

Audit Plan 2010/11

Asset Management 2010/11							
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.	Essential	<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</p>	Finance Manager	June 2011	✓	<p>July 2012</p> <p>October 2012</p> <p>November 2012</p> <p>July 2013</p> <p>September 2013</p>

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			<p>procedures will be written with reference to the upgraded version.</p> <p>Position - November 2012 A bug in the fixed asset module has further delayed the implementation of this recommendation. It was fixed in October 2012, and procedures will be written by the end of November.</p> <p>Position - January 2013 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.</p> <p>Position - May 2013 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.</p> <p>Position – August 2013 Additions have been delayed due to a software problem.</p> <p>Position - November 2013 Procedure notes have now been written for the majority of activities on the fixed asset</p>				

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			module. These will be reviewed and updated at year end for any year-end specific procedures. Resolved				

IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	A remote working policy and procedures should be developed. This should include all areas pertaining to remote working.	Important	<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>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.</p> <p>Position - May 2013 No change from January update.</p> <p>Position - August 2013 No change. It should be noted that this policy</p>	ICT Client Manager	March 2012	*	<p>December 2012</p> <p>May 2013</p> <p>December 2013</p>

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IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>will need to reflect the most recent changes to the requirements for connection to the PSN (Public Services Network). Relevant network and associated policy changes for accreditation with the PSN is required by the cabinet office for Nov 2013.</p> <p>Position - November 2013 Signed off by TRDC management board on 19th November 2013. Note: these are joint policies. This will be reviewed by ITSG on December 10th and then issued to staff.</p>				
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"> 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. <p>Position - June 2012 This has been delayed due to staff workload relating to the IT tender.</p> <p>Position - November 2012 No change from August update</p> <p>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</p>	<p>ICT Client Manager</p> <p>Helen Smith (WBC Mobile phones)</p> <p>Phil King (TRDC mobiles)</p>	March 2012	* (Part resolved)	<p>December 2012</p> <p>May 2013</p> <p>July 2013</p> <p>December 2013</p>

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IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>phones.</p> <p>Position - May 2013 ICT Client Managers will liaise with Capita and draw up a policy document to detail the remote working policy to coincide with the Information Security Policy.</p> <p>Position - August 2013 No change. It should be noted that this policy will need to reflect the most recent changes to the requirements for connection to the PSN (Public Services Network). Relevant network and associated policy changes for accreditation with the PSN is required by the cabinet office for Nov 2013.</p> <p>Position - November 2013 Signed off by TRDC management board on 19th November 2013. Note: these are joint policies. This will be reviewed by ITSG on December 10th and then issued to staff.</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> <p>Position - November 2012 No change from August update</p>	ICT Client Manager	June 2012	*	<p>December 2012</p> <p>May 2013</p> <p>December 2013</p>

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Final report issued January 2012							
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			<p>Position - January 2013 Two factor authentication has not been rolled out but is planned to be completed before service commencement with Capita.</p> <p>Position - May 2013 Dual Factor Authentication on current equipment will not be compliant with PSN CoCo standards. This will be reviewed during transformation.</p> <p>Position - August 2013 Review of the technology required in order to meet PSN standards is underway. This is being completed in conjunction with a number of other work streams related to PSN compliance. Dual factor authentication is essential for accreditation with the PSN and is required by the cabinet office for Nov 2013.</p> <p>Position - November 2013 Controlled rollout is currently in progress, including revised user instructions.</p>				
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 	Important	<p>Agreed. Government Code of Connection stipulates that they have only approved Blackberry's 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>Position - August 2012 Due to the large resource and investment</p>	ICT Client Manager	March 2013	*	<p>March 2014</p> <p>TBC</p>

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	<p>authorised in writing by ICT;</p> <ul style="list-style-type: none"> 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 handsets such as iPhones is adequately encrypted according to the sensitivity of the data</p>		<p>required with this, it will be assigned a priority once the future of the ICT Shared Service is known.</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>Position - January 2013 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.</p> <p>Position - May 2013 No change from above.</p> <p>Position - August 2013 Recommendation not yet due for completion. It should be noted that the PSN compliance requirements will impact the solution to this recommendation.</p> <p>Position - November 2013 No change to above. This needs to be prioritised in line with other ICT projects. Government directive for PSN (Public Services Network), now states that unmanaged end user devices e.g. personal computers etc, should be addressed and compliant for use on the PSN by 2015</p>					

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Final report issued January 2012

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			accreditation. A revised timeframe for implementation of this recommendation needs to be agreed.				

