position (October 2011) As at August 2011 above. Position February 2012 As at October 2011 ***Position (June 2012) Update regarding IT Tender is that any potential transition to an outsourced provider would be early 2013.***				

BACS Procedures

Final report issued March 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.29	Consideration should be given to transferring the responsibility for transmitting BACS payment and DD request files to the Services responsible for the corresponding expenditure and income transactions following the principles set out in the "Draft BACS Procedure – Payments" and "Draft BACS Procedure – Direct Debit" documents. Such a transfer would have to be supported by an in-	HIGH	Responsibility is being transferred to Services. Finance have the necessary hardware but staff require training. Revs and Bens will follow. Position (August 2011): This has been delayed due to technical problems. Revs & Bens rollout has been planned to	Head of ICT	June 2011	✓ (partly met)	December 2011

BACS Procedures

Final report issued March 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
	depth handover process by ICT.		occur by the end of December 2011 Position (October 2011) As at August 2011 above. Position (February 2012) Transfer of BACS to Finance has been completed. Transfer to Revs & Bens is in progress and due to be completed by the time the Audit Committee meets. ***Position (June 2012)*** ***Transfer to revs and bens is in progress. Slight delay due to additional licenses required across WBC and TRDC sites. Due to be completed by the time audit committee meet.***				
4.31	ICT staff should supervise Service staff for an initial period of 1 month or until confidence is gained in the transmission of files to BACS and the subsequent downloading of reports and movement of transmitted files.	HIGH	Will follow on from above. Position (October 2011) As at August 2011 above. Position (February 2012) Has followed on from above. ***Position (June 2012)*** ***Ongoing support has been occurring.***	Head of ICT	Will follow on from above.	✓	
4.33	A designated officer within ICT should retain the facility to transmit BACS files in the event of an emergency.	HIGH	Transmission by ICT will be from the relevant Service's dedicated PC. Position (October 2011) As at August 2011 above. Position (February 2012) Has followed on from above.	Head of ICT	Will follow on from above.	✓	

NOTE: Items in Bold Italics represent updates since the last report to Audit Committee

BACS Procedures							
Final report issued March 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			Position (June 2012) *This is in place*				

Payroll							
Final report issued March 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
4.10.5	Arrangements should be made to harmonise the process for making third party payments.	Medium	Position May 2011: Discussions have taken place with Finance, who are not in favour of harmonising third party payments until the Finance system has been upgraded to allow automatic logging of data. Finance are resolving this directly with Northgate Position August 2011: This requires rewriting the interfaces between Payroll and COA. This is not a major priority as the current arrangements are satisfactory to meet the operational needs. Position October 2011: As at August 2011 above. Position February 2012: We have received a quote from Northgate to update their payroll codes which was approved in January 2012. We anticipate the work will be completed in March 2012. When the coding issue has been resolved	Finance Manager (Dot Reynolds)	April 2011	✖	April 2012 July 2012 *July/ August 2012*

Payroll

Final report issued March 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			successfully, it will be possible to harmonise feeders to the GL, and the third party payment procedures will be harmonised as part of that process. Proposed Revised Deadline July 2012. ***Position May 2012:*** ***Northgate have started work on updating their payroll codes, this is being tested on the May 2012 pay run (expected to go live in June 2012). When the coding issue has been resolved successfully, it will be possible to harmonise feeders to the GL, and the third party payment procedures will be harmonised as part of that process. Proposed Revised Deadline July/August 2012 depending on closing of accounts progress and leave.***				

Reconciliations

Final report issued April 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.4.4	A review should be undertaken of the formats and working papers for all current reconciliations for Watford Borough Council and Three Rivers District Council with a view to harmonising to agreed standards that build on the best of both Councils' approaches.	MEDIUM	Agreed. Systems, interfaces and organisational responsibility is under review and changes will be effective from September 2011 – see 4.3.11 Position October 2011: The AXIS income management went live on 12 October. This will enable the two councils to harmonise procedures for income and expenditure management and standardise reconciliations and working papers.	Finance Manager – Dot Reynolds	August 2011	✗	November/ December 2011 March 2012

NOTE: Items in Bold Italics represent updates since the last report to Audit Committee

Reconciliations							
Final report issued April 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			Position February 2012: Many of the reconciliations have been harmonised where possible. A timetable for completing this work in February has been agreed between Finance and Revs and bens.				
4.5.11	Responsibility for performance and review of the reconciliations between Axis, COA and systems that receive income information from Axis must be formally allocated and agreed prior to going live in September. Sufficient resource must then be allocated by the responsible service to ensure that all reconciliations are performed promptly.	HIGH	Agreed. Systems, interfaces and organisational responsibility is under review and changes will be effective from September 2011 – see 4.3.11 Position August 2011: The AXIS income management system will go live October 2011. Implementation depends on this position. Position October 2011: The AXIS income management went live on 12 October, but certain transactions are currently being processed through the old systems. Finance is performing daily reconciliations to the new and old systems and checking totals with Rev and Bens systems. Position February 2012: Daily cash reconciliations are being performed in both Revs and Bens and Finance. The organisational responsibility for some high level reconciliations is still under review, but will be resolved on completion of harmonised procedures.	Finance Manager – Dot Reynolds	August 2011	✖	October /November 2011 March 2012

