

## 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>Position (August 2012) No change from June update</p> <p>Position (November 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting.</p> <p><b><i>Position January 2013</i></b></p> <p><b><i>Provision of a Service Request Catalogue is part of the Capita proposal. This will define services and items that can be ordered by the Councils users.</i></b></p>	Head of ICT/ICT Client Manager	June 2011	<b>x</b>	<p>On hold</p> <p><b><i>May 2013</i></b></p>

IT Service Desk and Change Management Audit							
Final report issued March 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<i>The interface to Service Desk will be documented and published during Transition, and strictly adhered following Service Commencement.</i>				
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.</p> <p>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 with the service desk differently from 1 Oct 2012.</p> <p>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>Position (August 2012) No change from June update</p>	Head of ICT / ICT Client Manager	June 2011	<b>x</b>	On hold  <b>May 2013</b>

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
			<p>Position (November 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting.</p> <p><b><i>Position January 2013</i></b></p> <p><b><i>Capita's proposal includes the implementation of a replacement ServiceDesk solution (see 5 Solution Overview section 2.2/2.5/2.7)</i></b></p> <p><b><i>Capita's Service Desk, Incident Management and Change Management processes ensure that all related SLAs are strictly monitored in real-time and reported at month-end, with underlying trends analysed via Problem Management.</i></b></p>				



Health & Safety Follow Up							
Final report issued November 2010							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>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.</p> <p>A new spreadsheet for capturing roles and responsibilities for WBC &amp; 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>Position (August 2012) Statutory Data is held in Buildings &amp; Projects. Copies of relevant data is included in the building site logs that have been distributed. All outstanding actions from the H&amp;S Audit for Buildings &amp; Projects have been completed and signed off. Roles &amp; 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.</p>			<p>*</p> <p>(Partly resolved)</p>	<p>July – September 2012</p>

Health & Safety Follow Up							
Final report issued November 2010							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position November 2012 Phase Four of Asset Management System has been scoped and awaiting implementation following sign off for the other phases. Front Loading of asset information continues ad hoc by the Property Team as agreed within the Project Steering Group. R&amp;M function is fully operational and auditable. CAD &amp; Asset data is in a pilot test system being evaluated before rolling out across the portfolio as part of phase four works. Works progress as resources allow but this is a long term project requiring several years of investment. Deadline for review as indicated right.</p> <p><b><i>Position Feb 2013</i></b></p> <p><b><i>All compliance Data exists and is accessible within the section. Electronic files are located within the department and are available on request. The Authority is now seeking to further refine the process through a partnership contract if proven to be commercially viable. Completion of this procurement is 31 Mar 2014. Recommend this item is viewed as resolved.</i></b></p>			<p>* (Partly resolved)</p> <p>✓</p>	<p>March 2013 (Not yet due).</p> <p><b><i>February 2013</i></b></p>

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	<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>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.</p>	Finance Manager	June 2011	* (Partly resolved)	<p>July 2012</p> <p>October 2012</p> <p>November 2012</p> <p><b>July 2013</b></p>

<b>Asset Management</b>							
Final report issued March 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			Position November 2012 A bug in the fixed asset module has further delayed the implementation of this recommendation. It was has fixed in October 2012, and procedures will be written by the end of November.  <b><i>Position January 2013</i></b> <b><i>Changes to the Asset Register are infrequent and mostly confined to year end accounting entries. Testing has been done on the new version and notes written for those procedures that required testing. The remainder will be written at the year end, with appropriate screen shots, as the accounting entries are carried out.</i></b>				



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	<p>To be included within the IT Security Policy and Handbook for both WBC and TRDC.</p> <p>Position June 2012 This has been delayed due to staff workload relating to the IT tender.</p> <p>Position (August 2012) No change from June update</p> <p>Position (November 2012) No change from August update</p> <p><b><i>Position January 2013</i></b></p> <p><b><i>Capita can help with advice on this but the responsibility for this lies with the Council's Head of ICT or ICT Client Managers.</i></b></p>	Head of ICT/ICT Client Manager	March 2012	<b>x</b>	December 2012  <b><i>May 2013</i></b>
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	<p>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.</p> <p>Position (February 2012)</p> <ul style="list-style-type: none"> <li>WBC T&amp;C for mobile phone usage has been completed and sent out to all mobile phone users.</li> <li>T&amp;C for all laptops and TRDC Mobile phones is pending.</li> </ul> <p>Position June 2012 This has been delayed due to staff workload relating to the IT tender.</p>	<p>Head of ICT / ICT Client Manager (T&amp;C for laptops)</p> <p>Helen Smith (WBC Mobile phones)</p> <p>Phil King (TRDC mobiles)</p>	March 2012	<b>x</b> (Part resolved)	December 2012  <b><i>May 2013</i></b>