Audit Plan 2011/12

IT Project Management 2011/12							
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>Position - January 2013 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.</p> <p>Position - May 2013 ICT Client Managers have now been appointed. Due to the high workload during transition to Capita the revised deadline has been amended.</p> <p>Position - August 2013 No change to above. Terms of reference for the IT Steering group have been amended to reflect the requirement for the development of an ICT strategy.</p>	ICT Client Manager	October 2012	*	<p>March 2013</p> <p>May 2013</p> <p>Sept 2013</p> <p>May 2014</p>

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IT Project Management 2011/12							
Final report issued November 2011							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position - November 2013 Technical strategy is underway. ICT Client management team are working with Capita SIS to develop an approach to the overall ICT strategy in parallel to this.</p>				

Recruitment 2011/12							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * 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.	Important	<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>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</p>	Cathy Watson, Head of HR	End of March 2013.	*	December 2013

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Recruitment 2011/12							
Final report issued August 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>discussions to take place at Leadership Team and Management Board in April 2013.</p> <p>Position - May 2013 For review at LeadershipTeam / Management Board June / July 2013.</p> <p>Position - August 2013 Having met with CMS in July, they have provided proposals for delivering the service for us going forward. These will be looked into during September / October 2013 as part of the review going forward.</p> <p>Position - October 2013 Review of options ongoing. Report to be submitted to WBC and TRDC in November / December 2013 for a decision.</p> <p>Position – November 2013 As above</p>				

Financial Procedure Rules 2011/12							
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.	Important	<p>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.</p>	Alan Power, Head of Finance Shared Services	End of March 2013.	✓	Sept 2013

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Financial Procedure Rules 2011/12							
Final report issued September 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			Position - May 2013 This recommendation is being addressed but has taken a lower priority against essential tasks. Position - August 2013 First draft of 'harmonised' FPRs produced and agreed with Head of Democracy at Watford for onward consultation. Deadline will be achieved.				
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.	Important	Position - May 2013 Agreed with recommendation. Position - August 2013 First draft of 'harmonised' FPRs produced and agreed with Head of Democracy at Watford for onward consultation. Deadline will be achieved.	Alan Power, Head of Finance Shared Services	End of March 2013.	✓	Sept 2013

IT Back up and Disaster Recovery 2011/12							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	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	Essential	Agreed Position - January 2013 This work will be undertaken by Capita during transition and transformation. Position - May 2013 As above, Capita will propose a full disaster	ICT Client Manager	May 2013	*	Dec 2013 April 2014

IT Back up and Disaster Recovery 2011/12							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	could be faced are documented with appropriate counter measures put in place.		<p>recovery plan, post data-centre move (scheduled for Q4 2013).</p> <p>Position - August 2013 No change from May update. It should be noted that as part of the contract Capita will work with the Councils to define and implement a back-up strategy and policy. This includes working with business services to define appropriate frequency of backups with RPO's where appropriate of 30 minutes. Data centre move design has commenced and a risk assessment will be included within this planning.</p> <p>Position - November 2013 Disaster recovery scoping meeting has taken place. Disaster recovery plan has been included within the Data Centre Migration PID (Project Initiation Document) as a deliverable.</p>				
04	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.	Essential	<p>Agreed</p> <p>Position - January 2013 A DR test is being planned before the service is transferred to Capita are expected to continue this into the future.</p> <p>Position - May 2013 Due to extensive workload in the run-up to service commencement, a “dry run” of the existing Disaster Plan has not been carried out. However, existing arrangements with both of our continuity providers have been amended and re-signed for a period of one</p>	ICT Client Manager	March 2013	*	Dec 2013 April 2014