Health & Safety Follow Up

Final report issued November 2010

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
5.1.31	The guidance provided for the "Potential Risks" element of the 'Implications' section of the standard report format for all reports to Cabinet and Council should be updated to include specific reference to the need to consider health and safety risks. This will demonstrate that health and safety considerations will have been taken into account as appropriate for all strategic and policy decisions.	HIGH	Update Aug 2011 Discussions have taken place, however, report format has not been updated. Recommendation is still under review. Update December 2011 Recommendation is still under review. Update January 2012. To be reviewed and resolved by 31 March 2012 **Update May 2012 Item to be discussed at next LT on 15 May. Do not believe report format is due to be updated.**	Shared Services Head of Human Resources	December 2010.	✗	31 March 2012 15 May 2012
5.4.26	Effective systems for storing and accessing evidence of the performance of statutory health and safety related inspections and assessments of operational buildings; plant and equipment should be agreed and implemented as a matter of urgency.	HIGH	November 2010. Responsibility of Legal & Property Services. H&S Advisor to comment on via risk based audits Update December 2011 Site logs currently being rolled out by Buildings and Projects. Asset Management Database still progressing following a number of data capture issues. All current legislative compliance requirements are managed in site logs or relevant contract file . Where possible electronic files have been created for viewing or web links created for on line access. New asset database is now not likely to be ready in the very near future. Update Jan 2012. New asset management database modules for Asset Assessment will be commenced by end of financial year. Design of this module will enable the recording	Health & Safety Advisor/ Buildings and Projects Team	November 2010. (via risk based audits)	✗ *(Partly resolved)*	Position to be reviewed again in March 2012

Health & Safety Follow Up

Final report issued November 2010

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			of essential data to ensure compliance under a central depository. Additional features are already being tested to deliver plant & equipment monitoring facilities with improved drawings and visual aides/unique referencing methods . *Position May 2012* *Risk Management Policies for control of Asbestos, Control of Legionella, Control of Fire are all now complete and adopted by the Authority. Site logs are all completed and will be distributed during a training session to building managers (during Q1 2012/13 subject to availability of managers). All hard copy files have now been scanned and are ready for input into the Atrium Asset Management Database. (human resource dependant possible option to front load as required). On line accessibility now exists for Asbestos and Portable Appliance Testing compliance. All other statutory requirements are held electronically in Buildings and Projects awaiting input into new asset management database. Final Phase of the project that will allow this information to be accessed by all has commenced and a meeting with the service provider has been scheduled for 30 May to scope the final requirements for delivery of this module.* *A new spreadsheet for capturing roles and responsibilities for WBC & Tenants Operators has been drafted and circulated to majority portfolio stakeholders for comment. Includes all statutory requirements for avoidance of doubt.*				*June 2012* *July – September 2012*

Health & Safety Follow Up							
Final report issued November 2010							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Implementation to commence Q2 2012/13 once final layout approved.				

Asset Management							
Final report issued March 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
5.4.7	There should be detailed procedures in place for administering the fixed asset registers.	High	Agreed The procedures will be compiled to take account of the IFRS standard. The IFRS compliant module was installed late in the closing of accounts process. Existing assets have been updated on the system, but no new assets have yet been added New assets acquired during 2010/11 will be added to the register during the 2011/12 financial year. Procedures will be written as the asset register is updated. Position February 2012: This is the first full year with a fully operational integrated fixed asset module. Fixed asset / capital procedure notes will be prepared during the 2012 closing period as the work is undertaken. Proposed Revised Deadline July 2012 ***Position May 2012:*** ***Closing of accounts in progress. Deadline remains July 2012.***	Finance Manager	June 2011	✗	July 2012

Data Quality

Final report issued August 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.2.4	The Data Quality Policy should be reviewed and updated if necessary to ensure that it reflects the current requirements for the management of performance data within the Council. This should then be reviewed annually to ensure that it always reflects current best practice.	Low	Currently under review.

Position (January/February 2012) - Currently under review, revised review date March 2012

Position May 2012
The Data Quality has been updated and is due to be published on the intranet in the week beginning 14/05/12. | Danielle Negrello, Customer Services Section Head | January 2012 | ✓ | March 2012 |

Benefit Administration Systems 2010/2011

Final report issued July 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.37	The access requirements to the Academy system for all staff should be reviewed and an access policy developed. This would define the appropriate level of access for staff at different levels that could be applied as a standard profile whenever new staff are employed. As new requirements become apparent, they should be applied to all staff at that level to ensure that access rights remain consistent.	MEDIUM	Agreed. We are currently in the process of having both authorities using Academy on the same operating platform (Windows). This is scheduled for completion by 22 August 2011. Once this has been done, we will review the access requirements.

