

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	<p>The Service Catalogue should be updated and finalised to ensure it contains a listing of all the current services being provided by ICT.</p> <p>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.</p>	Important	<p>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 (February 2012) As at August 2011 above.</p> <p>Position (June 2012) Update regarding IT Tender is that any potential transition to an outsourced provider would be early 2013.</p> <p><i>Position (August 2012)</i> <i>No change from June update</i></p>	Head of ICT	June 2011	x	On Hold
03	<p>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.</p> <p>Management should ensure that procedures and processes are documented to escalate calls to Service Desk management when the incident is approaching the SLA to help identify if remedial action is required.</p>	Important	<p>To be investigated and rectified.</p> <p>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 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</p>	Head of ICT	June 2011	x	On Hold

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			with the service desk differently from 1 Oct 2012. Position (February 2012) As at August 2011 above. Position (June 2012) Update regarding IT Tender is that any potential transition to an outsourced provider would be early 2013. <i>Position (August 2012)</i> <i>No change from June update</i>				

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-depth handover process by ICT.	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 occur by the end of December 2011 Position (October 2011) As at August 2011 above.	Head of ICT	June 2011	✓	December 2011

BACS Procedures							
Final report issued March 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>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.</p> <p>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.</p> <p><i>Position (August 2012)</i> <i>Transfer to R&B complete with training provided.</i></p>				

Payroll							
Final report issued March 2011							
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4.10.5	Arrangements should be made to harmonise the process for making third party payments.	Medium	<p>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</p> <p>Position August 2011: This requires rewriting the interfaces between</p>	Finance Manager (Dot Reynolds)	April 2011	✓	<p>April 2012</p> <p>July 2012</p> <p>July/ August 2012</p>

Payroll							
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Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Payroll and COA. This is not a major priority as the current arrangements are satisfactory to meet the operational needs.</p> <p>Position October 2011: As at August 2011 above.</p> <p>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 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.</p> <p>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.</p> <p><i>Position August 2012: Northgate completed work on payroll journal codes in July 2012. Northgate will make third party payments from September 2012. This will harmonise the process for making third party payments.</i></p>				

Health & Safety Follow Up							
Final report issued November 2010							
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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	<p>Update Aug 2011 Discussions have taken place, however, report format has not been updated. Recommendation is still under review.</p> <p>Update December 2011 Recommendation is still under review.</p> <p>Update January 2012. To be reviewed and resolved by 31 March 2012</p> <p>Update May 2012 Item to be discussed at next LT on 15 May. Do not believe report format is due to be updated.</p> <p><i>Update August 2012 Due to the age of this recommendation and the fact that H&S is now under better control than previously, I no longer consider this to be required. H&S is raised regularly at LT meetings and Management Board in Three Rivers. No major concerns have been raised regarding Health and Safety.</i></p>	Shared Services Head of Human Resources	December 2010.	✓	<p>31 March 2012</p> <p>15 May 2012</p>
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	<p>November 2010. Responsibility of Legal & Property Services. H&S Advisor to comment on via risk based audits</p> <p>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</p>	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							
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			<p>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.</p> <p>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 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 .</p> <p>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</p>				June 2012

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			<p>May to scope the final requirements for delivery of this module.</p> <p>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. Implementation to commence Q2 2012/13 once final layout approved.</p> <p><i>Position (August 2012)</i> <i>Statutory Data is held in Buildings & Projects. Copies of relevant data is included in the building site logs that have been distributed. All outstanding actions from the H&S Audit for Buildings & Projects have been completed and signed off.</i> <i>Roles & Responsibilities Spreadsheet has been handed to the Property Section for population. Asset Management Database is in final Preparation Stage for accessing stored statutory information but has had to be deferred pending delivery of other Key Authority Projects. Continuation of the Asset Management Database will take place in September 2012 which is still in-keeping with previous update.</i></p>				July – September 2012

Asset Management							
Final report issued March 2011							
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5.4.7	There should be detailed procedures in place for administering the fixed asset registers.	High	<p>Agreed</p> <p>The procedures will be compiled to take account of the IFRS standard.</p> <p>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.</p> <p>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</p> <p>Position May 2012: Closing of accounts in progress. Deadline remains July 2012.</p> <p><i>Position August 2012: General procedures can be documented, but detailed procedures relate to the screens in the Financial Management System (FMS). The FMS is being upgraded, going live with version 4.1 on 20 August. Detailed procedures will be written with reference to the upgraded version.</i></p>	Finance Manager	June 2011	*	July 2012 <i>October 2012</i>