IT Back up and Disaster Recovery 2011/12							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>year. Before the expiry of these agreements, Capita will have their own Disaster Plan in place (post data centre move).</p> <p>Position - August 2013 Data centre move design planning has commenced. It has been agreed that revised BC/DR plans will be created in parallel with the data centre move itself. As part of the Capita contract Councils can ask for ad-hoc restores of random files to verify effective backups. This quality check is the responsibility of ICT client managers and is an aspect of monthly service delivery meetings.</p> <p>Position - November 2013 DR contract vendor has been contacted to arrange a DR test post data centre migration. This will be arranged to take place before April 2014.</p>				

Audit Plan 2012/13

IT Server Virtualisation (ICT) 2012/13							
Final report issued December 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * 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.	Essential	<p>Agreed The Council is waiting 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>Position - January 2013 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.</p> <p>Position - May 2013 The above position has been endorsed and supported by the ICT Client Management Team.</p> <p>Position - August 2013 Data centre design has commenced. Within the design itself all vmware environments will be reviewed and aligned with best practice standards.</p> <p>Position - November 2013 In progress</p>	ICT Client Manager	November 2013	*	December 2013

Data Transparency 2012/13							
Final report issued February 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.7	Once the outcome of the DCLG consultation is known, the Partnerships and Performance Section Head should ensure that WBC website has been updated to the correct standard and the anomalies listed above are addressed.	Important	<p>Position - May 2013 Not yet due.</p> <p>Position – August 2013 The DCLG policy was published in July 2013. Work has been done to update certain elements. Expectation is that it will be completed by end of September 2013 and a report presented to Leadership Team on the policy.</p> <p>Position - November 2013 Update ongoing. Report to Leadership Team will be submitted in the new year.</p>	Kathryn Robson, Partnerships and Performance Section Head	End of July 2013	*	<p>End of Sept 2013</p> <p>February 2014</p>
4.1.8	When complying with the requirements, the Partnership and Performance Section Head should agree a protocol with Leadership Team for redacting information to a level that should prevent any misuse of information by potential fraudsters.	Important	<p>Position - May 2013 Not yet due.</p> <p>Position – August 2013 The redaction of financial spend data was agreed in May 2011 with the Managing Director, Head of Strategic Finance and the Head of Democracy and Governance (at the time the Head of Legal and Property services) following advice from Internal Audit.</p> <p>This will be included in the report to Leadership Team.</p> <p>Position - November 2013 Report to Leadership Team will be submitted in the new year.</p>	Kathryn Robson, Partnerships and Performance Section Head	End of July 2013	*	<p>End of Sept 2013</p> <p>February 2014</p>

Data Protection 2012/13							
Final report issued 18 th April 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.12	Customer Services Improvement Officer should work with the Data Link Officers within services to address the underlying problem for the delays to ensure that the authority consistently meets with the guideline time frame.	Important	<p>A meeting has already taken place with the service where there is the biggest issue with delayed responses to agree better performance in future. Service responses will be monitored and addressed at service meetings by the CSC team.</p> <p>Position - May 2013 Ongoing monitoring of the service to track whether improvements are achieved.</p> <p>Position - August 2013 On-going monitoring of the service to track improvements are achieved.</p> <p>Position - November 2013 All Data Access requests have been responded to within statutory guidelines.</p> <p>Response rates within statutory timescales for FOI's have improved year on year and are currently at 83%. Monitoring continues to ensure this improvement is sustained by all areas of the business.</p>	Danielle Negrello, Customer Service Section Head	End of July 2013.	✓	Sept 2013