Position (October 2011)
Recommended levels of access have been supplied by Capita and this will be implemented over the next month with a scheduled completion of November 2011

Position (February 2012)
Officer appointed to role of Policy, Quality & Training Team Leader (end January 2012) and | Benefits Manager | 31/10/11 | ✓ | 30 November 2011

31 May 2012 |

Benefit Administration Systems 2010/2011

Final report issued July 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
			will be tasked to complete this recommendation. ***Position (May 2012).*** ***Policy now in place and access levels determined***				

NNDR Systems 2010/2011

Final report issued July 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
5.3.2	Evidence should be maintained of the checks performed by Senior Management on the accuracy of updates to the system parameters.	High	Agreed It is agreed that more controls should be placed on amending parameters. The Revenues Manager will be working with the Temporary Systems Team Leader to try to comply with this proposed action point. Position (October 2011) Recommended access and permission levels have been provided by Capita and these shall be implemented by 31 December Position (February 2012) Officer appointed to role of Policy, Quality & Training Team Leader (end January 2012) and will be tasked to complete this recommendation ***Position (May 2012).*** ***Policy now in place and access levels determined***	Revenues Manager Temporary Systems Team Leader	31 December 2011	✓	31 May 2012

NNDR Systems 2010/2011							
Final report issued July 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
5.4.3	There should be adequate documentation available for management review purposes of the reconciliation of the number of expected bills to bills produced as part of the annual billing process. Also this reconciliation should be reviewed by a senior officer and this control check should be evidenced (signed and dated).	High	Agreed It is agreed that this should be in place and fully documented from next years main billing. Position (October 2011) Annual billing will be conducted in March 2012 at which stage the documentation will be completed **_Position (May 2012)_** **_Annual billing completed in March 2012 and documentation retained_**	Revenues Manager	31 March 2012	✓	
5.4.7	The manual re-performing of annual bills to ensure accuracy should be reviewed and evidenced (signed and dated) by a senior officer.	High	Agreed See above no.5.4.3. Position (October 2011) See 5.4.3 above. **_Position (May 2012)_** **_Annual billing completed in March 2012 and documentation retained_**	Revenues Manager	31 March 2012	✓	
5.6.2	There should be formal systems put in place which require a standardised form to be completed and authorised by the Revenues Manager when officers are set-up on the system, access rights are amended and user accounts are deleted in the event of staff leavers.	High	Agreed It is agreed that more controls should be placed on amending user accounts. The Revenues Manager will be working with the Temporary Systems Team Leader to try to comply with this proposed action point. Position (October 2011) Recommended access and permission levels have been provided by Capita and these shall be implemented by 31 December	Revenues Manager Temporary Systems Team Leader	31 December 2011	✓	**_31 May 2012_**

NOTE: Items in Bold Italics represent updates since the last report to Audit Committee

NNDR Systems 2010/2011							
Final report issued July 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			Position (February 2012) Officer appointed to role of Policy, Quality & Training Team Leader (end January 2012) and will be tasked to complete this recommendation **Position (May 2012). Policy now in place and access levels determined**				
5.6.5	Regular reviews (quarterly basis) of access rights should be carried out by matching job functionalities of officers to their access permissions. This check should be evidenced for Management review purposes.	High	Agreed See above no.5.6.2. Position (October 2011) See 5.6.2 above. Position (February 2012) Officer appointed to role of Policy, Quality & Training Team Leader (end January 2012) and will be tasked to complete this recommendation **Position (May 2012). Policy now in place and access levels determined**	Revenues Manager Temporary Systems Team Leader	31 December 2011	✓	31 May 2012

	Council Tax Systems 2010/2011							
	Final report issued July 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
5.6.2	The access requirements to the Academy system for all staff should be developed in line with an access policy, so that the level of access for staff at different levels could be applied as a standard profile. Also there should be a formal systems put in place which require a standardised form to be completed and authorised by the Revenues Manager when officers are set-up on the system, access rights are amended and user accounts are deleted in the event of staff leavers.	Medium	Agreed It is agreed that more controls should be placed on amending user accounts. The Revenues Manager will be working with the Temporary Systems Team Leader to try to comply with this proposed action point. Position (October 2011) Recommended access and permission levels have been provided by Capita and these shall be implemented by 31 December Position (February 2012) Officer appointed to role of Policy, Quality & Training Team Leader (end January 2012) and will be tasked to complete this recommendation ***Position (May 2012).*** ***Policy now in place and access levels determined***	Revenues Manager Temporary Systems Team Leader	31 December 2011	✓	31 May 2012
5.6.5	Regular reviews of access rights should be carried out by matching job functionalities of officers to their access permissions. This check should be evidenced for Management review purposes.	High	Agreed See above no.5.6.2. Position (October 2011) See 5.6.2 above. Position (February 2012) Officer appointed to role of Policy, Quality & Training Team Leader (end January 2012) and will be tasked to complete this recommendation ***Position (May 2012).*** ***Policy now in place and access levels determined***	Revenues Manager Temporary Systems Team Leader	31 December 2011	✓	31 May 2012

NOTE: Items in Bold Italics represent updates since the last report to Audit Committee