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Position (November 2012) No change from August update</p> <p><b><i>Position January 2013 Capita can help with advice on this but the responsibility for this lies with the Council's Head of ICT or ICT Client Managers for the laptops and Helen Smith\Phil King for mobile phones.</i></b></p>				
03	<p>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.</p> <p>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.</p>	Important	<p>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.</p> <p>Position June 2012 This has been delayed due to staff workload relating to the IT tender.</p> <p>Position (August 2012) No change from June update</p> <p>Position (November 2012) No change from August update</p> <p><b><i>Position January 2013 Risk of data loss have been included in the latest ICT Service Plan and were approved JSSC in November.</i></b></p>	Head of ICT	March 2012	✓	<b><i>December 2012</i></b>

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<b><i>2 factor authentication onto a harmonised VPN solution (Appgate) has been implemented and is ready for roll out. Capita can help with advice on this but the responsibility for this lies with the Council</i></b>				
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	<p>Agreed</p> <p>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.</p> <p>Position (August 2012) No change from June update</p> <p>Position (November 2012) Work is currently being carried out to cleanse the active directory of old accounts.</p> <p>The councils are currently conducting due diligence with the preferred supplier for the ICT Service. If outsourced, the supplier will have processes and procedures in place for this. <b><i>Position January 2013</i></b></p> <p><b><i>The Capita ServiceDesk will provide a service to suspend/remove dormant accounts once informed by the Council via a Service Request. It is assumed that the Active Directory is clean on Service Commencement.</i></b></p>	Head of ICT / ICT Client Manager	March 2012	<b>x</b>	<p>December 2012</p> <p><b><i>May 2013</i></b></p>

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p><i>Ref.5 Solution Overview section 2.7.1. "The Request Fulfilment process will facilitate the delivery of low risk, low cost and frequently occurring standard operational changes that are documented, repeatable and will have been previously implemented.</i></p> <p><i>Typical examples include day to day administrative tasks, for example to cater for new users and leavers [...]Capita will agree the types of Change that can be handled through the standard Service Requests and finalise the relevant Request Fulfilment processes with the Councils during Transition."</i></p> <p><i>The process for this will be defined during transition.</i></p> <p><i>The return/re-allocation of IT equipment will be defined during transition as part of the Change and Asset Management processes as defined in Section 8 Schedule 4.1 Statement of Work Item 3.4 Assets.</i></p>				
05	The ICT Shared Service should ensure the two-factor user authentication solution is enabled for remote users to gain remote access to the Council networks.	Important	<p>Agreed</p> <p>Position (June 2012): This has been installed and we are in the process of testing this functionality</p> <p>Position (August 2012) Rollout of this functionality is being planned and intended to be in place within the deadline.</p>	Head of ICT / ICT Client Manager	June 2012	x	December 2012  <b>May 2013</b>

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			Position (November 2012) No change from August update  <b><i>Position January 2013</i></b>  <b><i>Two factor authentication has not been rolled out but is planned to be completed before service commencement with Capita.</i></b>				
09	Management should ensure that security settings on mobile device handsets such as iPhones enforce the following settings: <ul style="list-style-type: none"> <li>• 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;</li> <li>• Devices should be set to 'Non-discoverable' or 'Hidden' to help prevent information disclosure by short distance data transfer; and</li> <li>• Users should be restricted from reconfiguring the security settings on devices.</li> </ul> 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	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.  Position (August 2012) Due to the large resource and investment required with this, it will be assigned a priority once the future of the ICT Shared Service is known.  Position (November 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting.	ICT Client Manager	March 2013	<b>x</b>	March 2014