Data Protection 2012/13							
Final report issued 18 th April 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.13	If poor response times persist, the Customer Services Improvement Officer should publish figures of non compliance periodically (e.g. quarterly) to Leadership Team.	Important	<p>Performance figures for FOI are reported and Data Protection could be included as part of the monthly managing the business indicators if no improvement is seen.</p> <p>Position - May 2013 Not yet due.</p> <p>Position - August 2013 Some improvements achieved however on-going monitoring of the service is continuing.</p> <p>Position - November 2013 Response rates for FOI are reported in the quarterly managing the business indicators and at Community and Customer Service Quarterly Review.</p> <p>All Data Access requests have been responded to within statutory guidelines.</p> <p>Response rates within statutory timescales for FOI's have improved year on year and are currently at 83%. Monitoring continues to ensure this improvement is sustained by all areas of the business.</p>	Danielle Negrello, Customer Service Section Head	End of July 2013.	*	Sept 2013 Jan 2014
4.3.4	Customer Services Improvement Officer should request confirmation from each of the service to say that they have checked their system for flags and that they have been none present or if there were any present, that they have been successfully removed.	Important	<p>Services should have their own flags on the system which would be checked by them and where necessary remove them. The wording on the PV list will be amended to add guidance for services regarding records on their systems.</p> <p>Position - May 2013 Not yet due</p>	Danielle Negrello, Customer Service Section Head	End of July 2013.	*	Sept 2013 Dec 2013

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Data Protection 2012/13							
Final report issued 18 th April 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position - August 2013 Following the departure of SIO, additional Guidance regarding the PV list and flags issued to services which reiterates the requirement to remove out of date flags. Scheduled for follow up with services Sept 2013.</p> <p>Position - November 2013 Follow up Rescheduled for December 2013.</p>				

Carbon Management 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.1.15	Arrangements should be made for meter readings to be sent to the utility companies on a regular basis. (at least quarterly). Specific meter readings should be taken and sent to the utility companies at end of each financial year to ensure that the authority gets charged for the actual usage and not estimated.	Important	<p>A number of our operational buildings have smart meters to measure electricity consumption. These automatically send actual readings to the utility company, therefore we are getting accurate bills for those buildings. Buildings and Projects will monitor the information supplied on the spreadsheet, will send reminders to building managers to complete the spreadsheet by a particular date each month and will forward the data to the utility company for them to prepare their bill. Sending the information monthly rather than annually would be more practical.</p> <p>Position - May 2013 Not yet due</p>	Service/ Building Managers to complete spreadsheet. Buildings and Projects to send information to utility company.	Monthly from May 2013	* (Part resolved)	April 2014

Carbon Management 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position – August 2013 No change from May 2013 update.</p> <p>Position - November 2013 Recent Outsourcing of buildings to third party operators has resulted in meter readings not being taken. A dialogue has been opened with Relevant Parties and the following agreed. Site visits to take place with Building Managers to locate meters.</p>				
4.1.20	Once it is clear who is going to update the usage spreadsheet, check should be carried out on the usage readings recorded against the utility bills on a monthly basis using invoice images on Budget Monitor II to ensure that they have been correctly recorded. This would highlight if there are any marked fluctuations to the energy usage or any errors in.	Important	<p>This should be the responsibility of building managers as they should understand the energy consumption of their own buildings.</p> <p>Position - May 2013 Not yet due.</p> <p>Position – August 2013 Reminders are sent out to identified personnel. Transfer of some properties to external operators is now being negotiated to ensure that readings continue to be sent to the Authority for reporting purposes. These will be recorded by the Buildings & Projects section for reporting on by the Energy & Renewal Surveyor. Building Managers remain responsible for the on-site consumption.</p> <p>Position - November 2013 Meter readings that are received are recorded by Buildings & Projects officer on G: Drive and picked up for analysis by Carbon Reporting Officer.</p>	Service Manager/ Building Managers	Monthly from May 2013	* (Part resolved)	April 2014