Council Tax Systems 2010/2011

Final report issued July 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
5.8.6	There should be adequate documentation available for management review purposes of the reconciliation of the number of expected bills to bills produced as part of the annual billing process. Also this reconciliation should be reviewed by a senior officer and this control check should be evidenced (signed and dated).	High	Agreed There will be a full review of controls in place for the 2012/13 annual billing process. This will include full audit controls such as reconciliations. Position (October 2011) A test year end billing run has been scheduled for 4 February 2012 to identify any issues. Records of this and the live year end will be kept. ***Position (May 2012)*** ***Annual billing completed March 2012 and documentation retained.***	Revenues Manager Billing Team Leader	31 March 2012	✓	
5.8.9	As part of the annual billing process a senior officer should review checks carried out of a sample of annual bills before being sent out and evidence (signed and dated) this control procedure for Management review purposes.	High	Agreed It is agreed that this should be in place and fully documented from next years main billing. The Head of Revenues & Benefits will review the checks undertaken and evidence this control check being carried out. Position (October 2011) A test year end billing run has been scheduled for 4 February 2012 to identify any issues. Records of this and the live year end will be kept. ***Position (May 2012)*** ***Annual billing completed March 2012 and documentation retained***	Revenues Manager	31 March 2012	✓	

NOTE: Items in Bold Italics represent updates since the last report to Audit Committee

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
01	A remote working policy and procedures should be developed. This should include all areas pertaining to remote working.	Important	Agreed. To be included within the IT Security Policy and Handbook for both WBC and TRDC. **_Position June 2012_** **_This has been delayed due to staff workload relating to the IT tender._**	Avni Patel, Head of ICT	March 2012	✘	**_December 2012_**
02	All remote users should be issued with Terms and Conditions of Use for any laptops and mobile phone devices and should be required to confirm that they have read, understood and agree to comply with the stated policies.	Minor	Agreed. ICT will define the terms and conditions of use for laptops and mobile phone devices. Mobile phones are not within the remit of the ICT Shared Service, this will need to be managed by the relevant officer within each council. Position (February 2012) • WBC T&C for mobile phone usage has been completed and sent out to all mobile phone users. • T&C for all laptops and TRDC Mobile phones is pending. **_Position June 2012_** **_This has been delayed due to staff workload relating to the IT tender._**	Avni Patel, Head of ICT	March 2012	✘ (part resolved)	**_December 2012_**
03	Management should ensure that the risks associated with home and offsite working have been assessed and addressed within the Corporate and ICT risk registers. This should include in particular the increased risk of breaches in data security and confidentiality when Council information is accessed away from offices through loss, theft or mishandling. In particular the increased risk of breaches in data security and	Important	Agreed. A risk assessment as described will be carried out and identified risks will be recorded within the service risk register. However, it should be noted that the councils acknowledge that data can also be lost via attachments within emails and paper documents being mishandled, lost or stolen. **_Position June 2012_** **_This has been delayed due to staff workload relating to the IT tender._**	Avni Patel, Head of ICT	March 2012	✘	**_December 2012_**

	IT Remote Working 2010/2011						
	Final report issued January 2012						
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
	confidentiality when Council information is accessed using non-Council equipment should be evaluated and any necessary countermeasures developed.						
04	A procedure to review leavers and dormant remote access accounts should be developed to ensure that remote access is promptly removed for users on termination of their employment and that all IT equipment or mobile devices are returned to ICT.	Important	Agreed ***Position (June 2012)*** ***Service desk act on notifications from HR related to leavers. A more formal process is currently being worked on.*** ***This has been delayed due to staff workload relating to the IT tender.***	Avni Patel, Head of ICT	March 2012	✘	***December 2012***
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	Agreed ***Position (June 2012):*** ***This has been installed and we are in the process of testing this functionality***	Infrastructure Manager	June 2012	✘	***December 2012***
07	The shared service should look to develop security arrangements over the WBC and TRDC network by ensuring the regular review of remote access logs and reviewing the need for an Intrusion Detection System (IDS).	Important	Agreed. The Appgate VPN solution in use at WBC has logs for intrusion attempts and will replace the Netilla system in use at TRDC. The potential of implementing a network IDS has been discussed as part of the Network Infrastructure Audit and it has been decided that we will focus on prevention rather than detection. Hence work has progressed to implement VLANs within the network in order to segregate desktops from servers and minimise potential risk of intrusion. ***Position (June 2012):*** ***Appgate in place for both Watford and Three Rivers.***	Infrastructure Manager	June 2012	✓	
08	Management should ensure that mobile devices are recorded on the IT	Important	Agreed. However, mobile phones are not within the remit of ICT Shared Services, they	Avni Patel, Head of ICT	March 2012	✘	