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	the login threshold. Management should ensure that only ICT approved mobile devices should be procured and issued and all confidential and sensitive data held on mobile device handsets such as iPhones is adequately encrypted according to the sensitivity of the data		<b><i>Position January 2013</i></b> <b><i>Mobile telephony is outside the proposal. Implementation of a Blackberry solution which can provide all of these requirements has been included as part of 13/14 project requirement and will be discussed during transformation.</i></b>				
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  Position (August 2012) No change from June update  Position (November 2012) No change from August update  <b><i>Position January 2013</i></b> <b><i>This will be undertaken as defined in Section 8 Schedule 4.1 Statement of Work Item 3.4 Assets (3.4.40 and 3.4.43), the exact processes to be defined and agreed during Transition.</i></b>	Head of ICT / ICT Client Manager	March 2012	<b>x</b> (partly met)	March 2014  <b><i>May 2013</i></b>

IT Remote Working 2010/2011							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
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>Position (August 2012) No change from June update</p> <p>Position (November 2012) No change from August update</p> <p><b><i>Position January 2013</i></b></p> <p><b><i>Capita would expect the Council project to be completed prior to service take-on. Capita will provide OS and AV updates as per Section 8 Schedule 4.1 Statement of Work Item 3.2.8</i></b></p> <p><b><i>Any new laptops issued post Service Commencement will be configured for OS and AV updates.</i></b></p>	Infrastructure Manager	March 2012	<b>x</b> (partly met)	March 2014 <b><i>May 2013</i></b>

**Audit Plan 2011/2012**

<b>IT Project Management 2011/2012</b>							
Final report issued November 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	An IT Strategy that supports both Councils' corporate strategies needs to be implemented to direct the forward usage of ICT within both Councils and the Shared Service. An IT strategy should be developed in consultation with the business strategies for both Councils and the Shared Service to ensure that IT development links into corporate priorities.	Minor	<p>Agreed</p> <p>Position (August 2012) This has not progressed due to resource constraints caused by work on the ICT Outsourcing</p> <p>Position (November 2012) The councils are currently conducting due diligence with the preferred supplier for the ICT Service. The decision to outsource will have a large impact on the strategy.</p> <p><b><i>Position January 2013</i></b> <b><i>Capita can help with advice on this but the responsibility for this lies with the ICT Client Manager roles which are currently being advertised at both councils</i></b></p>	Head of ICT / ICT Client Manager	October 2012	*	<p>March 2013</p> <p><b><i>May 2013</i></b></p>



<b>Money Laundering 2011/2012</b> Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
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.  Position August 2012 Just amending Bribery act on E learning before issuing  Position November 2012 – Updates created but new E Learning platform Vine will not be launched until January 2013. The new platform is an enhanced tool and will provide more functionality for users.	Bernard Clarke, Head of Strategic Finance	End of June 2012	*	October 2012  February 2013 <i><b>(Not yet due)</b></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.  Position August 2012 Just amending Bribery act on E learning before issuing  Position November 2012 – Updates created but new E Learning platform Vine will not be launched until January 2013. The new platform is an enhanced tool and will provide more functionality for users.	Bernard Clarke, Head of Strategic Finance	End of June 2012	*	October 2012  February 2013 <i><b>(Not yet due)</b></i>

Money Laundering 2011/2012							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
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	<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 Position May 2012 We have drafted policy just need to finalise and circulate.</p> <p>Position August 2012 E learning training will address this query. Just updating bribery act before issuing revised E learning</p> <p>Position November 2012 – Updates created but new E Learning platform Vine will not be launched until January 2013. The new platform is an enhanced tool and will provide more functionality for users.</p>	Bernard Clarke, Head of Strategic Finance	End of June 2012	*	<p>October 2012</p> <p>February 2013 <b><i>(Not yet due)</i></b></p>

IT – Asset Management and Virus Protection 2011/2012							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>An IT Asset Management Policy should be developed to define the objectives, scope, and resource requirements for IT Asset Management.</p> <p>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.</p>	Important	<p>Partly Agreed.</p> <p>Non-IT equipment is not the responsibility of the ICT Shared Service and will need to be raised with the appropriate managers listed below.</p> <p>Position (August 2012) No progress to report since this report was issued in August 2012</p> <p>Position (November 2012) No change from August update</p> <p><b><i>Position January 2013</i></b></p> <p><b><i>Asset Management of Council IT assets currently controlled by the council ICT Department will be undertaken as defined in Section 8 Schedule 4.1 Statement of Work Item 3.4 Assets, the exact processes to be defined and agreed during Transition.</i></b></p>	Head of ICT / ICT Client Manager	December 2012	*	<b><i>May 2013</i></b>
03	<p>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.</p> <p>The following details should in particular be recorded for all assets to facilitate monitoring and tracking of all IT hardware and software.</p>	Important	<p>Agreed</p> <p>Position (August 2012) 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.</p> <p>Position (November 2012) No change from August update</p>	Avni Patel Head of ICT	December 2012	*	<b><i>May 2013</i></b>