Carbon Management 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
4.2.5	The Energy and Renewal Surveyor and Buildings and Projects Section Head should ensure that the officers identified by the Asset Management Group for taking and recording the meter readings should continue to record the readings on a monthly basis for a period (e.g. six months) even after the smart meters have been installed.	Important	<p>The implementation date will depend on the installation of the smart meters.</p> <p>Position - May 2013 Not yet due.</p> <p>Position – August 2013 No change from May 2013 update.</p> <p>Position – October 2013 The staff responsibilities of recording the meter readings have been revised following restructure and outsourcing. Meters are now being read – to continue until April 2014</p>	Alan Gough, Head of Environmental Health	End of October 2013. (Not yet due)	*	April 2014
4.2.6	Service Manager/Building Managers should ensure that the readings on the bills are checked to the readings recorded on the spreadsheet by various establishments to ensure accuracy of the charges made. Once the accuracy of the meter readings is established, the recording could be discontinued.	Important	<p>The implementation date will depend on the installation of the smart meters.</p> <p>Position - May 2013 Not yet due.</p> <p>Position – August 2013 No change from May 2013 update.</p> <p>Position – November 2013 Bills not forwarded to Building Mangers. Scanned Bills are available on Budget Monitor to view. Building managers can view consumption electronically. May need some awareness training.</p>	Service Manager/ Building Managers	End of October 2013. (Not yet due)	*	April 2014

Partnerships 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.1.2	The Partnership Framework document should be up-dated at the earliest opportunity. When up-dated the review date should be recorded. This should ensure that the latest guidance is followed. (Medium).	Important	Agreed Position - May 2013 Not yet due Position – August 2013 The Framework is currently being updated but is not yet finalised. Suggested revised deadline. Position – November 2013 The Framework is completed. It will be shared with the organisation in the new year.	Partnerships and Performance Section Head	July 2013	✓	November 2013
5.2.3	The Partnerships and Performance Section should make arrangements for the regular collation and reporting of agreed partnership performance information to the relevant reporting body. This will ensure that there is an overview of the work of partnerships and the outcomes in terms of meeting their and the council's specific objectives. It will also help identify under-performing partnerships.	Important	Agreed Position - May 2013 Not yet due. Position - August 2013 To be considered as part of the Framework update. Position – November 2013 An overview of performance information of relevance to Watford overall is being considered by the borough's Local Strategic Partnership – One Watford.	Partnerships and Performance Section Head	September 2013	*	March 2014

Partnerships 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.3.3	Before the Council enters into significant partnerships a formal risk assessment should be carried out and recorded by the appropriate senior officer. At this stage, if a risk is considered to be significant enough it may be necessary to reconsider membership of the partnership. Risks should be recorded on the service or corporate risk register.	Important	Agreed Position - May 2013 Not yet due. Position – August 2013 The Partnership Framework contains a risk assessment tool. This will be highlighted as part of the revised Framework.	Partnerships and Performance Section Head	July 2013	✓	November 2013
5.3.5	The Council should ensure that a risk management framework is applied to the operations of all partnerships and for example the following areas are addressed: <ul style="list-style-type: none"> • Risks associated with working in the partnership are assessed with responsibility for managing each risk assigned to individual partners; • Risks are recorded in the relevant risk register maintained by the lead officer in the relevant Service; • The risks recorded in the registers are regularly reviewed; • There is a mechanism for reporting and dealing with risks if these materialize. 	Important	Agreed Position - May 2013 Not yet due. Position – August 2013 This will be discussed with the Head of Democracy and Governance who now has responsibility for risk management to consider the most effective approach for including this within the council's overall risk management framework. Position – November 2013 Still to be resolved. Risk registers are currently being updated following implementation of the new structure. Once this has been established the Partnerships and Performance will attend the Risk Management Group to advise of partnership risk.	Partnerships and Performance Section Head	September 2013	*	Feb 2014

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Partnerships 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.4.4	The Council should ensure that any data sharing within the partnerships complies with national legislation and the council's policies.	Important	<p>Agreed</p> <p>Position - May 2013 Not yet due.</p> <p>Position – August 2013 To be considered as part of the Framework update.</p> <p>Position – November 2013 Data sharing protocol being revised. This will form discussions at Risk Management Group in the new year.</p>	Partnerships and Performance Section Head	September 2013	*	Feb 2014