IT Remote Working 2010/2011

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	Asset Register when new stock is issued and when stock is returned from users.		are under the remit of Corporate Services. Hence need to determine responsibility for recording of mobile phone assets within WBC and TRDC.	Corporate Services			
09	Management should ensure that security settings on mobile device handsets such as iPhones enforce the following settings: • Devices should be required to be protected by a power on password or PIN. Any default passwords or PIN codes need to be changed on first use, these should not be removed unless authorised in writing by ICT; • Devices should be set to 'Non-discoverable' or 'Hidden' to help prevent information disclosure by short distance data transfer; and • Users should be restricted from reconfiguring the security settings on devices. 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 are procured and issued and all confidential and sensitive data held on mobile device	Important	Agreed. Government Code of Connection stipulates that they have only approved Blackberrys for use as mobile devices. There are currently more critical priorities to address within ICT and this is where the focus will lie. The implementation of a Blackberry Enterprise Server will address the above recommendation and will be identified as a future project for the ICT Service.	Infrastructure Manager	March 2013	✗	

IT Remote Working 2010/2011

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
	handsets such as iPhones is adequately encrypted according to the sensitivity of the data						
10	Data stored on returned laptops or mobile devices should have all data removed prior to issuing the device to another user.	Minor	Agreed *Position (June 2012)* *New (and some old) laptops are configured to not allow the user to save information locally. If there is a requirement to save data offsite, users are given encrypted memory sticks for use.* *There is a wider desktop replacement and re-configuration project required to complete this fully. This is a large piece of work and would need to be prioritised in line with other priorities*	Infrastructure Manager	March 2012	✖ *(partly met)*	*March 2014*
11	The ICT Shared Service should ensure that any laptops issued to remote users are configured to receive Operating System and anti-virus updates	Important	Agreed *Position (June 2012)* *Laptops are configured to receive windows updates. New laptops are configured to receive anti-virus updates, however this only occurs when the laptops are plugged into the Council network. Finalising this work would tie into the wider desktop project as per ref 10 above.*	Infrastructure Manager	March 2012	✖ *(partly met)*	*March 2014*

NOTE: Items in Bold Italics represent updates since the last report to Audit Committee

Audit Plan 2011/2012

IT Project Management 2011/2012							
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	Agreed	Avni Patel, Head of ICT	October 2012	✗	

Insurance 2011/2012							
Final report issued December 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.1.10	Checks should be carried out on the renewal policies received from ZM to ensure that they are correct. Once this has been carried out the Insurance Officer should sign and date the copy of the policy top demonstrate that checks were carried out.	Low	Agreed Position at 31 January 2012 – recommendation not yet due for implementation	Veronica Griffin and Zoe Royden, Insurance Officers	April 2012 and at each renewal	✓	

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Insurance 2011/2012

Final report issued December 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
4.1.21	Consideration should be given to promoting the insurance service proactively at both Councils to remind all staff of the support and advisory services that are provided by the insurance service.	Medium	<u>Summary of previously discussed</u> option: The Insurance Officers will send an email to all Heads of Services to inform them of the range of advisory and support services provided by the Insurance Officers. We would also suggest that other areas in the Council would benefit from promoting/outlining their service. Position at 31 January 2012 – recommendation not yet due for implementation	Veronica Griffin and Zoe Royden, Insurance Officers	April 2012	✓	

Home Improvement Grants 2011/2012

Final report issued September 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
4.1.13	The service should design a form specifically for Decent homes Assistance. This will ensure that the total cost will be cut down for the service achieving value for money.	Low	The PSRP is currently under review if this assistance continues the form will be reviewed. In plan for completion. Position (January/February 2012) Form currently under redesign, to be consulted on in Feb and implemented by end of March 2012. **_Position May 2012_** **_Form revised and in use._**	Justine Hoy, Environmental Health and Licensing Section Head	Mar 12	✓	

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Museum 2011/2012							
Final report issued August 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
4.2.7	The Heritage Officer should pass the current catalogue of exhibits to the Insurance Officers and liaise with them to see how they can be adequately covered through the insurance.	Medium	The Museum Officer is liaising with Insurance Officers about insurance arrangements for collection and making a priority list. Progress @ November 2011 This is still on-going as there are decisions to be made about the insurance of the collections. Victoria is in consultation with the Regional Conservation Officer. Progress at February 2011 This is still on-going as there are decisions to be made about the insurance of the collections. Victoria Jones and Sarah Priestley have prepared a priority list and are in the process of getting quotations for valuation of this list. ***Progress May 2012*** ***Valuations sought from Bonhams for 21 most significant items within the collection – total valuation £470,000*** ***Victoria has produced a Collections Risk Management Policy, Collection Risk Assessment and an Emergency Plan which all contribute to the safe-guarding of the collection.*** ***All information now with Insurance Officer for consideration. The Bonhams valuations have been sent to the insurers for their files and the values have been incorporated within the existing "All Risks" policy.*** ***Zurich Municipal are also to send details of their "Fine Art" policy and these will be reviewed to determine whether this would be of benefit to the Council.***	Victoria Jones	March 2012	✖	July 2012

Museum 2011/2012

Final report issued August 2011

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.2.8	The Insurance Officer should be contacted to see how the valuation of items could be carried out to achieve best results. Suggestions could include valuing certain groups of items per financial year.	Medium	Heritage Officer and Museum Officer to investigate. There is no museum budget available for valuation of items at present. Progress @ November 2011 As 4.2.7 above Progress at February 2012 As 4.2.7 above *Progress May 2012* *Valuations sort from Bonhams for 21 most significant items within the collection – total valuation £470,000.* *Further valuations to be sought on case by case basis when necessary. Insurance Officer to advise when valuations already sought will need to be updated.* *See also 4.2.7 above.*	Sarah Priestley/ Victoria Jones	March 2012	✗	July 2012