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	A remote working policy and procedures should be developed. This should include all areas pertaining to remote working.	Important	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. <i>Position (August 2012)</i> <i>No change from June update</i>	Head of ICT	March 2012	x	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	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) <ul style="list-style-type: none"> 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. <i>Position (August 2012)</i> <i>No change from June update</i>	Head of ICT	March 2012	x (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	Important	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.	Head of ICT	March 2012	x	December 2012

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	offices through loss, theft or mishandling. In particular the increased risk of breaches in data security and confidentiality when Council information is accessed using non-Council equipment should be evaluated and any necessary countermeasures developed.		Position June 2012 This has been delayed due to staff workload relating to the IT tender. <i>Position (August 2012)</i> <i>No change from June update</i>				
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. <i>Position (August 2012)</i> <i>No change from June update</i>	Head of ICT	March 2012	x	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 <i>Position (August 2012)</i> <i>Rollout of this functionality is being planned and intended to be in place within the deadline.</i>	Infrastructure Manager	June 2012	x	December 2012
08	Management should ensure that mobile devices are recorded on the IT Asset Register when new stock is issued and when stock is returned from users.	Important	Agreed. However, mobile phones are not within the remit of ICT Shared Services, they are under the remit of Corporate Services. Hence need to determine responsibility for recording of mobile phone assets within WBC and TRDC.	Head of ICT Corporate Services (Office Services Manager)	March 2012	✓	

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			<i>Progress (August 2012)</i> <i>The register of mobile phones for Watford Borough Council is maintained by the Member Development and Civic Officer (Maternity Cover)</i>				
09	<p>Management should ensure that security settings on mobile device handsets such as iPhones enforce the following settings:</p> <ul style="list-style-type: none"> • Devices should be required to be protected by a power on password or PIN. Any default passwords or PIN codes need to be changed on first use, these should not be removed unless authorised in writing by ICT; • Devices should be set to 'Non-discoverable' or 'Hidden' to help prevent information disclosure by short distance data transfer; and • Users should be restricted from reconfiguring the security settings on devices. <p>The remote wipe solution should be investigated to ensure all the data stored on the mobile phone can be wiped either remotely or by exceeding the login threshold. Management should ensure that only ICT approved mobile devices should be procured and issued and all confidential and sensitive data held on mobile device</p>	Important	<p>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.</p> <p>The implementation of a Blackberry Enterprise Server will address the above recommendation and will be identified as a future project for the ICT Service.</p> <p><i>Position (August 2012)</i> <i>Due to the large resource and investment required with this, it will be assigned a priority once the future of the ICT Shared Service is known.</i></p>	Infrastructure Manager	March 2013	x	

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	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	<p>Agreed</p> <p>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.</p> <p>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</p> <p><i>Position (August 2012)</i> <i>No change from June update</i></p>	Infrastructure Manager	March 2012	x (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	<p>Agreed</p> <p>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.</p> <p><i>Position (August 2012)</i> <i>No change from June update</i></p>	Infrastructure Manager	March 2012	x (partly met)	March 2014

Audit Plan 2011/2012

IT Project Management 2011/2012							
Final report issued November 2011							
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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 <i>Position (August 2012)</i> <i>This has not progressed due to resource constraints caused by work on the ICT Outsourcing</i>	Avni Patel, Head of ICT	October 2012	*	

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.	Victoria Jones	March 2012	✓	

Museum 2011/2012							
Final report issued August 2011							
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			<p>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.</p> <p>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.</p> <p><i>Progress August 2012 As above – all information required by Museum has been sent to Insurance Officers for Consideration. Further Progress reports to be sort from Sarah Priestley, Museum & Heritage Manager as Victoria Jones leaving August 2012</i></p>				July 2012
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	<p>Heritage Officer and Museum Officer to investigate. There is no museum budget available for valuation of items at present.</p> <p>Progress @ November 2011 As 4.2.7 above</p> <p>Progress at February 2012 As 4.2.7 above</p>	Sarah Priestley/ 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
			<p>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.</p> <p><i>Progress August 2012 As above – all information required by Museum has been sent to Insurance Officers for Consideration. Further Progress reports to be sort from Sarah Priestley, Museum & Heritage Manager as Victoria Jones leaving August 2012</i></p>				