Risk Management 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
5.2.3	All Heads of Service must regularly (biannually) up-date their risk registers and evidence this control procedure by noting the review date on the risk register.	Important	<p>Agreed</p> <p>Position - May 2013 Not yet due.</p> <p>Position - August 2013 Head of Democracy and Governance just taken over lead responsibility for risk. Meeting of Risk Management Group scheduled early September 2013 to review risk registers.</p> <p>Position - November 2013 Risk Management Group met in September. Corporate Risk Register agreed. All</p>	Head of Democracy & Governance	30 th June 2013	*	<p>31 October 2013</p> <p>February 2014 for Service Risk Registers to be updated</p>

Risk Management 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			services requested to update service risk registers in new format.				
5.2.6	The intranet should be up-dated with the current version of the Service risk registers at the earliest opportunity (Medium).	Important	Agreed Position - May 2013 Not yet due. Position - August 2013 Head of Democracy and Governance just taken over lead responsibility for risk. Meeting of Risk Management Group scheduled early September 2013 to review risk registers. Position - November 2013 Intranet in the process of being updated.	Head of Democracy & Governance	30 th June 2013	*	31 October 2013 February 2014 for all service risk registers to be updated on Intranet
5.3.2	There should be effective action plans in place to address significant risks identified in the Service Risk registers. The action plan may include for example the following areas : - Detailed action to be taken, - Officer(s) responsible for taking action, - Timescales for implementing appropriate action.	Important	Agreed Position - May 2013 Not yet due. Position - August 2013 Head of Democracy and Governance just taken over lead responsibility for risk. Meeting of Risk Management Group scheduled early September 2013 to review risk registers. Position - November 2013 Progress on updating service risk registers and actions plans to be reviewed at meeting in November.	Head of Democracy & Governance	30 th June 2013	*	31 October 2013 February 2014 for Service risk registers and action plans to be updated

Benefit Administration System (Shared Services) 2012/13							
Final report issued August 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	Evidence should be retained to confirm that system parameters have been accurately entered into the system in accordance with the rates specified by the Department for Work & Pensions.	Important	Agreed Position - August 2013 Not yet due Position - October 2013 All system parameters for 2012/13 have been checked and agreed as correct by external audit as part of the audit of the final subsidy claim for 2012/13. Next uprating is not due until Feb / March 2014.	Benefits Manager	30/09/13	✓	
07	As part of the independent periodic checks, a monthly performance report should be issued by the Quality Assurance team to the Benefits Manager. This record should provide a summary of checks performed per employee and the number of errors detected.	Important	Agreed. Monthly performance reports were generated directly from quality assurance module within Academy, however this has not been working since within 2012/13. This issue has been logged with IT who are trying to resolve the matter Position - August 2013 Not yet due. Position - October 2013 QA system has been re-installed this month and refresher training on how to use the system is to take place on 24 October 2013. We will have November's QA report on 1 December 2013.	Quality Assurance team	30/09/13	*	December 2013

Audit Plan 2013/14

Procurement and Contract Management Baseline Assessment							
Final report issued October 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Internal Audit endorses the planned 'Lunch and Learn' training sessions for officers and managers in the new Contract Procedure Rules. As a way of forward planning, a procurement training needs assessment should be undertaken to identify any specific areas where additional training may be required.	Medium		Head of Corporate Strategy and Client Services Corporate Procurement Manager	31 January 2014 (Not yet due)	✓	
02	We recommend that all policies and procedures are updated to include a review date and version number. We also recommend that, where appropriate, the policy owner is included within the document.	Merits attention		Corporate Procurement Manager	31 October 2013	✓	
03	In order to ensure all information contained on the Council's website is up to date and accurate, we recommend that a review of the 'Tenders and Contracts' area of the website is undertaken and, where necessary, changes are made. The review should include all documents available online and the supplier portal area.	Merits attention	Position – November 2013 Not yet due	Corporate Procurement Manager	31 January 2014 (Not yet due)	*	
04	We recommend that consideration should be given to maintaining a	Medium	Position – November 2013 Register drafted	Corporate Procurement	31 October 2013	✓	