Money Laundering 2011/2012

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.1.7	Procedure notes should be updated to ensure that the correct agency's name is included on it. The notes should then be reviewed on a periodic basis to ensure they reflect the current requirements.	Low	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval. *Position May 2012* *We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of June 2012	✗	

NOTE: Items in Bold Italics represent updates since the last report to Audit Committee

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
	Money Laundering 2011/2012						
	Final report issued January 2012						
4.1.14	A training session should be arranged in conjunction with Three Rivers District Council to ensure that key staff that need to be given further in-depth training are trained.	Medium	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval. *Position May 2012* *We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of June 2012	✖	
4.1.15	Refresher training should then be arranged for all key staff especially within 'CSC' and 'Revenues and Benefits' at regular intervals (e.g. every two years) to ensure that understanding of the practical requirements of the Money Laundering legislation remains current.	Medium	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval *Position May 2012* *We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of June 2012	✖	
4.1.16	The MLRO should liaise with Human Resources to include the Money Laundering policy on the induction packs for new starters to WBC.	Medium	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval. *Position May 2012* *We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of June 2012	✖	
4.1.20	The Deputy MLROs should be formally informed when they are appointed. When updating the procedure notes, the MLRO should ensure that the details of the Deputy MLRO's along with the MLRO's are on the procedure notes. (A recommendation has been made for this information to be included on the e-tool).	High	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval *Position May 2012* *We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of March 2012	✖	*June 2012*

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Money Laundering 2011/2012

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.1.22	The Deputy MLROs should also liaise with the Fraud Manager whenever suspected money laundering activity is reported to them. This would enhance the co-ordination of efforts against money laundering as the Fraud Manager has experience handling money laundering cases that are reported to both WBC and TRDC by outside organisations (like the Banks) who might be investigating a Watford business or resident.	Medium	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval. *Position May 2012 We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of June 2012	✗	
4.1.26	Guidance should be issued by the MLRO to the Revenues Service to explain the process for dealing with cases where refunds are requested by consistent over-payers.	Medium	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval *Position May 2012 We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of June 2012	✗	
4.2.7	The procedure notes should ensure that the MLRO or the Deputy MLRO checks other Council systems whenever suspect activity is reported to them to ensure that the same person is not paying other amounts due to the Council by cash as well.	Medium	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval *Position May 2012 We have drafted policy just need to finalise and circulate.*	Bernard Clarke, Head of Strategic Finance	End of June 2012	✗	
4.2.8	Paperwork gathered should be maintained by the MLRO to demonstrate the work carried out.	High	Garry Turner/Nigel Pollard are drafting a new harmonised policy for TRDC and WBC which will include a new reporting form. The remaining recommendations will be addressed once these Policies have received approval	Bernard Clarke, Head of Strategic Finance	End of March 2012	✗	*June 2012*

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Money Laundering 2011/2012							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position May 2012 *We have drafted policy just need to finalise and circulate.*				
4.1.10	The dates of the Money Laundering regulations should be included on the e-tool. Other regulations that are relevant, namely the Terrorism Act 2000 and Proceeds of Crime Act 2002, should also be mentioned to make the tool fully inclusive.	High	Position is amendments drafted. Learning and Development make changes to the Learning Pool package. Carmel is the expert in this area and is on maternity leave. Linda Brooks is trying to progress the matter. We are therefore awaiting the updates. *Position May 2012* *Still awaiting Carmel to update e learning and is scheduled as urgent on her return from maternity leave in 3 weeks*	Garry Turner, Fraud Manager	End of December 2011.	✗	June 2012
4.1.11	Names and contact details for the MLRO and the Deputy MLRO(s) should also be included on the e-tool along with the limits of cash that would trigger the money laundering process.	High	Position is amendments drafted. Learning and Development make changes to the Learning Pool package. Carmel is the expert in this area and is on maternity leave. Linda Brooks is trying to progress the matter. We are therefore awaiting the updates. *Position May 2012* *Still awaiting Carmel to update e learning and is scheduled as urgent on her return from maternity leave in 3 weeks*	Garry Turner, Fraud Manager	End of December 2011.	✗	June 2012
4.1.12	The e-tool should also mention the Money Laundering procedure notes introduced in 2006 which would add to the information already included in the e-tool.	High	Position is amendments drafted. Learning and Development make changes to the Learning Pool package. Carmel is the expert in this area and is on maternity leave. Linda Brooks is trying to progress the matter. We are therefore awaiting the updates. *Position May 2012* *Still awaiting Carmel to update e learning and is scheduled as urgent on her return from maternity leave in 3 weeks*	Garry Turner, Fraud Manager	End of December 2011.	✗	June 2012

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Vehicle Maintenance 2011/2012