IT – Asset Management and Virus Protection 2011/2012							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p><b><i>Position January 2013</i></b></p> <p><b><i>The councils have agreed to ask Capita to do this during the transition period during a change freeze period.</i></b></p>				
06	The Shared Service should ensure that printers and scanners are recorded on the Asset Register.	Important	<p>Agreed</p> <p>Position (August 2012) 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.</p> <p>Position (November 2012) No change from August update</p> <p><b><i>Position January 2013</i></b></p> <p><b><i>The councils have agreed to ask Capita to do this during the transition period during a change freeze period.</i></b></p> <p><b><i>Asset Management of Council IT assets currently controlled by the council ICT Department will be undertaken as defined in Section 8 Schedule 4.1 Statement of Work Item 3.4 Assets, the exact processes to be defined and agreed during Transition.</i></b></p>	Head of ICT / ICT Client Manager	August 2012	*	<b><i>May 2013</i></b>

IT – Asset Management and Virus Protection 2011/2012							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
08	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.	Important	<p>Agreed</p> <p>Position (August 2012) No progress to report since this report was issued in August 2012</p> <p>Position (November 2012) No change from August update</p> <p><b><i>Position January 2013</i></b> <b><i>Asset Management of Council IT assets currently controlled by the council ICT Department will be undertaken as defined in Section 8 Schedule 4.1 Statement of Work Item 3.4 Assets. Disposal and de-commissioning are defined in items 3.4.35 through 3.4.43.</i></b></p>	Head of ICT / ICT Client Manager	December 2012	*	<b><i>May 2013</i></b>

Recruitment 2011/2012							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
4.3.14	WBC and TRDC should review the potential benefits of using the Hertfordshire County framework for procurement of agency staff.	Medium	<p>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.</p> <p>Position November 2012 A meeting has been held on 8 November with CMS the new County provider. A further review will be conducted with Comensura, WBC's current provider and then a recommendation submitted to Leadership Team/Management Board for consideration. Agreement needs to be reached by January 2013 if a new provider is to be appointed by April 2013</p> <p><b><i>Position January 2013 Comensura contract has been extended and can run for up to 2 years from Nov 2012, subject to 6 months notice. Further discussions to take place at Leadership Team and Management Board in April 2013.</i></b></p>	Cathy Watson, Human Resources Manager	End of March 2013. <b><i>(Not yet due)</i></b>	x	

NNDR 2011/2012							
Final report issued							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.5.2	Staff should be made aware of their obligations regarding money laundering in relation to NNDR.	High	Agreed  The Revenues Manager will ensure that this is covered at a future team brief.	Revenues Manager	31 <sup>st</sup> January 2013	✓	
5.5.5	Management should ensure that all relevant staff use the E-learning training tool on money laundering to ensure that they keep up-to-date with the issues which relate to this area and comply with the Councils policy and procedure.	Medium	Agreed  The Revenues Manager will instruct staff by e-mail and at Team Briefings to use the E-learning training tool.  <i>Position January 2013 Waiting on a new e-learning package to be rolled out by HR. Expected delivery by end of February 2013.</i>	Revenues Manager	31 <sup>st</sup> January 2013	✘	<b><i>February 2013</i></b>