Money Laundering 2011/2012							
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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	<p>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.</p> <p>Position May 2012 We have drafted policy just need to finalise and circulate.</p>	Bernard Clarke, Head of Strategic Finance	End of June 2012	✓	

Money Laundering 2011/2012							
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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. <i>Position August 2012 Just amending Bribery act on E learning before issuing</i>	Bernard Clarke, Head of Strategic Finance	End of June 2012	*	<i>October 2012</i>
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. <i>Position August 2012 Just amending Bribery act on E learning before issuing</i>	Bernard Clarke, Head of Strategic Finance	End of June 2012	*	<i>October 2012</i>
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. <i>Position August 2012 HR aware of new requirement and also that</i>	Bernard Clarke, Head of Strategic Finance	End of June 2012	✓	

Money Laundering 2011/2012							
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			<i>of Bribery Act discussed at LT. They are reviewing induction.</i>				
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
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. <i>Position August 2012 E learning training will address this query. Just updating bribery act before issuing</i>	Bernard Clarke, Head of Strategic Finance	End of June 2012	*	<i>October 2012</i>

Money Laundering 2011/2012							
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			<i>revised E learning</i>				
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. 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
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.	Garry Turner, Fraud Manager	End of December 2011.	✓	June 2012

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			Position May 2012 Still awaiting Carmel to update e learning and is scheduled as urgent on her return from maternity leave in 3 weeks				
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

Vehicle Maintenance 2011/2012							
Final report issued February 2012							
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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 <i>Position August 2012</i> <i>Work on the waste and recycling/ street</i>	Depot & Transport Manager	March 2012	*	May 2012 <i>October 2012</i>

Vehicle Maintenance 2011/2012							
Final report issued February 2012							
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			<i>cleansing redesign has meant that this recommendation has not progressed since May.</i>				

Gifts and Hospitality 2011/2012							
Final report issued March 2012							
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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 rules and the Anti-Fraud and Corruption Policy.	Medium	<p>Contract procedure rules will be amended.</p> <p>Anti-fraud and corruption policy is being updated by the Fraud Manager.</p> <p>Position May 2012 Due to pressures of work on Procurement Manager the contract procedure rules will be updated for September Council</p> <p>Anti-fraud and corruption policy is being updated by the Fraud Manager.</p> <p><i>Position August 2012 Ongoing work pressures on the Procurement Manager mean that the redrafting of the Contract Procedure Rules and the standard contract terms & conditions has been postponed until December 2012.</i></p>	Carol Chen, Head of Legal and Property Services	End of May 2012	*	September 2012 <i>December 2012</i>

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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	<p>The servers log a certain amount of change and also remote access is logged by the AppGate system.</p> <p>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.</p> <p>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.</p> <p><i>Position (August 2012)</i> <i>This matter is still under investigation with the suppliers of the system and Well Data.</i></p>	Head of ICT	December 2012	*	
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	<p>A quote for the next round of penetration tests has been requested from the supplier at our last meeting on 11th January 2012.</p> <p><i>Position (August 2012)</i> <i>Penetration tests for both councils were undertaken in June 2012 and the recommendations within the report are being worked on by the ICT Team.</i></p>	Infrastructure Manager (or Service Provider if outsourced at time of ITHC).	December 2012	✓	

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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. <i>Position (August 2012) Remedial actions on the high risk issues identified by the report are addressed as a priority by the team and we have procured external consultancy due to take place in September 2012 to assist is in implementing these.</i>	Infrastructure Manager (or Service Provider if outsourced at time of ITHC).	December 2012	✓	

Accounts Payable 2011/2012							
Final report issued July 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline

Accounts Payable 2011/2012							
Final report issued July 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.4	<i>Heds of all services across both authorities should be reminded by the Head of Finance to ensure that supplier invoices for their service are addressed to the Accounts Payable Team, which is in keeping with the established procedure. Any services needing to review an invoice before receipting it can do so by looking at the electronic copy of the invoice on eFinancials. Once the service is happy, the invoice can be receipted which would enable the Accounts Payable team to pay it promptly.</i>	Medium	<i>A reminder will be sent. There is no need for the service to view an actual copy of the invoice as invoices are scanned on the system. The reminder will include the correct process of raising orders prior to receipt of invoice. See 4.1.9 below.</i>	Head of Finance	September 2012	✓	
4.1.9	<i>The AP team should monitor the number of PO's that are raised after invoices are received on a quarterly basis for both authorities to see if any improvement in trend is noticeable and to identify any persistent areas of failure. These figures should be published to show the rise or fall in the use of commitment accounting by services across both councils.</i>	Medium	<i>Regular monitoring will not be possible following resource reductions to accounts payable team. However should resources allow the Accounts Payable team will address this issue.</i>	Senior Finance Officer	Not applicable	✓	