Final report issued February 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
5.1.2	*Systems for monitoring the Serco contract should be fully documented and distributed to the relevant officer at the earliest opportunity.*	*High*	*Agreed* *Position May 2012:* *Draft on circulation for comment and will be finalised and adopted by 31 May 2012*	*Depot & Transport Manager*	*March 2012*	*✗*	*May 2012*
5.2.2	*The Environmental Service should liaise with the Legal and Property service to ensure that a signed contract is in place between the Council and Serco for the maintenance contract.*	*High*	**Agreed** **The Service Improvement Manager is currently liaising with the Legal and Property Services on this matter.** *Position May 2012:* *Completed. Signed contract is now in place*	**Section Head Waste and Recycling**	**March 2012**	✓	
5.4.2	*Management should monitor the performance of the vehicle maintenance contract against key performance indicators and the following control procedures should be put in place (High) :* • *KPI's should be reviewed to ensure that they are accurately and completely compiled,* • *Corrective action should be taken in the event of poor performance identified as part of the KPI's reported,*		**Agreed** **The Service are currently developing a suite of new KPIs which will be included as part of the new contract.** **The performance of the contract is reviewed as part of the monthly meetings with the current supplier.** *Position May 2012:* *A suite of new KPIs has been approved and will reported at the monthly contract meetings and any issues addressed* *A quarterly report will be provided through the quarterly review process.*	**Section Head Waste and Recycling**	**April** **2012**	✓	

Vehicle Maintenance 2011/2012							
Final report issued February 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	• **KPI's should be monitored and reported to the relevant Senior Officer/Member.**						
5.5.2	*The Council should ensure that a copy of the new signed contract with the supplier (selecting at the time of the review) is kept by the Environmental service for performance monitoring purposes and reference for enforcing terms of the contract.*	*High*	**Agreed** **Position May 2012:** **Completed** **A signed copy is at Wiggenhall Depot**	*Section Head Waste and Recycling*	*April 2012*	✔	
5.5.4	*The Environmental service should ensure that adequate arrangements are detailed in the new contract (current contract with Serco expiring on 31st March 2012) for enforcing corrections to or penalties for breaches in performance against the service level agreements.*	*High*	**Agreed** **The Service will ensure that the new contract will cover this area.** **Position May 2012:** **The contract includes dispute resolution and termination clauses.**	*Section Head Waste and Recycling*	*March 2012*	✔	

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Gifts and Hospitality 2011/2012

Final report issued March 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
4.2.4	*The Head of Legal and Property service should remind staff to use the correct forms when declaring any gifts and/or hospitality.*	*Low*	*Will be done on a case by case basis if correct forms are not received.*	*Carol Chen, Head of Legal and Property Services*	*On an ongoing basis.*	✓	
4.2.6	*When the declaration form is next redesigned, space should be provided to allow the recipient and the line manager to print their names as well as sign the form to ensure that officers signing the document can be identified.*	*Low*	*Position May 2012* *This has been done and put on the intranet.*	*Carol Chen, Head of Legal and Property Services*	*End of March 2012*	✓	
4.2.11	*The Shared Services and individual council intranets should be updated with the relevant amendments for Shared Services staff as well to ensure that all Shared Services staff are aware of their obligations. (this recommendation will also be included in the report for Three Rivers District Council).*	*Medium*	*WBC website will be updated by the Head of Legal and Property Services as this is the main website that is checked by all staff. (Similar action has been suggested for TRDC).* *Position May 2012* *This has been done.*	*Carol Chen, Head of Legal and Property Services*	*End of March 2012*	✓	
4.3.6	*Should the decision be taken to retain the Code of Conduct for Members, the Head of Legal and Property Services should ensure that the Code is updated to reflect the implications of Bribery Act 2010.*	*Medium*	*This has already been added to the document that was presented at the Constitutional Working Party on the 23.02.12.* *This will then go to the full council in May 2012 for approval.*	*Carol Chen, Head of Legal and Property Services*	*Already Implemented.*	✓	
4.3.8	*When updates are made to the Codes of Conduct to reflect the implications of the Bribery Act 2010, it should be ensured that appropriate amendments are also made to the contract procedure*	*Medium*	*Contract procedure rules will be amended.* *Anti-fraud and corruption policy is being updated by the Fraud Manager.* *Position May 2012*	*Carol Chen, Head of Legal and Property Services*	*End of May 2012*	✗	*September 2012*

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Gifts and Hospitality 2011/2012

Final report issued March 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
	rules and the Anti-Fraud and Corruption Policy.		*Due to pressures of work on Procurement Manager the contract procedure rules will be updated for September Council* *Anti-fraud and corruption policy is being updated by the Fraud Manager.*				

CSC Income 2011/2012

Final report issued March 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
4.1.12	*The spreadsheet used for recording income by CSC staff should be password protected so that only authorised staff can make amendments.*	*Medium*	*Recommendation actioned on 12.03.12.*	*Michelle Carty, Customer Services Operations Manager*	*With immediate effect.*	✓	
4.2.8	*All CSC staff should be reminded to complete payment details in full. This will help the services when checking accuracy of the income allocations to the finance codes*	*Medium*	*Customer Services Operations Manager will check with the cash office which of the fields need to be populated and which ones are pre-populated for each of the service.* *The outcome will be put in the team bulletin for all CSC staff to action. Internal audit will also be notified of the outcome.* *Recommendation actioned on 13.03.12.*	*Michelle Carty, Customer Services Operations Manager*	*End of April 2012.*	✓	