<b>Council Tax 2011/2012</b>							
Final report issued September 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.3.6	Empty property relief should only be granted where supported by sufficient evidence i.e. on receipt of adequate signed documentation from the taxpayer confirming if the empty property is unfurnished and uninhabitable or inspection of the property by an officer.	High	Agreed  This area will be subject to future legislative changes.	Revenues Manager	31 <sup>st</sup> January 2013	✓	
5.6.2	Staff should be made aware of their obligations regarding money laundering in relation to Council Tax (High).	High	Agreed  The Revenues Manager will ensure that this is covered at a future team brief.	Revenues Manager	31 <sup>st</sup> January 2013	✓	
5.6.5	Management should ensure that all relevant staff use the E-learning training tool on money laundering to ensure that they keep up-to-date with the issues which relate to this area and comply with the Councils policy and procedure	Medium	Agreed  The Revenues Manager will instruct staff by e-mail and at Team Briefings to use the E-learning training tool.  <b><i>Position January 2013 Waiting on a new e-learning package to be rolled out by HR. Expected delivery by end of February 2013.</i></b>	Revenues Manager	31st January 2013	✘	<b><i>February 2013</i></b>
5.3.2	Taxpayers who receive discounts and exemptions should be sent review letters regularly to confirm if they are still entitled to the relief granted.	High	Partially implemented This area has been risk assessed and the service have reviewed single person discount using a company called Data tank who issued review letters to taxpayers they believed were most likely not to still be entitled to discount; so that the taxpayer would confirm whether they were still entitled to the discount granted. The Auditor was informed that for students, disabled and taxpayers with second homes annual review letters have been sent out. However not all areas where taxpayers receive discount or exemptions have had annual	Revenues Manager	31 <sup>st</sup> March 2013	✓	



<b>Council Tax 2011/2012</b>							
Final report issued September 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			review letters sent out. The above outstanding areas will be addressed on risk basis during the current financial year.				
5.5.2	There should be regular reviews carried out to identify credit balances to ensure that refunds where applicable are processed.	High	Partially implemented  The Auditor was informed that reviews of credit balances are constantly being undertaken. However it is recognised by the Revenues Manager that more work needs to be carried out in this area.	Revenues Manager	31 <sup>st</sup> January 2013	✓	
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	Partially implemented  The Revenues and Benefits Service is conducting a full review of system access and security, which will be also linked to enhancements in user access to be in release 63 by Capita for Academy.  The Head of Revenues and Benefits has compiled a System Access Policy regarding this area.	Revenues Manager	31 <sup>st</sup> January 2013	✓	
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	Partially implemented  The Revenues and Benefits Service is conducting a full review of system access and security, which will be also linked to enhancements in user access to be in release 63 by Capita for Academy.  The Head of Revenues and Benefits has compiled a System Access Policy regarding this area.	Revenues Manager	31 <sup>st</sup> January 2013	✓	

<b>Housing &amp; Council Tax Benefit Administration Systems 2011/2012</b>							
Final report issued September 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.8	The access levels stated in the "System Access Guidance_SS_280512" policy document should be applied to all Benefits staff using the Academy system to ensure consistent access to the system appropriate to staff grade at the earliest opportunity.	MEDIUM	Agreed.  This will be implemented as part of the roll out of the Atlas module on the Academy system which will require revised access permissions to be set for all staff.	Benefits Manager (JW)  Quality, Training & Performance Team Leader (KG)	November 2012	✓	

<b>Financial Procedure Rules 2011/2012</b>							
Final report issued September 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.15	FPRs should then be reviewed on a regular basis – at least every 2 years - and updated to reflect any changes made to other policies within the council that ensuring consistent message is being given to staff.	Medium	<b><i>Position January 2013 – The FPR's for both councils have been scheduled in one document and respective s151 Officers will agree style for a harmonised approach.</i></b>	Alan Power, Head of Finance Shared Service	End of March 2013. <b><i>(Not yet due)</i></b>	*	
4.1.18	FPRs, as part of the WBC Constitution, should be included as part of the staff induction process.	High	<b><i>Position January 2013 This has been actioned and is now included in the Departmental Induction checklist provided by HR for managers to complete when they have new starters.</i></b>	Terry Baldwin, Head of Human Resources Shared Service	End of March 2013.	✓	

<b>Financial Procedure Rules 2011/2012</b>							
Final report issued September 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.21	As far as is reasonably practical, whenever financial systems are harmonised between WBC and TRDC, the FPRs for both councils should be updated with the same information to make them consistent and avoid duplication of effort.	Medium		Alan Power, Head of Finance Shared Service	End of March 2013. <b>(Not yet due)</b>	*	