IT – Asset Management and Virus Protection 2011/2012							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	<p><i>An IT Asset Management Policy should be developed to define the objectives, scope, and resource requirements for IT Asset Management.</i></p> <p><i>Additionally, procedures for the management of all physical IT assets owned by the Council from procurement and maintenance to their disposal and destruction should be documented and procedures for performing asset management activities, such as asset identification, control, status accounting, auditing and analysing assets should be defined for all staff involved in maintaining the asset register.</i></p>	Important	<p>Partly Agreed. <i>Non-IT equipment is not the responsibility of the ICT Shared Service and will need to be raised with the appropriate managers listed below.</i></p> <p>Position (August 2012) <i>No progress to report since this report was issued in August 2012</i></p>	Avni Patel, Head of ICT	December 2012	x	
02	<p><i>The responsibility for IT asset management should be formally assigned.</i></p>	Minor	<p>Agreed</p> <p>Position (August 2012) <i>This is included within the JD of the Service Desk Manager and has also been identified as a requirement in the ICT Tender for potential suppliers to fulfil.</i></p>	Avni Patel Head of ICT	September 2012	✓	
03	<p><i>Management should perform a review of all assets recorded within the Asset Register to help ensure that the data input is up-to-date, complete and accurate.</i></p> <p><i>The following details should in particular be recorded for all assets to facilitate monitoring and tracking of all IT hardware and software.</i></p>	Important	<p>Agreed</p> <p>Position (August 2012) <i>No progress to report since this report was issued in August 2012. It may be most practical to do this during the transition phase if the service is to be outsourced.</i></p>	Avni Patel Head of ICT	December 2012	x	

IT – Asset Management and Virus Protection 2011/2012							
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04	<i>All hardware assets should be labelled upon their delivery and stored securely when they are not in use.</i>	<i>Important</i>	<i>Agreed</i> <i>Position (August 2012)</i> <i>A reminder has been sent to all ICT Staff to ensure that this process is adhered to.</i>	<i>Avni Patel</i> <i>Head of ICT</i>	<i>August 2012</i>	✓	
05	<i>A review should be undertaken to ensure that system update access to the IT Asset Register is restricted on a need to know basis.</i>	<i>Important</i>	<i>Agreed</i> <i>Position (August 2012)</i> <i>This is scheduled for completion this month.</i>	<i>Avni Patel</i> <i>Head of ICT</i>	<i>August 2012</i>	x	
06	<i>The Shared Service should ensure that printers and scanners are recorded on the Asset Register.</i>	<i>Important</i>	<i>Agreed</i> <i>Position (August 2012)</i> <i>No progress to report since this report was issued in August 2012. It may be most practical to do this during the transition phase if the service is to be outsourced.</i>	<i>Avni Patel</i> <i>Head of ICT</i>	<i>August 2012</i>	x	
07	<i>Management should review the physical security applied to IT equipment to ensure that all equipment is appropriately secured when in use within Council premises. Specifically this should ensure that:</i> <ul style="list-style-type: none"> • <i>IT equipment is locked away when not in use; and</i> • <i>All portable ICT equipment has cable locks assigned when issued.</i> 	<i>Minor</i>	<i>Part agreed – access to the council building and meeting rooms is via a security badge. Only the ICT equipment in the reception area is accessible to the public.</i> <i>Whilst we agree that equipment in the ICT area that is new or unused will be locked away, the meeting room bookings are automated and the council does not have the resource to manage access to a locked cabinet for meetings.</i> <i>Position (August 2012)</i> <i>Any new portable equipment will be procured with Kensington locks from this</i>	<i>Avni Patel</i> <i>Head of ICT</i>	<i>August 2012</i>	✓	