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eFinancials Post Implementation Review and Data Security 2011/2012

Final report issued March 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
5.3.4	*There should be adequate management trails in place which record remote access and changes to eFinancial systems by ABS and Well Data. Also these management trails should be reviewed by a senior officer to ensure that only valid access and changes are made to eFinancials and this control procedure should be evidenced for management review purposes. The review of the management trails may be achieved by using an automated software tool.*	*High*	*The servers log a certain amount of change and also remote access is logged by the AppGate system.* *ICT will investigate with ABS whether there is additional audit logging available at the application level and the potential cost to the councils of implementing this.* *It should be noted that ICT Service have a defined Change Management Control Procedure in place which has been reviewed by Internal Audit. Also all changes to e-financials system are filtered via Senior Accounts Assistant who logs the request with ICT Service Desk. Furthermore ICT Service have access to review ABS and Well Data helpdesk systems which record work done on our systems.*	*Head of ICT*	*December 2012*	✖	
5.4.3	*There should be effective systems in place to ensure that when officers leave the Council their access to eFinancials system is disabled. This will be achieved by the HR Service sending monthly leaver reports and nil returns when there have been no cases, to the Senior Accounts Assistant.*	*High*	*The Senior Accounts Assistant will liaise with the Human Resources service regarding this issue.* *(Post Audit note : The HR service have e-mailed a WBC & TRDC list of leavers to the Senior Accounts Assistant).* *Position May 2012:* *This is in place now, the Senior Accounts Assistant receives notifications and disables users.*	*Senior Accounts Assistant*	*Immediate*	✓	

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eFinancials Post Implementation Review and Data Security 2011/2012

Final report issued March 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
5.5.5	*The ICT service should allocate responsibility to a named senior officer for ensuring that penetration testing is carried out annually and that the issues raised in the report are addressed promptly. This Officer should report vulnerabilities identified as part of the penetration testing which relate to Service systems to the appropriate System Administrator. (High)*	*High*	*A quote for the next round of penetration tests has been requested from the supplier at our last meeting on 11th January 2012.*	*Infrastruct-ure Manager (or Service Provider if outsourced at time of ITHC).*	*December 2012*	✗	
5.5.7	*There should be a process in place to address high risk issues identified at the time of the penetration test being carried out. These issues should be addressed by a senior officer at the earliest opportunity and the action taken should be recorded for management review purposes.*	*High*	*See 5.5.5 above.*	*Infrastructure Manager (or Service Provider if outsourced at time of ITHC).*	*December 2012*	✗	
5.6.4	*The Treasury and Technical Officers should not be able to set-up or change bank details on the relevant CHAPS system (WBC or TRDC). A senior Finance officer independent from the Treasury Management section and who does not transmit CHAPS payments should be designated with the role of setting up and changing bank details.*	*High*	*The bank computer system (TRDC ; NAT West) has been set-up to require a second officer to authorise set-up or changes to bank details.* *The bank system (WBC : Co-operative) not possible to implement the above computer control. Therefore the System Administrator who is independent from the Treasury Management section will regularly review changes made on the CHAPS system to supporting documentation and will evidence this control procedure.*	*Finance Manager*	*Immediate*	✓	

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eFinancials Post Implementation Review and Data Security 2011/2012							
Final report issued March 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
5.6.6	*CHAPS payments (investments) should only be processed by a senior officer if there is a counterparty document to verify that the bank details i.e. account number and sort code as per the above documentation agree to the CHAPS system. This control check should be evidenced on the CHAPS request form (WBC) and Nat West Chaps payment form (TRDC).*	*High*	*The senior officer authorising payments will be required to sign a form as evidence of checking bank details to the counterparty documentation.*	*Treasury & Technical Officer*	*Immediate*	✗	
5.6.8	*When payments to suppliers or staff are required by CHAPS the senior officer who authorises the payment on the CHAPS system should verify independently for payments over £1K that the bank account details provided on the CHAPS Request form are valid.*	*High*	*Supplier bank details will be checked to existing records kept by the creditors section. If details are not kept the supplier will be contacted using an independent source to confirm the accuracy and validity of bank account details.* *When payments to staff are required by CHAPS, the Human Resources Service will be instructed to append evidence of staff bank details (obtained from resourcelink : HR system) with the authorisation documentation.* *Position May 2012:* *This is now in operation.*	*Finance Manager*	*Immediate*	✓	
5.6.11	*Systems for processing and transmitting CHAPS payments should be fully documented and distributed to the relevant officer(s) at the earliest opportunity.*	*High*	*It was agreed that the systems will be fully documented.* *Position May 2012:* *This is now in operation.*	*Technical & Treasury Officers*	*April 2012*	✓	

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