Procurement and Contract Management Baseline Assessment							
Final report issued October 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	central record of waivers and exemptions that have been approved.			Manager			
05	<p>In order to identify synergies and off-contract spend, we recommend that management should consider whether there is scope to perform regular analysis of the Council's corporate spending patterns.</p> <p>Given the close working relationship between Watford Borough Council and Three Rivers District Council we would recommend that analysis is completed to identify where synergies are present in order to potentially achieve better economies of scale.</p>	Medium	<p>Position – November 2013 Not yet due</p>	Director of Finance	31 March 2014 and on-going (Not yet due)	*	
06.	<p>We endorse the action taken the Council to create a Contract Management Forum to share expertise, support services and provide training. The Contract Management Forum should:</p> <p>a) Agree the arrangements for completing evaluations of contracts during the close down; and</p> <p>b) Formally document the agreed procedure, including any standard templates that may be used.</p>	Merits attention	<p>Position – November 2013 The first meeting of the Contract Management Forum took place on the 7th Nov 2013. This was held as a workshop to identify key issues, strengths and support needs. The forum will meet quarterly and task groups will be set up to take forward specific activity. The first tasks identified are to support the Corporate Procurement Manager in the development of a Contract Management Toolkit and to encourage attendance on the Procurement Lunch and Learns being held Nov – Jan 2014.</p>	<p>Head of Corporate Strategy and Client Services</p> <p>Corporate Procurement Manager</p>	7 November 2013 and on-going	✓	

Procurement and Contract Management Baseline Assessment							
Final report issued October 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
07	Given that there are numerous shared contracts between Watford Borough Council and Three Rivers District Council, we recommend that the Council give consideration as to whether the procurement function could be shared between the two Councils.	Merits attention	Position – November 2013 Not yet due	Director of Finance	30 June 2014 (Not yet due)	*	

Housing Redesign							
Final report issued December 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Regular sample management checks should be carried out on applications and these checks should be evidenced (signed and dated by a senior officer).	Medium	Position – November 2013 Not yet due	Housing Demand Manager (for implementation) Housing Section Head (to add to Housing quarterly monitoring indicators)	31 January 2014 (Not yet due)	*	
02	Employees involved in the allocation of housing should be annually required to declare any interests they have (e.g. relatives on the waiting list). Also the above should include a declaration that that the employee is responsible for informing the Housing	Medium	Position – November 2013 Not yet due	Housing Section Head	31 January 2014 (Not yet due)	*	

WBC Audit Recommendations Follow Up – November 2013

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	section if occasion arises for them to deal with an application/allocation from an individual person known to them in a personal capacity.						
03	Staff should be reminded of the importance of completing the Nomination Checklist form as evidence of carrying out control checks before an applicant is allowed to apply for a property.	Medium	Position – November 2013 Not yet due	Housing Supply Manager (for implementation) Housing Section Head (to add to Housing quarterly monitoring indicators)	31 January 2014 (Not yet due)	*	
04	The Council should ensure, for those Housing Associations which carry out their own short-listing of applicants that they comply with the Council's good practices.	Medium	Position – November 2013 Not yet due	Housing Supply Manager	31 March 2014 (Not yet due)	*	
05	Staff should be adequately trained to review identity documentation i.e. passports and driving licences to confirm their validity. Also the Service should consider liaising with the Shared Service Fraud Team who have scanning software which can be used to assist in verifying the validity of documents.	Medium	Position – November 2013 Not yet due	Housing Demand Manager	Implemented	✓	
06	The Nomination Policy should be completed and approved. A review cycle should be agreed and a designated officer assigned this task.	Medium	Position – November 2013 Not yet due	Housing Section Head	31 August 2014 (Not yet due)	*	
07	Housing assessments and short-listing systems should be fully documented at the earliest opportunity.	Medium	Position – November 2013 Not yet due	Housing Supply Manager Housing	31 March 20014 (Not yet due)	*	

				Demand Manager			
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