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			<p><i>point on.</i></p> <p><i>All laptops in WBC meeting rooms are already locked with Kensington locks. The rooms in TRDC are only associable via an ID badge. Neither councils have the capacity to unlock and lock equipment for each different meeting that takes place therefore this recommendation will not be implemented.</i></p>				
08	<p><i>The Shared Service should develop procedures to ensure that when IT assets are no longer required that they are marked as disposed of on the asset register. Equipment that is physically destroyed either in house or by a third party should be periodically reconciled to the Asset Register to ensure that all hardware has been securely disposed.</i></p>	Important	<p>Agreed</p> <p><i>Position (August 2012) No progress to report since this report was issued in August 2012</i></p>	<p>Avni Patel Head of ICT</p>	December 2012	*	
09	<p><i>We recommend that antivirus configuration settings should be consistent across both WDC and TRDC to ensure settings have been updated. In addition processes should be established to periodically review the current status of Anti-Virus updates to all devices managed by the Shared Service.</i></p>	Important	<p>Agreed</p> <p><i>Position (August 2012) No progress to report since this report was issued in August 2012</i></p>	<p>Avni Patel Head of ICT</p>	December 2012	*	

Recruitment 2011/2012							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.8	<i>To provide consistent confirmation of the authority to advertise a post and the relevant details associated with the funding for that post a copy of the Request to fill post should be provided by services for all future vacancies prior to advertising to recruit to those vacancies.</i>	Medium	<i>Position August 2012 Stipulated in Recruitment policy and HR Advisors fully aware of the requirement</i>	<i>Cathy Watson, Human Resources Manager</i>	<i>End of July 2012.</i>	✓	
4.1.10	<i>Copies of the Request to fill posts should be filed on the personal file of the member of staff appointed to the post by the HR officer to demonstrate that authorisation was obtained before posts were advertised.</i>	Medium	<i>Position August 2012 Detailed on HR recruitment checklist and HR Advisors fully aware of requirement</i>	<i>Cathy Watson, Human Resources Manager</i>	<i>End of July 2012.</i>	✓	
4.1.15	<i>Copies of ID documents taken should be marked to confirm that the copy is of the original documents. The officer taking the copy should then initial and date the copy.</i>	Medium	<i>Position August 2012 HR Advisors fully aware of requirement</i>	<i>Cathy Watson, Human Resources Manager</i>	<i>With immediate effect.</i>	✓	
4.1.20	<i>Amendments should be made to the appointment letter/contract of employment templates to ensure that exact start date is specified for HR records.</i>	High	<i>This is HR responsibility under the new policy.</i>	<i>Cathy Watson, Human Resources Manager</i>	<i>Already implemented.</i>	✓	

Recruitment 2011/2012							
Final report issued August 2012							
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4.1.24	<i>Information on the checklist should be updated in full including initials of the HR Officer completing the action and the date when it was completed.</i>	<i>Medium</i>	<i>Position (August 2012) Checklist updated and HR Advisors fully aware of requirement</i>	<i>Cathy Watson, Human Resources Manager</i>	<i>With immediate effect.</i>	✓	
4.3.10	<i>HR should ensure that six monthly reports are received from Comensura confirming compliance by agencies with appropriate vetting controls.</i>	<i>High</i>	<i>Position (August 2012) 6 monthly audit report received in August 2012; calendar reminder entry for February 2013 made. Confirmation of requirement with Comensura</i>	<i>Cathy Watson, Human Resources Manager</i>	<i>End of July 2012.</i>	✓	
4.3.14	<i>WBC and TRDC should review the potential benefits of using the Hertfordshire County framework for procurement of agency staff.</i>	<i>Medium</i>	<i>Position (August 2012) Agreed. The County framework should be signed by September and a presentation will then be made to District Heads of HR to see who wishes to use the new framework. HR will review at that stage.</i>	<i>Cathy Watson, Human Resources Manager</i>	<i>End of March 2013.</i>	x	

Audit Plan 2012/2013

Closure of Accounts for 2011/2012							
Final report issued June 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.2.8	<i>Lessons from the 2011/12 process must be captured and turned into an improvement plan for the affected Services. Progress against this plan must be monitored during the year to ensure that the necessary improvements are implemented in advance of the closure process for 2012/13.</i>	HIGH	<i>Agreed. Finance will continue its practice of improving the annual closing programme to reflect emerging issues from the 2011/12 Closing of Accounts.</i>	Finance Manager (Stephen Exton)	March 2013	*	