<b>Income Management Systems 2011/2012</b>							
Final report issued October 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.6.3	The Income Team Leader should carry out regular reviews (at least on biannual basis) of access rights by matching job functionalities of officers to their access permissions. Also there should be formal systems put in place which require a standardised form to be completed by the Service requesting access and authorised by the Income Team Leader when officers are set-up on the system, access rights are amended and user accounts are disabled in the event of staff leavers.	Medium	Agreed  Due to a limited number of staff who have access to the system, the Income Team Leader has agreed to review access rights when a member of staff leaves. Also it was agreed that for new staff an electronic authorisation form will be completed.  <b><i>Position January 2013</i></b>  <b><i>Preparation work has started to fully introduce this recommendation from the 1 April 2013.</i></b>	Revenues Manager Income Team Leader	31 <sup>st</sup> January 2013	*	<b><i>April 2013</i></b>

<b>IT Back up and Disaster Recovery 2011/12</b>							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<i>The Shared Service should ensure that existing technical DR plans for both Three Rivers District Council and Watford Borough Council are updated to take into account changes in the infrastructure, staffing and recovery priorities. Following completion this should be reviewed on an annual basis or after any major system change.</i>	<b>High</b>	<b>Agreed</b>  <b>Position January 2013</b> <b>Contracts and kit lists for both councils have been reviewed and updated and will continue into the future.</b>  <b>BC\DR work will be undertaken during transition and transformation.</b>	<b>Avni Patel</b> <b>Head of ICT</b>	<b>March 2013</b>	✓	
02	<i>The Shared Service should conduct a risk assessment of the capability to recover key systems and services in the event of a disaster based on the Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) for Councils' systems. This should ensure that any potential issues that could be faced are documented with appropriate counter measures put in place.</i>	<b>High</b>	<b>Agreed</b>  <b>Position January 2013</b> <b>This work will be undertaken by Capita during transition and transformation.</b>	<b>Avni Patel</b> <b>Head of ICT</b>	<b>May 2013</b> <b>(Not yet due)</b>	*	

<b>IT Back up and Disaster Recovery 2011/12</b>							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	<i>ICT should review its existing support contracts with both ICM and Adam Continuity to ensure that the existing arrangements reflect the current requirements of the Shared Service. Furthermore, as both agreements were entered into prior to the commencement of the Shared Service, opportunities for rationalising the arrangements should be identified. When completed the arrangements with the supplier should be reviewed on an annual basis.</i>	<b>High</b>	<b>Agreed</b>  <b>Position January 2013</b> <b>Contracts and kit lists for both councils have been reviewed and updated and will continue into the future.</b>  <b>The contracts will be reviewed again on completion of Capita's transition phase.</b>	<b>Avni Patel</b> <b>Head of ICT</b>	<b>November 2013</b>	✓	
04	<i>The Shared Service should test its DR arrangements on an annual basis at both Adam Continuity and ICM.. Testing should follow a detailed test plan and test results should be reported to management following the test period. We also recommend that where appropriate, ad hoc tests of tape restores are performed when not otherwise tested.</i>	<b>High</b>	<b>Agreed</b>  <b>Position January 2013</b>  <b>A DR test is being planned before the service is transferred to Capita are expected to continue this into the future.</b>	<b>Avni Patel</b> <b>Head of ICT</b>	<b>March 2013</b> <b>(Not yet due)</b>	*	
05	<i>The Councils should document their processes for retaining and disposing of backup tapes including the processes to obtain assurance that tapes are tested on a regular basis. A formal written procedure should be implemented for media (tape) retention and disposal.</i>	<b>High</b>	<b>Agreed</b>  <b>Position January 2013</b> <b>Complete and stored in the ICT knowledge base.</b>	<b>Avni Patel</b> <b>Head of ICT</b>	<b>February 2013</b>	✓	

## Audit Plan 2012/2013

IT Server Virtualisation (ICT) 2012/13							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	The adequacy of the security settings and management arrangements established and applied to the virtual environment at both the Councils should be reviewed and where the standards currently are not aligned with best practice standard such as recommended by CIS (Centre for Internet Security), then they should be applied/configured to create a baseline for on-going security and monitored accordingly.	<i>High</i>	<p>Agreed The Council is awaiting for capita to respond with their view on outstanding settings. They are planning to virtualise the remainder of servers and move them up to their own data centre within the first year of the contract, which should go live in May 2013.</p> <p><b><i>Position January 2013</i></b></p> <p><b><i>Capita will be moving all servers to their data Centre in Chippenham by December 2013 with new hardware and vmware installations. This recommendation will be incorporated into the design of this implementation.</i></b></p>	Head of ICT / ICT Client Manager	November 2013	<b><i>x</i></b>	<b><i>December 2013 (Not yet due)</i></b>